



IAPD Report

MICHAEL YOUNG HAMILTON

CRD# 2038138

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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

MICHAEL YOUNG HAMILTON (CRD# 2038138)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	10/30/2015
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	10/30/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	124446	FORT MEYERS, FL	05/10/2010 - 10/30/2015
B	J.P. TURNER & COMPANY, L.L.C.	43177	FORT MEYERS, FL	03/29/2010 - 10/30/2015
IA	GUNNALLEN FINANCIAL, INC	17609	FORT MYERS, FL	03/23/2009 - 03/31/2010

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

Employment 1 of 1

Firm Name: **CENTAURUS FINANCIAL, INC.**
Main Address: 2300 EAST KATELLA AVE
SUITE 200
ANAHEIM, CA 92806
Firm ID#: 30833

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/30/2015
B	California	Agent	Approved	10/30/2015
IA	California	Investment Adviser Representative	Approved	09/25/2025
B	Delaware	Agent	Approved	04/23/2019
IA	Delaware	Investment Adviser Representative	Approved	02/23/2021
B	Florida	Agent	Approved	10/30/2015
IA	Florida	Investment Adviser Representative	Approved	11/03/2015
B	Georgia	Agent	Approved	10/30/2015
B	Illinois	Agent	Approved	03/29/2016
IA	Louisiana	Investment Adviser Representative	Approved	03/28/2024
B	Louisiana	Agent	Approved	04/08/2024
B	Maine	Agent	Approved	11/04/2015
IA	Maine	Investment Adviser Representative	Approved	05/04/2022



Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	10/30/2015
IA	Massachusetts	Investment Adviser Representative	Approved	02/11/2016
B	Michigan	Agent	Approved	10/30/2015
IA	Michigan	Investment Adviser Representative	Approved	07/21/2025
B	New Hampshire	Agent	Approved	10/30/2015
B	New Jersey	Agent	Approved	10/30/2015
IA	New Jersey	Investment Adviser Representative	Approved	01/04/2023
B	New York	Agent	Approved	10/30/2015
B	Ohio	Agent	Approved	02/07/2025
IA	Ohio	Investment Adviser Representative	Approved	02/07/2025
B	Pennsylvania	Agent	Approved	10/30/2015
IA	Pennsylvania	Investment Adviser Representative	Approved	10/30/2015
IA	South Carolina	Investment Adviser Representative	Approved	11/13/2023
B	South Carolina	Agent	Approved	12/19/2023
B	Texas	Agent	Approved	02/09/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	02/09/2021
B	West Virginia	Agent	Approved	03/24/2020

Branch Office Locations

CENTAURUS FINANCIAL, INC.



Qualifications

5237 SUMMERLIN COMMONS BLVD.
FT. MYERS, FL 33907



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	09/08/1992

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	02/17/1993
Uniform Securities Agent State Law Examination (S63)	Series 63	01/11/1993

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	05/10/2010 - 10/30/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	FORT MEYERS, FL
B	03/29/2010 - 10/30/2015	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	FORT MEYERS, FL
IA	03/23/2009 - 03/31/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	FORT MYERS, FL
B	03/13/2009 - 03/31/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	FORT MYERS, FL
B	05/01/2001 - 03/19/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. MYERS, FL
IA	05/01/2001 - 03/19/2009	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. MYERS, FL
B	05/15/1996 - 05/18/2001	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/31/1993 - 05/13/1996	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	03/19/1993 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	09/10/1992 - 03/04/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
10/2015 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ANAHEIM, CA, United States

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. OWNER, EAGLE TAX GROUP, 5237 SUMMERLIN COMMONS BLVD., FORT. MYERS, FL 33907, TAX PREPARATION, NON INVESTMENT RELATED SINCE 11/2012 AND I SPEND APPROX. 4 HOURS PER MONTH ON THIS ACTIVITY.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. PRESIDENT, HAMILTON WEALTH MANGEMENT, 5237 SUMMERLIN COMMONS BLVD., FORT. MYERS, FL 33907. DBA FOR BRANDING PURPOSES ONLY. INVESTMENT RELATED SINCE 03/2009.



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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Date Initiated:	02/07/2025
Docket/Case Number:	3-22451
Employing firm when activity occurred which led to the regulatory action:	CENTAURUS FINANCIAL, INC.

Product Type: Other: Corporate bonds

Allegations: The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are, instituted against Centaurus Financial, Inc. ("Centaurus"), Debbie M. Cavanaugh ("Cavanaugh"), Michael Y. Hamilton ("Hamilton"), Dana Matthew Hawkins ("Hawkins"), and Timothy N. Tremblay ("Tremblay") (collectively, the "Respondents"). In anticipation of the institution of these proceedings, Respondents have submitted Offers of Settlement ("Offers") which the Commission has determined to accept. On the basis of this Order and Respondents' Offers, the Commission finds that: Between June 30, 2020, the compliance date for Regulation Best Interest ("Regulation BI"), and approximately April 16, 2021 (the "Relevant Period"), Respondents did not comply with Regulation BI in connection with their recommendations of corporate bonds called "L Bonds" offered by GWG Holdings, Inc. ("GWG") to certain retail customers. According to GWG's disclosures during the Relevant Period: (a) L Bond investments involved a high degree of risk, including the risk of losing an investor's entire investment; (b) L Bond investments may be considered speculative; (c) L



