



IAPD Report

GREGORY LEE LUKEN

CRD# 1860579

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

GREGORY LEE LUKEN (CRD# 1860579)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/12/2023**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|---------------------------------|-------------|------------------|
| IA | LUKEN INVESTMENT ANALYTICS, LLC | CRD# 169008 | 11/25/2013 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **8** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

| | FIRM | CRD# | LOCATION | REGISTRATION DATES |
|----|------------------------------|-------|---------------|-------------------------|
| IA | SII INVESTMENTS, INC. | 2225 | FRANKLIN, TN | 05/20/2003 - 11/01/2017 |
| B | SII INVESTMENTS, INC. | 2225 | FRANKLIN, TN | 05/14/2003 - 11/01/2017 |
| B | LUKEN INVESTMENT GROUP, INC. | 47009 | NASHVILLE, TN | 10/20/1999 - 07/31/2003 |

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

| Type | Count |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 2 |



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **8** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LUKEN INVESTMENT ANALYTICS, LLC**
Main Address: 136 FRIERSON STREET
BRENTWOOD, TN 37027
Firm ID#: 169008

| Regulator | Registration | Status | Date |
|--------------|-----------------------------------|---------------------|------------|
| IA Alabama | Investment Adviser Representative | Approved | 07/11/2019 |
| IA Florida | Investment Adviser Representative | Approved | 11/22/2017 |
| IA Georgia | Investment Adviser Representative | Approved | 03/11/2021 |
| IA Illinois | Investment Adviser Representative | Approved | 11/17/2020 |
| IA Kentucky | Investment Adviser Representative | Approved | 12/19/2017 |
| IA Louisiana | Investment Adviser Representative | Approved | 11/01/2017 |
| IA Tennessee | Investment Adviser Representative | Approved | 11/25/2013 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 11/22/2017 |

Branch Office Locations

LUKEN INVESTMENT ANALYTICS, LLC
136 FRIERSON STREET
BRENTWOOD, TN 37027






Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Financial and Operations Principal Examination (S27) | Series 27 | 06/01/2000 |
|  Registered Options Principal Examination (S4) | Series 4 | 01/25/2000 |
|  General Securities Principal Examination (S24) | Series 24 | 12/08/1999 |

General Industry/Product Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 11/01/2017 |
|  Limited Representative-Equity Trader Exam (S55) | Series 55 | 05/10/2000 |
|  General Securities Representative Examination (S7) | Series 7 | 03/07/1991 |
|  Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 11/15/1988 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 12/31/1996 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/12/1988 |



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

| | Registration Dates | Firm Name | ID# | Branch Location |
|----|-------------------------|----------------------------------|------------|-----------------|
| IA | 05/20/2003 - 11/01/2017 | SII INVESTMENTS, INC. | CRD# 2225 | FRANKLIN, TN |
| B | 05/14/2003 - 11/01/2017 | SII INVESTMENTS, INC. | CRD# 2225 | FRANKLIN, TN |
| B | 10/20/1999 - 07/31/2003 | LUKEN INVESTMENT GROUP, INC. | CRD# 47009 | NASHVILLE, TN |
| B | 08/16/1996 - 10/18/1999 | WILEY BROS.-AINTREE CAPITAL, LLC | CRD# 3767 | NASHVILLE, TN |
| B | 12/09/1994 - 08/21/1996 | PAINWEBBER INCORPORATED | CRD# 8174 | WEEHAWKEN, NJ |
| B | 03/08/1991 - 12/15/1994 | MORGAN KEEGAN & COMPANY, INC. | CRD# 4161 | MEMPHIS, TN |
| B | 11/16/1988 - 03/14/1989 | FIRST INVESTORS CORPORATION | CRD# 305 | |

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|---------------------------------|---|--------------------|------------------------------|
| 05/2013 - Present | LUKEN INVESTMENT ANALYTICS, LLC | PRESIDENT / INVESTMENT ADVISER REPRESENTATIVE / INSURANCE AGENT | Y | FRANKLIN, TN, United States |
| 11/1999 - 12/2018 | LUKEN INVESTMENT GROUP | PRESIDENT / INSURANCE AGENT | Y | FRANKLIN, TN, United States |
| 05/2003 - 10/2017 | SII INVESTMENTS, INC. | REGISTERED REPRESENTATIVE & INVESTMENT ADVISER REPRESENTATIVE | Y | BRENTWOOD, TN, United States |
| 02/2000 - 10/2017 | LUKEN INVESTMENT GROUP | REGISTERED REP | Y | BRENTWOOD, TN, United States |



