IAPD Report

Wade Nolan Giddens

CRD# 1998148

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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

Wade Nolan Giddens (CRD# 1998148)

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 **04/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	01/15/2021
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/15/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **50** 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
B	MORGAN STANLEY	149777	PEACHTREE CITY, GA	05/09/2014 - 01/20/2021
IA	MORGAN STANLEY	149777	PEACHTREE CITY, GA	05/09/2014 - 01/20/2021
B	UBS FINANCIAL SERVICES INC.	8174	ATLANTA, GA	11/14/2008 - 05/19/2014

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
Customer Dispute	3

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 **50** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/15/2021
B	FINRA	General Securities Sales Supervisor	Approved	07/07/2021
B	Alabama	Agent	Approved	02/09/2021
B	Alaska	Agent	Approved	02/15/2023
B	Arizona	Agent	Approved	01/15/2021
B	Arkansas	Agent	Approved	02/08/2021
B	California	Agent	Approved	01/15/2021
B	Colorado	Agent	Approved	01/15/2021
B	Connecticut	Agent	Approved	02/08/2021
B	Delaware	Agent	Approved	09/21/2022
B	Florida	Agent	Approved	01/15/2021
B	Georgia	Agent	Approved	02/05/2021
B	Hawaii	Agent	Approved	10/10/2022

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	09/14/2022
B	Illinois	Agent	Approved	01/15/2021
B	Indiana	Agent	Approved	09/14/2022
B	Iowa	Agent	Approved	09/15/2022
B	Kansas	Agent	Approved	01/15/2021
B	Kentucky	Agent	Approved	09/09/2022
B	Louisiana	Agent	Approved	01/15/2021
B	Maine	Agent	Approved	09/14/2022
B	Maryland	Agent	Approved	09/14/2022
B	Massachusetts	Agent	Approved	01/15/2021
B	Michigan	Agent	Approved	09/15/2022
B	Minnesota	Agent	Approved	09/16/2022
B	Mississippi	Agent	Approved	09/14/2022
B	Missouri	Agent	Approved	03/03/2021
B	Montana	Agent	Approved	03/22/2022
B	Nebraska	Agent	Approved	09/13/2022
B	Nevada	Agent	Approved	01/15/2021
B	New Hampshire	Agent	Approved	09/14/2022
B	New Jersey	Agent	Approved	09/14/2022

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	07/06/2022
B	New York	Agent	Approved	01/15/2021
B	North Carolina	Agent	Approved	01/15/2021
B	North Dakota	Agent	Approved	09/19/2022
B	Ohio	Agent	Approved	01/15/2021
B	Oklahoma	Agent	Approved	02/08/2021
B	Oregon	Agent	Approved	08/29/2022
B	Pennsylvania	Agent	Approved	01/15/2021
B	Rhode Island	Agent	Approved	09/20/2022
B	South Carolina	Agent	Approved	01/15/2021
B	South Dakota	Agent	Approved	09/13/2022
B	Tennessee	Agent	Approved	01/15/2021
B	Texas	Agent	Approved	01/15/2021
B	Utah	Agent	Approved	09/15/2022
B	Vermont	Agent	Approved	09/14/2022
B	Virginia	Agent	Approved	02/11/2021
B	Washington	Agent	Approved	01/15/2021
B	West Virginia	Agent	Approved	09/15/2022
B	Wisconsin	Agent	Approved	09/14/2022

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	09/16/2022

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
525 Westpark Drive
Suite 100
Peachtree City, GA 30269

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	02/05/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/15/2021

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
525 Westpark Drive
Suite 100
Peachtree, GA 30269

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/07/2021
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/29/2021
B	General Securities Principal Examination (S24)	Series 24	12/05/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/16/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/02/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/1989

