



IAPD Report

BRADLEY W POOCK

CRD# 2262554

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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

BRADLEY W POOCK (CRD# 2262554)

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 **01/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MURIEL SIEBERT & CO., LLC	CRD# 5376	01/10/2018
IA	SIEBERT ADVISORNXT, LLC.	CRD# 288572	03/15/2018

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **22** 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	STOCKCROSS FINANCIAL SERVICES	6670	BEVERLY HILLS, CA	08/13/2012 - 12/31/2017
B	STOCKCROSS FINANCIAL SERVICES, INC.	6670	BEVERLY HILLS, CA	08/10/2012 - 12/31/2017
B	MORGAN STANLEY SMITH BARNEY	149777	BEVERLY HILLS, CA	06/01/2009 - 08/16/2012

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	1



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 **22** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SIEBERT ADVISORNXT, LLC.**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 288572

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	03/15/2018
IA	Florida	Investment Adviser Representative	Approved	01/21/2026
IA	Idaho	Investment Adviser Representative	Approved	11/22/2023
IA	Nebraska	Investment Adviser Representative	Approved	11/28/2023

Branch Office Locations

SIEBERT ADVISORNXT, LLC.
9378 Wilshire Blvd. Suite 300
Beverly Hills, CA 90212

Employment 2 of 2

Firm Name: **MURIEL SIEBERT & CO., LLC**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 5376

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/10/2018
B	FINRA	General Securities Sales Supervisor	Approved	01/10/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	01/10/2018



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/10/2018
B New York Stock Exchange	General Securities Representative	Approved	01/10/2018
B Arizona	Agent	Approved	03/29/2023
B California	Agent	Approved	01/10/2018
B Colorado	Agent	Approved	01/10/2018
B Florida	Agent	Approved	05/24/2023
B Georgia	Agent	Approved	01/10/2018
B Hawaii	Agent	Approved	11/22/2023
B Idaho	Agent	Approved	04/27/2023
B Iowa	Agent	Approved	01/16/2018
B Kansas	Agent	Approved	01/12/2018
B Massachusetts	Agent	Approved	01/16/2018
B Minnesota	Agent	Approved	01/10/2018
B Nebraska	Agent	Approved	01/10/2018
B Nevada	Agent	Approved	11/27/2023
B New Hampshire	Agent	Approved	11/27/2023
B New Jersey	Agent	Approved	11/21/2023
B New York	Agent	Approved	01/10/2018
B North Carolina	Agent	Approved	11/22/2023



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	03/04/2021
B Tennessee	Agent	Approved	04/21/2023
B Texas	Agent	Approved	01/12/2018
B Utah	Agent	Approved	11/27/2023
B Washington	Agent	Approved	01/10/2018

Branch Office Locations

9378 Wilshire Blvd
Suite 300
Beverly Hills, CA 90212






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
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/22/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	09/30/2004
 Futures Managed Funds Examination (S31)	Series 31	02/15/1996
 General Securities Representative Examination (S7)	Series 7	09/10/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/22/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/1994



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	08/13/2012 - 12/31/2017	STOCKCROSS FINANCIAL SERVICES	CRD# 6670	BEVERLY HILLS, CA
B	08/10/2012 - 12/31/2017	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
B	06/01/2009 - 08/16/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	BEVERLY HILLS, CA
IA	06/01/2009 - 08/16/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	BEVERLY HILLS, CA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	BEVERLY HILLS, CA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	BEVERLY HILLS, CA
IA	07/08/1997 - 04/02/2007	MORGAN STANLEY	CRD# 7556	BEVERLY HILLS, CA
B	09/13/1993 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	BEVERLY HILLS, CA

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
01/2018 - Present	Muriel Siebert & Co., Inc	Registered Representative	Y	Beverly Hills, CA, United States
08/2012 - 12/2017	STOCKCROSS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	BEVERLY HILLS, 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) Helping father with his business, FSREO, a real estate business. The address is PO Box 4096 Malibu, CA 90264. I hold no title. The start date was 4/20/16. Duties include discussing buys/sells of properties, managing rentals, about 5 hours per month, No specific devotion during trading hours.
- 2) Ali-Lessens Leads Club, non securities related, member, not paid, 4 hours
- 3) Frosty Palm, a beverage Co. approx. 15-20 hours per month, % of ownership still to be determined, no financial compensation currently
- 4) Name of Business: Siebert AdvisorNxt, LLC



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Investment Related: Yes

Location: Same location as Muriel Siebert, & Co., LLC

Nature of business: Investment Advisory Firm

Position, Title or Relationship: Dual employee. Investment Advisor Representative

Approximate number of hours: Full time. Time split 50/50 between Muriel Siebert & Co., LLC and Siebert AdvisorNxt, LLC, subject to monthly change

Compensation at both entities paid by same parent company, Siebert Financial Corporation as both are under common ownership and control of parent company.