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1) LUKEN INVESTMENT ANALYTICS; INSURANCE RELATED; SAME ADDRESS; FIXED INSURANCE PRODUCTS - TERM, FIXED, LTC INSURANCE PRODUCTS; INSURANCE AGENT; 2000; <5 HOURS PER MONTH; <5 HOURS DURING TRADING HOURS; FIXED INSURANCE SALES
- 2) GREGORY LUKEN; NOT INVESTMENT RELATED; SAME ADDRESS; OWNER OF RENTAL PROPERTY; OWNER; START DATE JUNE 2021; <1 HOUR PER MONTH; <1 HOURS PER MONTH DURING TRADING HOURS; TENANT COMMUNICATIONS FOR
- 3) GREGORY LUKEN; INVESTMENT RELATED; SAME ADDRESS; TRUSTEE FOR NEPHEWS TRUST ACCOUNT; NO FEES OR INCOME; START 2018; <1 HOUR PER MONTH; <1 HOURS PER MONTH DURING TRADING HOURS; OVERSEEING TRUST FBO NEPHEW



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

| Type | Count |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 2 |

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. |
| Sanction(s) Sought: | |
| Other Sanction(s) Sought: | |
| Date Initiated: | 03/27/2001 |
| Docket/Case Number: | C05010019 |
| Employing firm when activity occurred which led to the regulatory action: | LUKEN INVESTMENT GROUP, INCORPORATED |
| Product Type: | Other |
| Other Product Type(s): | |
| Allegations: | 04-03-01,NASD RULE 2110 - A MEMBER FIRM, ACTING THROUGH LUKEN, ENGAGED IN A SECURITIES BUSINESS WHEN THE FIRM'S NET CAPITAL WAS BELOW THE REQUIRED MINIMUM. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |
| Resolution Date: | 03/27/2001 |
| Sanctions Ordered: | Monetary/Fine \$2,500.00 |
| Other Sanctions Ordered: | |
| Sanction Details: | FINED \$2,500, JOINTLY AND SEVERALLY |



\$2,500 PAID J&S ON 04/20/01, INVOICE #01-05-206

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

Sanction(s) Sought:

Date Initiated: 11/27/2000

Docket/Case Number: E05000529

Employing firm when activity occurred which led to the regulatory action: LUKEN INVESTMENT GROUP, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Allegations: DURING THE PERIOD FROM ON OR ABOUT OCTOBER 4, 2000, THROUGH ON OR ABOUT OCTOBER 12, 2000, LUKEN INVESTMENT GROUP, INC., ACTING THROUGH GREGORY L. LUKEN, IN CONTRAVENTION OF SEC RULE 15C3-1, ENGAGED IN A SECURITIES BUSINESS WHEN THE FIRM'S NET CAPITAL WAS BELOW THE REQUIRED MINIMUM, AS PRESCRIBED BY SAID RULE.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 03/27/2001

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$55,056.00

Portion Levied against individual: \$27,528.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement LIG, INC. WAS NOTIFIED ON JANUARY 31, 2001 OF THE NASDR'S INTENT TO FINE MR. LUKEN AND LUKEN INVESTMENT GROUP, INC. \$2,500 JOINTLY AND



SEVERALLY. THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT HAS BEEN SIGNED AND WAS FORWARDED TO THE APPROPRIATE PARTY AT THE NASDR PRIOR TO FEBRUARY 19, 2001. IT WAS ACCEPTED BY NASDR ON MARCH 27, 2001.



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WILEY BROS-AINTREE CAPITAL, LLC

Allegations: >03/27/01 COMMON LAW FRAUD, NEGLIGENT MISREPRESENTATION, COMMON LAW BREACH OF FIDUCIARY DUTY, COMMON LAW GROSS NEGLIGENCE

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #99-05360](#)

Date Notice/Process Served: 11/29/1999

Arbitration Pending? No

Disposition: Award

Disposition Date: 03/15/2001

Disposition Detail: RESPONDENT GREGORY LUKEN IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT THE SUM OF \$45,000.00 IN COMPENSATORY DAMAGES PLUS INTEREST.

.....

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WILEY BROS-AINTREE CAPITAL, LLC

Allegations: CUSTOMER ALLEGES AGENT INVESTED IN A NUMBER OF STOCKS CONSIDERED AGGRESSIVE, SPECULATIVE OR HIGH RISK.