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/09/2014 - 01/20/2021	MORGAN STANLEY	CRD# 149777	PEACHTREE CITY, GA
IA	05/09/2014 - 01/20/2021	MORGAN STANLEY	CRD# 149777	PEACHTREE CITY, GA
B	11/14/2008 - 05/19/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	ATLANTA, GA
IA	11/14/2008 - 05/19/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	ATLANTA, GA
IA	02/01/2001 - 11/17/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PEACHTREE CITY, GA
B	07/25/2000 - 11/17/2008	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PEACHTREE CITY, GA
B	05/28/1997 - 07/06/2000	LEGACY SECURITIES CORP.	CRD# 35532	ATLANTA, GA
B	12/20/1989 - 05/28/1997	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN

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
01/2021 - Present	Raymond James Financial Services Advisors, Inc.	Registered Representative	Y	Peachtree City, GA, United States
01/2021 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Peachtree City, GA, United States
01/2015 - 01/2021	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
05/2014 - 01/2021	Morgan Stanley	Financial Advisor	Y	Peachtree City, GA, 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)Name of Business: Giddens, Nolan and Michele Address: 525 Westpark Dr Ste 100, Peachtree City, GA, 30269-1575, United States Activity Type: Control Person Position/Title: Power of Attorney (Acting) Investment Related: Yes Start Date: 04/27/2026 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: POA for spouse
(2)Name of Business: Intelligent Wealth Design, LLC Address: 40 Clubview Dr, Newnan, GA, 30265, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 01/15/2021 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: This is the LLC that each of the partners in Reveille Wealth Management set up to own the company. It is a shell company that only holds my portion of our parent company.
(3)Name of Business: Reveille Wealth Management LLC Address: 525 Westpark Dr Suite 100, Peachtree City, GA, 30269, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/15/2021 Hours per month devoted to this business: 41-80 Hours per month devoted to this business during trading hours: 41+ Description of duties: I am a partner in the LLC

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
Customer Dispute	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: FEBRUARY 2013 TO MAY 2014 CLAIMANT ALLEGES TAT FA GIDDENS EXERCISED DISCRETION OVER HER ASSETS AND ENGAGED IN CHURNING AND UNAUTHORIZED AND UNSUITABLE OPTIONS TRADING AND SORT SELLING RESULTING IN LOSSES IN EXCESS OF $100,000.
Product Type:	Other: OPTIONS TRADING AND SHORT SELLING
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-03689
Filing date of arbitration/CFTC reparation or civil litigation:	12/16/2014

Customer Complaint Information

Date Complaint Received:	12/16/2014

Complaint Pending?	No
Status:	Settled
Status Date:	10/02/2015
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: FEBRUARY 2013 TO MAY 2014 CLAIMANT ALLEGES TAT FA GIDDENS EXERCISED DISCRETION OVER HER ASSETS AND ENGAGED IN CHURNING AND UNAUTHORIZED AND UNSUITABLE OPTIONS TRADING AND SORT SELLING RESULTING IN LOSSES IN EXCESS OF $100,000.
Product Type:	Other: OPTIONS TRADING AND SHORT SELLING
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-03689
Filing date of arbitration/CFTC reparation or civil litigation:	12/16/2014

Customer Complaint Information

Date Complaint Received:	12/16/2014
Complaint Pending?	No
Status:	Settled
Status Date:	10/02/2015
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The FA did not agree to the settlement of this matter. This matter was settled by FA's prior employer in order to avoid the cost and risk of litigation. The FA did not contribute any funds to the settlement of this matter.

Disclosure 2 of 3

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT ALLEGES THAT ACCOUNT WAS OVER CONCENTRATED IN ONE OPTION POSTIONS AND THAT OPTION STATEGY AGREED TO BY CLIENTS WAS NOT FOLLOWED. TIME FRAME: NOVEMBER 2012 - MAY 2013.
Product Type:	Options
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATED TO BE IN EXCESS OF $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/06/2014
Complaint Pending?	No
Status:	Denied
Status Date:	06/19/2014
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT ALLEGES THAT ACCOUNT WAS OVER CONCENTRATED IN ONE OPTION POSTIONS AND THAT OPTION STATEGY AGREED TO BY CLIENTS WAS NOT FOLLOWED. TIME FRAME: NOVEMBER 2012 - MAY 2013.
Product Type:	Options
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATED TO BE IN EXCESS OF $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/06/2014