Bond investments were only suitable for investors with substantial financial resources and no need for liquidity in the investment; and (d) GWG may use a portion of the L Bond proceeds to repay existing L Bond holders. Despite these disclosures, Centaurus and its registered representatives - Respondents Cavanaugh, Hamilton, Hawkins and Tremblay, recommended the purchase of L Bonds to 18 retail customers for whom Respondents did not have a reasonable basis to believe that the recommendations were in those customers' best interest based on those customers' investment profiles and the potential risks, rewards, and costs associated with the L Bonds. As a result, Centaurus, Cavanaugh, Hamilton, Hawkins and Tremblay did not comply with the Customer-Specific Prong of Regulation BI's Care Obligation found in Exchange Act Rule 15l-1(a)(2)(ii)(B). Centaurus also did not reasonably enforce its own written policies and procedures requiring personnel to take training related to Regulation BI and training related to a 2020 Offering of GWG L Bonds. As a result, Centaurus did not comply with Regulation BI's Compliance Obligation found in Exchange Act Rule 15l-1(a)(2)(iv). By not complying with these Regulation BI component obligations, the Respondents each willfully violated Regulation BI's General Obligation found in Exchange Act Rule 15l-1(a)(1).

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 02/07/2025

Sanctions Ordered: Cease and Desist
Censure
Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Monetary Penalty other than Fines

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? Yes

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation? Yes



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Monetary Sanction 1 of 3

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

Total Amount: \$12,500.00

Portion Levied against individual: \$12,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 3

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,240.74

Portion Levied against individual: \$1,240.74



Payment Plan: Prejudgment interest

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 3 of 3

Monetary Related Sanction: Disgorgement

Total Amount: \$5,204.30

Portion Levied against individual: \$5,204.30

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

In view of the foregoing, the Commission deems it appropriate and in the public interest to impose the sanctions agreed to in Respondents' Offers. Accordingly, pursuant to Sections 15(b) and 21C of the Exchange Act as to Respondents Centaurus, Cavanaugh, Hamilton, Hawkins, and Tremblay, it is hereby ordered that: Respondent Hamilton cease and desist from committing or causing any violations and any future violations of Rule 15l-1(a)(1) under the Exchange Act; is censured; and shall pay disgorgement of \$5,204.30, prejudgment interest of \$1,240.74, and a civil money penalty of \$12,500 within 15 days after the entry of this Order, and consistent with the instructions provided in the settlement.

Reporting Source: Individual

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Bar
Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement

Date Initiated: 08/24/2023

Docket/Case Number: C-08829

Employing firm when activity occurred which led to the regulatory action: Centaurus Financial, Inc.

Product Type: Debt-Corporate

Allegations: The SEC alleges the Registered Representative potentially recommended investment(s) that were not in his client(s) best interest and as such, may have violated Rule 151-1(a) of the Securities Exchange Act of 1934, known as Regulation Best Interest, by failing to comply with the Care Obligation found in



	Rule 151-1(a)(2)(ii).
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/07/2025
Sanctions Ordered:	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines
Monetary Sanction 1 of 3	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$12,500.00
Portion Levied against individual:	\$12,500.00
Payment Plan:	Not applicable
Is Payment Plan Current:	No
Date Paid by individual:	02/19/2025
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 3	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$1,240.74
Portion Levied against individual:	\$1,240.74
Payment Plan:	Not applicable
Is Payment Plan Current:	
Date Paid by individual:	02/19/2025
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 3 of 3	
Monetary Related Sanction:	Disgorgement
Total Amount:	\$5,204.30
Portion Levied against individual:	\$5,204.30



Payment Plan: Not applicable

Is Payment Plan Current:

Date Paid by individual: 02/19/2025

Was any portion of penalty waived? No

Amount Waived:



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:	Individual
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customer alleges that in September 2019 through February 2021, the Registered Representative recommended unsuitable, high-risk, illiquid investments.
Product Type:	Debt-Corporate
Alleged Damages:	\$224,500.00
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:	FINRA
Docket/Case #:	26-00583
Filing date of arbitration/CFTC reparation or civil litigation:	03/20/2026

Customer Complaint Information

Date Complaint Received:	03/26/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement	I vehemently deny any wrongdoing and assert that the allegations are completely without merit. The investments about which the customer complained were in the customer's best interest and were executed based on the customer's objectives, goals and financial circumstances and were offered only after his review of all material documentation related to the investment. The customer confirmed in writing that they not only received the requisite investment documentation/disclosures, but that he fully understood the characteristics and risks of the investments. At all times, I put the customer's interest first and I will vigorously defend this matter to the fullest extent of the law.
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Disclosure 2 of 2

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:

RAYMOND JAMES & ASSOCIATES, INC.

Allegations:

****UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED OVER 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE**** BREACH OF CONTRACT; BREACH OF FIDUCIARY RESPONSIBILITY; MISREPRESENTATION; NEGLIGENCE; SUITABILITY. THE GRANDDAUGHTER OF THE GRANTOR OF THE TRUST, QUESTIONS THE SUITABILITY OF INVESTMENTS AND LOSS OF PRINCIPAL IN THE ACCOUNT.

Product Type:

Mutual Fund(s)

Other Product Type(s):

OPEN END

Alleged Damages:

\$15,000.00

Customer Complaint Information

Date Complaint Received:

08/29/2006

Complaint Pending?

No

Status:

Settled

Status Date:

03/06/2007

Settlement Amount:

\$5,000.00

Individual Contribution Amount:

\$0.00

Broker Statement

****UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED OVER 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE**** FIRM DENIED ON APPROX. 9/29/06. COMPLAINT LATER EVOLVED AND SETTLED PRIOR TO MEDIATION ON 3/6/07. CLAIMANT'S LAWSUIT WAS FRIVOLOUS AND THE FIRM MADE A DECISION TO SETTLE BASED ON NUISANCE VALUE.



End of Report

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