



IAPD Report

JOHN DAVENPORT WISWELL

CRD# 2313243

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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

JOHN DAVENPORT WISWELL (CRD# 2313243)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **33** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	10/01/2007 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Stuart, FL	09/25/2007 - 10/11/2024
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	JENSEN BEACH, FL	02/12/2003 - 09/27/2007

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/11/2024
B	FINRA	General Securities Sales Supervisor	Approved	10/11/2024
B	Alabama	Agent	Approved	10/11/2024
B	Arizona	Agent	Approved	10/11/2024
B	California	Agent	Approved	10/11/2024
IA	California	Investment Adviser Representative	Approved	10/11/2024
B	Colorado	Agent	Approved	10/11/2024
B	Connecticut	Agent	Approved	10/11/2024
B	Delaware	Agent	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
IA	Florida	Investment Adviser Representative	Approved	10/11/2024
B	Georgia	Agent	Approved	10/11/2024
B	Illinois	Agent	Approved	10/11/2024



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	10/11/2024
B Kentucky	Agent	Approved	10/11/2024
B Louisiana	Agent	Approved	10/11/2024
B Maine	Agent	Approved	10/11/2024
B Maryland	Agent	Approved	10/11/2024
B Massachusetts	Agent	Approved	10/11/2024
B Michigan	Agent	Approved	10/11/2024
IA Michigan	Investment Adviser Representative	Approved	10/11/2024
B Minnesota	Agent	Approved	10/11/2024
B Mississippi	Agent	Approved	10/11/2024
B Missouri	Agent	Approved	10/11/2024
B Nevada	Agent	Approved	10/11/2024
B New Jersey	Agent	Approved	10/11/2024
B New Mexico	Agent	Approved	10/11/2024
B New York	Agent	Approved	10/11/2024
B North Carolina	Agent	Approved	10/11/2024
B North Dakota	Agent	Approved	10/11/2024
IA North Dakota	Investment Adviser Representative	Approved	10/11/2024
B Ohio	Agent	Approved	10/11/2024



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	10/11/2024
B South Carolina	Agent	Approved	10/11/2024
B Texas	Agent	Approved	10/11/2024
IA Texas	Investment Adviser Representative	Restricted Approval	01/28/2025
B Vermont	Agent	Approved	10/11/2024
B Virginia	Agent	Approved	10/11/2024
IA Virginia	Investment Adviser Representative	Approved	10/11/2024
B West Virginia	Agent	Approved	10/11/2024
IA West Virginia	Investment Adviser Representative	Approved	10/11/2024
B Wisconsin	Agent	Approved	10/11/2024

Branch Office Locations

OSAIC WEALTH, INC.
850 NW Federal Hwy
Suite VO415
Stuart, FL 34994





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/07/2003
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	08/20/2003

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	11/21/1994
 General Securities Representative Examination (S7)	Series 7	03/17/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/06/1993

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	10/01/2007 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	09/25/2007 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Stuart, FL
IA	02/12/2003 - 09/27/2007	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	JENSEN BEACH, FL
B	01/10/2003 - 09/27/2007	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	JENSEN BEACH, FL
B	04/05/2000 - 01/15/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	04/05/2000 - 01/15/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	STUART, FL
B	06/21/1993 - 04/05/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	03/22/1993 - 06/23/1993	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
10/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
06/2006 - Present	UNIVERSAL FINANCIAL CONSULTANTS	AGENT	Y	JENSEN BEACH, FL, United States
09/2007 - 10/2024	AMERICAN PORTFOLIOS FINC'L SVCS	REGISTERED REP	Y	JENSEN BEACH, FL, 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. WISWELL FINANCIAL SERVICES LLC

POSITION: Owner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 130 START DATE: 01/09/2003

ADDRESS: 850 NW Federal Hwy, Stuart FL 34994, United States

DESCRIPTION: Work with the public as a registered representative and advisor in the securities business and create content,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Manage Social Media and Public Outreach for the securities business.