Complaint Pending?	No
Status:	Denied
Status Date:	06/19/2014
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LEGACY SECURITIES CORP.
Allegations:	BREACH OF CONTRACT, SUITABILITY, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF FINANCIAL PRODUCT
Alleged Damages:	$120,068.06

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #01-00987
Date Notice/Process Served:	02/27/2001
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/15/2002
Disposition Detail:	STIPULATED AWARD: ON OR ABOUT FEBRUARY 19, 2002, THE PARTIES ADVISED NASD THAT THE CASE HAD BEEN SETTLED.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LEGACY SECURITIES CORP.
Allegations:	IN OR AROUND JANUARY 1999, CLAIMANTS OPENED A MARGIN ACCOUNT A LEGACY SECURITIES CORP. AND UTILIZED MARGIN FOR STOCK PURCHASES AND CASH WITHDRAWALS FROM JANUARY 1999 THROUGH MAY 2000 WHEN THE ACCOUNT WAS LIQUIDATED AND CLOSED. CLAIMANTS NOW ALLEGE THAT THE SECURITIES THEY PURCHASED WERE UNSUITABLE AND FRAUDENTLY INDUCED AND THEIR USE OF MARGIN WAS IMPROPER AND ARE SEEKING DAMAGES IN EXCESS OF $120,068.06.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$120,068.06

Customer Complaint Information

Date Complaint Received:	03/12/2001

Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/12/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	A STATEMENT OF CLAIM HAS BEEN FILED WITH THE NASD. THE CASE NUMBER IS 01-00987.
Date Notice/Process Served:	03/12/2001
Arbitration Pending?	Yes
Firm Statement	CLAIMANTS UTILIZED MARGIN TO PURCHASE VARIOUS EQUITY POSITIONS AND TO WITHDRAW FUNDS FROM THEIR ACCOUNT BEGINNING IN JANUARY 1999 AND CONTINUING THROUGH MAY 2000. APPROXIMATELY TWO (2) YEARS AFTER HAVING ESTABLISHED A MARGIN ACCOUNT AT LEGACY SECURITIES AND NINE(9)MONTHS AFTER HAVING CLOSED THE ACCOUNT, CLAIMANTS INITIATED AN ARBITRATION PROCEEDING BEFORE THE NASD ALLEGING THAT THEIR STOCK PURCHASES AND THEIR USE OF MARGIN IN THEIR ACCOUNT WAS UNSUITABLE AND FRAUDULENTLY INDUCED AND ARE SEEKING DAMAGES IN EXCESS OF $120,088.00. MR. GIDDENS IS VIGOROUSLY CONTESTING THE ALLEGATIONS AND SEEKS TO RECOVER FROM CLAIMANTS HIS COSTS AND ATTORNEY'S FEES.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LEGACY SECURITIES
Allegations:	IN OR AROUND JAN. '99, THE CLAIMANTS OPENED A MARGIN ACCOUNT AT LEGACY SECURITIES CORP. AND UTILIZED MARGIN FOR STOCK PURCHASES AND CASH WITHDRAWALS FROM JAN. '99 TO MAY '00 WHEN THE ACCOUNT WAS LIQUIDATED AND CLOSED. THE CLAIMANTS NOW ALLEGE THAT THE SECURITIES THEY PURCHASED WERE UNSUITABLE AND FRAUDULENTLY INDUCED AND THEIR USE OF MARGIN WAS IMPROPER AND ARE SEEKING DAMAGES IN EXCESS OF $120,068.06.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$120,068.06
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	NASD
Docket/Case #:	01-00987

Filing date of arbitration/CFTC reparation or civil litigation:	03/12/2001

Customer Complaint Information

Date Complaint Received:	03/12/2001
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/19/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	01-00987
Date Notice/Process Served:	03/12/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/15/2002
Monetary Compensation Amount:	$25,000.00
Individual Contribution Amount:	$11,250.00

End of Report

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