IAPD Report

KERRY CONSTANTINE GEANEAS

CRD# 2391503

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

KERRY CONSTANTINE GEANEAS (CRD# 2391503)

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 **12/03/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LEVEL FOUR FINANCIAL, LLC	CRD# 25700	10/16/2022
IA	LEVEL FOUR ADVISORY SERVICES	CRD# 134086	11/14/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** jurisdiction(s).

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

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

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CANTELLA & CO., INC.	13905	ORMOND BEACH, FL	06/16/2005 - 10/20/2022
B	CANTELLA & CO., INC.	13905	ORMOND BEACH, FL	06/15/2005 - 10/20/2022
IA	GUNNALLEN FINANCIAL, INC	17609	DAYTONA BEACH, FL	06/06/2003 - 06/17/2005

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	5

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LEVEL FOUR ADVISORY SERVICES**

Main Address: 12400 COIT ROAD
SUITE 700
DALLAS, TX 75251

Firm ID#: 134086

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	11/14/2022

Branch Office Locations

LEVEL FOUR ADVISORY SERVICES
ORMOND BEACH, FL

Employment 2 of 2

Firm Name: **LEVEL FOUR FINANCIAL, LLC**

Main Address: 12400 COIT ROAD
SUITE 700
DALLAS, TX 75251

Firm ID#: 25700

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/16/2022
B	FINRA	General Securities Sales Supervisor	Approved	10/16/2022
B	California	Agent	Approved	10/18/2022
B	Florida	Agent	Approved	10/16/2022
B	Georgia	Agent	Approved	10/19/2022
B	Michigan	Agent	Approved	10/16/2022

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	10/16/2022
B	Ohio	Agent	Approved	10/16/2022
B	Pennsylvania	Agent	Approved	10/16/2022
B	South Carolina	Agent	Approved	10/17/2022

Branch Office Locations

LEVEL FOUR FINANCIAL, LLC
176 DEEP WOODS WAY
ORMOND BEACH, FL 32174

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 - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/18/1997

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	10/22/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/22/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/17/1993

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	06/16/2005 - 10/20/2022	CANTELLA & CO., INC.	CRD# 13905	ORMOND BEACH, FL
B	06/15/2005 - 10/20/2022	CANTELLA & CO., INC.	CRD# 13905	ORMOND BEACH, FL
IA	06/06/2003 - 06/17/2005	GUNNALLEN FINANCIAL, INC	CRD# 17609	DAYTONA BEACH, FL
B	06/05/2003 - 06/17/2005	GUNNALLEN FINANCIAL, INC	CRD# 17609	TAMPA, FL
IA	03/14/2003 - 06/10/2003	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ORMOND BEACH, FL
B	12/12/2002 - 06/10/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	09/22/2000 - 12/20/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
IA	09/22/2000 - 12/20/2002	UBS PAINEWEBBER INC.	CRD# 8174	DAYTONA BEACH, FL
B	10/25/1993 - 10/05/2000	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO

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
07/2022 - Present	LEVEL FOUR ADVISORY SERVICES, LLC	IVESTMENT ADVISOR REPRESENTATIVE	Y	DALLAS, TX, United States
07/2022 - Present	LEVEL FOUR FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, United States
06/2005 - 07/2022	CANTELLA & CO., INC	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, 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.INDEPENDENT INSURANCE AGENTSALES OF FIXED ANNUITIES, ORMOND BEACH FLORIDA, INSURANCE MAY BE OFFERED THROUGH LEVEL FOUR INSURANCE, APPROXIMATELY 5 HOURS PER MONTH DURING TRADING HOURS DEVOTED TO THIS ENTITY, STARTED 10/2022.

2.LEVEL FOUR ADVISORY SERVICES, LLC, DALLAS, TEXAS, AN SEC REGISTERED INVESTMENT ADVISOR, STARTED 10/2022, INVESTMENT ADVISORY SERVICES, APPROXIMATELY 160 HOURS PER MONTH DEVOTED TO THIS ENTITY.

3.WALL STREET FINANCIAL ADVISORS - THIS IS THE ENTITY THAT I AM DOING SECURITIES AND ADVISORY BUSINESS THROUGH AS MY (DBA). SECURITIES ARE OFFERED THROUGH LEVEL FOUR FINANCIAL AND ADVISORY SERVICES ARE OFFERED THROUGH LEVEL FOUR ADVISORY SERVICES. APPROXIMATELY 160 HOURS PER MONTH ARE DEVOTED TO THIS ENTITY. I AM THE SOLE OWNER OF THIS ENTITY.

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	5

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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	A. G. EDWARDS & SONS, INC.
Allegations:	ALLEGES UNSUITABLE TRADES. DAMAGES WERE NOT SPECIFIED BUT APPEAR IN EXCESS OF $5,000. ACTIVITY TOOK PLACE IN 2000.
Product Type:	Other
Other Product Type(s):	IRA
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	06/18/2001
Complaint Pending?	No
Status:	Settled
Status Date:	08/08/2003
Settlement Amount:	$41,947.07
Individual Contribution Amount:	$0.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS AND SONS, INC.