2. JOHN WISWELL

POSITION: Agent NATURE: NA INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1

START DATE: 01/01/1992

ADDRESS: 850 Nw Federal Hwy, Stuart FL 34997, United States

DESCRIPTION: Agent



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	3

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: FINRA

Sanction(s) Sought: Other: n/a

Date Initiated: 12/30/2015

Docket/Case Number: [2013039482701](#)

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

Product Type: Mutual Fund

Allegations: Without admitting or denying the findings, Wiswell consented to the sanctions and to the entry of findings that he failed to reasonably supervise the activities of a registered representative to prevent unsuitable mutual fund switching. The findings stated that Wiswell failed to take reasonable steps to follow up on red flags and approved all of the registered representative's mutual fund switch transactions.

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? No



Resolution Date: 12/30/2015
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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? No

(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?

(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



(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?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any principal
Duration: 15 business days
Start Date: 01/19/2016
End Date: 02/08/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 01/22/2016
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 12/30/2015
Docket/Case Number: [2013039482701](#)
Employing firm when activity occurred which led to the regulatory action: American Portfolios Financial Services ,Inc.



Product Type:	Mutual Fund
Allegations:	Without admitting or denying the findings, Wiswell consented to the sanctions and to the entry of findings that he failed to reasonably supervise the activities of a registered representative to prevent unsuitable mutual fund switching. The findings stated that Wiswell failed to take reasonable steps to follow up on red flags and approved all of the registered representative's mutual fund switch transactions.
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?	No
Resolution Date:	12/30/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Any principal
Duration:	15 business days
Start Date:	01/19/2016
End Date:	02/08/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/19/2016
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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.
Allegations:	LACK OF SUPERVISION
Product Type:	No Product
Alleged Damages:	\$59,367.03
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 #:	10-02461
Filing date of arbitration/CFTC reparation or civil litigation:	07/12/2010

Customer Complaint Information

Date Complaint Received:	07/26/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/26/2010
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-02461
Date Notice/Process Served:	07/26/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/2011



Monetary Compensation Amount: \$18,750.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: RESPONDEAT SUPERIOR, VIOLATION OF FLORIDA STATUTES 517.301, UNAUTHORIZED TRADING

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$425,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2009

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 01/28/2009

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: MARTIN COUNTY, FL CLERK OF 19TH JUDICIAL CIRCUIT COURT

Location of Court: MARTIN COUNTY, FL

Docket/Case #: 09-209CA

Date Notice/Process Served: 01/28/2009

Litigation Pending? No

Disposition: Settled

Disposition Date: 12/16/2011

Monetary Compensation Amount: \$300,000.00

Individual Contribution Amount: \$300,000.00

Firm Statement AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations: RESPONDEAT SUPERIOR, VIOLATION OF FLORIDA STATUTES 517.301, UNAUTHORIZED TRADING
Product Type: Other: AUCTION RATE SECURITIES
Alleged Damages: \$425,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2009
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 01/28/2009
Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court
Name of Court: MARTIN COUNTY, FL CLERK OF 19TH JUDICIAL CIRCUIT COURT
Location of Court: MARTIN COUNTY, FL
Docket/Case #: 09-209CA
Date Notice/Process Served: 01/28/2009
Litigation Pending? No
Disposition: Settled
Disposition Date: 12/16/2011
Monetary Compensation Amount: \$300,000.00
Individual Contribution Amount: \$300,000.00

Broker Statement AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE AS PART OF A FIRM-WIDE GLOBAL SETTLEMENT

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.
Allegations: CLIENT ALLEGES SUITABILITY AND CHURNING. DAMAGES OVER \$5,000.
Product Type: Mutual Fund(s)



Other Product Type(s): EQUITIES; ANNUITY

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/26/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/11/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD NO. 01-07168

Date Notice/Process Served: 01/09/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/11/2004

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER

Allegations: CLAIMANTS ALLEGE BREACH OF CONTRACT, FRAUD AND BREACH OF FIDUCIARY DUTIES.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITIES

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 01/09/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/09/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD, CASE NUMBER 01-07168
Date Notice/Process Served:	01/09/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/11/2004
Monetary Compensation Amount:	\$20,000.00
Individual Contribution Amount:	\$0.00



End of Report

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