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	1

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: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/08/2006

Docket/Case Number: HBD# 08-22

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: **9/8/06**CHARGES ISSUED BY THE DIVISION OF ENFORCEMENT OF NYSE REGULATION, INC. CHARGES:CHARGE I: BRADLEY POOCK VIOLATED NYSE RULE 342 IN THAT HE FAILED TO REASONABLY SUPERVISE AND CONTROL THE ACTIVITIES OF AN OPERATIONS EMPLOYEE UNDER HIS CONTROL WHO PERFORMED SUPERVISORY DUTIES IN A MEMBER FIRM'S SALES DEPARTMENT WITHOUT BEING ACCEPTABLE TO THE NEW YORK STOCK EXCHANGE.CHARGE II: BRADLEY POOCK VIOLATED NYSE RULE 345(A) IN THAT HE PERMITTED AN OPERATIONS EMPLOYEE UNDER HIS CONTROL TO PERFORM SUPERVISORY DUTIES OF REGISTERED REPRESENTATIVES WITHOUT THE PROPER REGISTRATION AND/OR NYSE APPROVAL.

Current Status: Final



Resolution: Decision
Resolution Date: 10/03/2008
Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: **5/2/08** ON MAY 2, 2008 IN NYSE HEARING PANEL DECISION 08-22, THE HEARING PANEL FOUND POOCK GUILTY OF VIOLATING NYSE RULES 342(A) AND 345(A). THE PANEL IMPOSED A CENSURE AND A TWO WEEK SUSPENSION. ON MAY 27, 2008, POOCK FILED A REQUEST FOR REVIEW OF THE NYSE HEARING PANEL'S DECISION ON LIABILITY AND PENALTY. ON THE SAME DATE, ENFORCEMENT FILED A REQUEST FOR REVIEW OF THE SANCTION ORDERED BY THE HEARING PANEL. ON JUNE 30, 2008, ENFORCEMENT AND POOCK FILED BRIEFS IN SUPPORT OF THE REQUEST FOR REVIEW. REPLY BRIEFS ARE DUE ON JULY 28, 2008. NO DATE HAS BEEN SET FOR ORAL ARGUMENT ON THE BRIEFS WHICH WILL BE HEARD BY THE NYSE BOARD. **9/29/08** NYSE BOARD OF DIRECTORS AFFIRMED HEARING BOARD DECISION 08-22 DECISION: THE NYSE BOARD OF DIRECTORS, IN A DECISION DATED SEPTEMBER 10, 2008, AFFIRMED HEARING BOARD DECISION 08-22 WHICH FOUND POOCK GUILTY OF VIOLATING NYSE RULE 342(A) BY FAILING TO REASONABLY SUPERVISE AND CONTROL THE ACTIVITIES OF AN OPERATIONS EMPLOYEE UNDER HIS CONTROL WHO PERFORMED SUPERVISORY DUTIES IN THE FIRM'S SALES DEPARTMENT. POOCK ALSO CAUSED A VIOLATION OF NYSE RULE 345(A) BY PERMITTING AN OPERATIONS EMPLOYEE UNDER HIS CONTROL TO PERFORM SUPERVISORY DUTIES OF REGISTERED REPRESENTATIVES WITHOUT THE PROPER REGISTRATION OR NYSE APPROVAL. THE NYSE BOARD OF DIRECTORS AFFIRMED THE HEARING BOARD'S PENALTY OF A CENSURE AND A TWO WEEK SUSPENSION IMPOSED AFTER THE CONTESTED HEARING. THE SUSPENSION WILL COMMENCE AT THE CLOSE OF BUSINESS FRIDAY, OCTOBER 24, 2008 AND CONTINUE UNTIL THE CLOSE OF BUSINESS ON NOVEMBER 7, 2008. THE CRD WILL REFLECT THIS PERIOD OF SUSPENSION. THIS IS A FINAL DECISION OF THE NYSE BOARD OF DIRECTORS.