Product Type: Equity - OTC

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 05/24/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/19/2001



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [ARBITRATION CASE NUMBER 99-05360](#)

Date Notice/Process Served: 12/10/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/26/2001

Monetary Compensation Amount: \$51,825.00

Individual Contribution Amount: \$25,912.50

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WILEY BROS-AINTREE CAPITAL, LLC

Allegations: INVESTMENT PRODUCTS INVOLVED: STOCKS
EMPLOYING FIRM WILEY BROS AINTREE CAPITAL LLC SUMMARY:
CUSTOMER ALLEGES AGENT INVESTED IN A NUMBER OF STOCKS
CONSIDERED AGGRESSIVE, SPECULATIVE OR HIGH RISK. ALLEGED
COMPENSATORY DAMAGES APPROXIMATELY \$280,000.00

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$280,000.00

Customer Complaint Information

Date Complaint Received: 05/24/1999

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 12/10/1999

Settlement Amount: \$51,825.00

Individual Contribution Amount: \$25,912.50

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [99-05360](#)

Date Notice/Process Served: 12/10/1999

Arbitration Pending? No



Disposition: Award to Customer

Disposition Date: 03/13/2001

Monetary Compensation Amount: \$51,825.00

Individual Contribution Amount: \$25,912.50

Broker Statement AWARD FOR THE CLAIMANT - WILEY LIABLE AND SHALL PAY \$25912.50 - LUKEN LIABLE AND SHALL PAY \$25912.50. ALL OTHER REQUESTS FOR RELIEF ARE DENIED. N/A
CUSTOMER INDICATED ON NEW ACCOUNT FORM AND UPDATED NEW ACCOUNT FORM THAT HE DESIRED SPECULATION/HIGH RISK AND SIGNED NAKED OPTIONS WRITING DOCUMENT. CUSTOMER HAS MULTI-YEAR HISTORY OF INVESTING IN SPECULATIVE/HIGH RISK SECURITIES.

Disclosure 2 of 2

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WILEY BROS. AINTREE CAPITAL, LLC

Allegations: CHURNING, BREACH OF FIDUCIARY DUTY, UNSUITABLE TRADING

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$66,601.15

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #99-01818](#)

Date Notice/Process Served: 04/16/1999

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/08/2000

Disposition Detail: >08/21/00 RESPONDENT LUKEN IS LIABLE AND SHALL PAY TO CLAIMANTS THE SUM OF \$27,528.00 IN COMPENSATORY DAMAGES.

.....

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WILEY BROS.-AINTREE CAPITAL, LLC

Allegations: UNSUITABILITY, MISREPRESENTATION, UNAUTHORIZED TRADING AND EXCESSIVE TRADING. DATES 9/96-2/99. CUSTOMER INDICATED SPECULATION/HIGH RISK ON ACCOUNT FORMS. CUSTOMER HAS MULTI-YEAR HISTORY OF INVESTING IN OPTIONS AND SPEC/HIGH RISK STOCKS. DISCRETIONARY FORM ON FILE.

Product Type: Equity - OTC



Other Product Type(s): OPTIONS
Alleged Damages: \$121,330.00

Customer Complaint Information

Date Complaint Received: 05/25/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 08/08/2000
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [ARBITRATION CLAIM WITH NASD #99-01818](#)

Date Notice/Process Served: 05/25/1999
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 08/08/2000
Monetary Compensation Amount: \$55,056.00
Individual Contribution Amount: \$27,528.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WILEY BROS-AINTREE CAPITAL LLC

Allegations: INVESTMENT PRODUCTS INVOLVED: EQUITIES AND OPTIONS EMPLOYING FIRM WILEY BROS-AINTREE CAPITAL LLC
ALLEGATIONS: UNSUITABILITY, MISREPRESENTATION, UNAUTHORIZED TRADES, EXCESSIVE TRADING. ALLEGED ACTUAL DAMAGES \$66,659.38. ALLEGED COMPENSATORY DAMAGES \$121,330.00

Product Type: Options
Alleged Damages: \$121,330.00

Customer Complaint Information

Date Complaint Received: 04/12/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/12/1999
Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 99-01808

Date Notice/Process Served: 04/12/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/08/2000

Monetary Compensation Amount: \$55,056.00

Individual Contribution Amount: \$27,528.00

Broker Statement AWARD FOR THE CLAIMANTS - WILEY LIABLE AND SHALL PAY \$27,528 - LUKEN LIABLE AND SHALL PAY \$27,528. ALL OTHER REQUESTS FOR RELIEF ARE DENIED. CUSTOMER INDICATED SPECULATION/HIGH RISK ON ACCOUNT FORMS. CUSTOMER HAS MULTI-YEAR HISTORY OF INVESTING IN OPTIONS AND SPECULATIVE/HIGH RISK STOCKS. SIGNED DISCRETION FORM ON FILE.



End of Report

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