Regulator Statement

9/30/08 THE DECISION IS NOW FINAL AND THE SUSPENSION WILL COMMENCE AT THE CLOSE OF BUSINESS ON FRIDA, OCTOBER 3, 2008.
****10/3/08**** NYSE BOARD OF DIRECTORS AFFIRMED HEARING BOARD DECISION 08-22 DECISION: THE NYSE BOARD OF DIRECTORS, IN A DECISION DATED SEPTEMBER 10, 2008, AFFIRMED HEARING BOARD DECISION 08-22 WHICH FOUND POOCK GUILTY OF VIOLATING NYSE RULE 342(A) BY FAILING TO REASONABLY SUPERVISE AND CONTROL THE ACTIVITIES OF AN OPERATIONS EMPLOYEE UNDER HIS CONTROL WHO PERFORMED SUPERVISORY DUTIES IN THE FIRM'S SALES DEPARTMENT. POOCK ALSO CAUSED A VIOLATION OF NYSE RULE 345(A) BY PERMITTING AN OPERATIONS EMPLOYEE UNDER HIS CONTROL TO PERFORM SUPERVISORY DUTIES OF REGISTERED REPRESENTATIVES WITHOUT THE PROPER REGISTRATION OR NYSE APPROVAL. THE NYSE BOARD OF DIRECTORS AFFIRMED THE HEARING BOARD'S PENALTY OF A CENSURE AND A TWO WEEK SUSPENSION IMPOSED AFTER THE CONTESTED HEARING. THE SUSPENSION WILL COMMENCE AT THE CLOSE OF BUSINESS FRIDAY, OCTOBER 24, 2008 AND CONTINUE UNTIL THE CLOSE OF BUSINESS ON NOVEMBER 7, 2008. THE CRD WILL REFLECT THIS PERIOD OF SUSPENSION. THIS IS A FINAL DECISION OF THE NYSE BOARD OF DIRECTORS.



Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	CENSURE
Date Initiated:	09/08/2006
Docket/Case Number:	HBD# 08-22
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY & CO. INCORPORATED
Product Type:	No Product
Other Product Type(s):	
Allegations:	NYSE HEARING BOARD FOUND POOCK GUILTY OF (1)VIOLATING NYSE RULE 342(A) BY FAILING TO REASONABLY SUPERVISE AND CONTROL ACTIVITIES OF OPERATIONS EMPLOYEE UNDER HIS CONTROL WHO PERFORMED SUPERVISORY DUTIES IN FIRM'S SALES DEPARTMENT; AND (2) ENGAGING IN CONDUCT THAT CAUSED VIOLATION OF NYSE RULE 345(A) BY PERMITTING OPERATIONS EMPLOYEE UNDER HIS CONTROL TO PERFORM SUPERVISORY DUTIES OF REGISTERED REPRESENTATIVES WITHOUT PROPER REGISTRATION AND/OR NYSE APPROVAL.
Current Status:	Final
Appealed To and Date Appeal Filed:	APPEALED TO NYSE ON MAY 27, 2008.
Resolution:	Decision
Resolution Date:	09/10/2008
Sanctions Ordered:	Censure Suspension
Other Sanctions Ordered:	
Sanction Details:	TWO WEEK SUSPENSION BEGINNING OCTOBER 27, 2008.
Broker Statement	MR. POOCK COMMENTS AND ASSERTS AS FOLLOWS: MR. POOCK DOES NOT BELIEVE HIS ACTIONS TO BE A NYSE VIOLATION BUT RATHER AN INTERNAL POLICY VIOLATION. MORGAN STANLEY REQUIRES SUPERVISORS TO REVIEW TRADING BY THE END OF THE NEXT BUSINESS DAY AND THERE IS NO ALLEGATION BY THE NYSE THAT MR. POOCK FAILED TO DO THIS OR DELEGATED THAT RESPONSIBILITY TO THE OPERATIONS MANAGER. MR. POOCK'S ACTIONS DID NOT GIVE RISE TO ANY CUSTOMER COMPLAINT. NO CUSTOMER SUFFERED ANY FINANCIAL HARM AS A RESULT OF MR. POOCK'S ACTIONS AND MR. POOCK RECEIVED NO FINANCIAL GAIN OR ANY OTHER BENEFIT AS A RESULT OF MY ACTION. MR. POOCK'S ACTION WAS SOLELY DONE TO PROTECT FIRM CLIENTS AND THE FIRM FROM POTENTIAL NEGATIVE PRICE MOVEMENTS. ABSENT PASSWORD SHARING, TRADES WOULD HAVE BEEN AUTOMATICALLY PROCESSED AFTER A DELAY WHICH WAS HARMFUL TO THE CUSTOMER AND WHICH WOULD HAVE VIOLATED BEST EXECUTION RULES.



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INCORPORATED
Allegations:	IT IS CLAIMED THAT FINANCIAL ADVISOR SOLD FUND ALLEGEDLY WITHOUT AUTHORIZATION ON NOVEMBER 7, 2008.
Product Type:	Other
Other Product Type(s):	MUTUAL FUNDS (OPEN-END)
Alleged Damages:	\$7,024.00

Customer Complaint Information

Date Complaint Received:	01/20/2009
Complaint Pending?	No
Status:	Denied
Status Date:	04/06/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE FUND IN QUESTION WAS SOLD UNDER AN AUTOMATED INVESTMENT PROGRAM AUTHORIZED IN WRITING BY THE CUSTOMER, WHICH SPECIFIED THE PURCHASE OF THE SPECIFIC FUND IN QUESTION.
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End of Report

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