Allegations: ALLEGES UNSUITABLE TRADES. DAMAGES WERE NOT SPECIFIED BUT APPEAR IN EXCESS OF $5000. ACTIVITY TOOK PLACE IN 2000.

Product Type: Mutual Fund(s)

Other Product Type(s): IRA

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 06/18/2001

Complaint Pending? No

Status: Settled

Status Date: 08/08/2003

Settlement Amount: $41,947.07

Individual Contribution Amount: $0.00

Broker Statement THE CURRENT REGISTERED REP SHOULD BE NAMED IN THIS ACTION. I WAS ADVISOR ON THE CUSTOMER ACCOUNT FOR ONLY A FEW MONTHS. THE NEW(OR CURRENT) ADVISOR OVER THE NEXT THREE YEARS OBVIOUSLY DID NOTHING TO CONTAIN THE ACCOUNT FROM WIDENING LOSSES. I WAS NEVER NOTIFIED THAT THIS EVENT WAS OCCURRING.

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A. G. EDWARDS & SONS, INC.

Allegations: ALLEGED UNSUITABLE TRANSACTIONS. ACTIVITY OCCURRED FROM 1999 TO EARLY 2002.

Product Type: Mutual Fund(s)

Alleged Damages: $200,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2002

Complaint Pending? No

Status: Settled

Status Date: 05/24/2006

Settlement Amount: $54,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS INC.

Allegations: ALLEGES UNSUITABLE TRANSACTIONS.

Product Type: Mutual Fund(s)

Alleged Damages: $200,000.00

Customer Complaint Information

Date Complaint Received: 03/12/2002

Complaint Pending? No

Status: Settled

Status Date: 05/24/2006

Settlement Amount: $54,000.00

Individual Contribution Amount: $0.00

Broker Statement MR. GEANEAS VEHEMENTLY DENIES THE ALLEGATIONS CONTAINED IN THIS FORMER CLIENT COMPLIANT LETTER. THIS IS THE SECOND TIME A.G. EDWARDS & SONS, INC. HAVE WRONGFULLY PLACED AN EVENT ON MR. GEANEAS'S RECORD AND NOT ON THE RECORDS OF THE RESPONSIBLE BROKERS WHO ALLOWED A PROFITABLE ACCOUNT TO INCUR LARGE LOSSESS AFTER MR. GEANEAS CHOSE TO LEAVE THE FIRM. A.G. EDWARDS ADMITTED THE ACCOUNT WAS PROFITABLE DURING MR. GEANEAS'S WATCH AND THE LOSSES OCCURRED AFTER HE HAD LEFT THE FIRM. A.G. EDWARDS TOOK THIS ACTION TO PROTECT THE BROKERS THAT ALLOWED THESE LOSSES. THE RESPONSIBLE BROKERS, [BROKER] AND [BROKER], AND A.G. EDWARDS & SONS, INC. IGNORED A PROFITABLE ACCOUNT AND YET CONTINUED TO RECEIVE WRAP FEES FROM THE CLIENT WHILE POORLY MANAGING THE PORTFOLIO. MR. GEANEAS WAS NEVER CONTACTED BY EITHER A.G. EDWARDS OR THEIR LEGAL CONSUL PER THEIR WRITTEN AND EXECUTED REPRESENTATION AGREEMENT WITH REGARDS TO A SETTLEMENT WITH THIS CLIENT. THIS DEPRIVED MR. GEANEAS OF THE RIGHT TO RETAIN HIS OWN LEGAL CONSUL AND TO CLEAR HIS NAME OF THESE WRONGFUL CHARGES. A.G. EDWARDS HAVE VIOLATED MR. GEANEAS'S RIGHTS TO BE FAIRLY HEARD AND REPRESENTED IN THIS MATTER: THEY HAVE ALSO FAILED TO PROVIDE TIMELY COMMUNICATION WITH A REPRESENTATIVE THAT THEY HAD A LEGAL OBLIGATION TO KEEP INFORMED WITH REGARDS TO ANY DISPOSITION OF THIS COMPLAINT INCLUDING ANY SETTLEMENT OR NEGOTIATIONS. MR. GEANEAS IS CONTACTING THE NATIONAL ASSOCIATION OF SECURITIES DEALERS TO REPORT THIS BLATANT OFFENSE THAT A.G. EDWARDS HAS COMMITTED AND WILL BE SEEKING COUNCIL TO BRING THEM IN FRONT OF THE NASD FOR THIS DESPICABLE ACT.

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGES SALES CHARGE WERE MISREPRESENTED. LOSSES ARE

	NOT SPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF $5,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	05/04/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/24/2002
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLIENT ALLEGED SALES CHARGE WAS MISPRESENTED. DAMAGES ARE NOT SPECIFIED.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	05/04/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/24/2002
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 5

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENT MISREPRESENTATION
Product Type:	Mutual Fund(s)
Other Product Type(s):	ANNUITIES, OPTIONS, BONDS
Alleged Damages:	$1,750,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #00-04364
Date Notice/Process Served:	09/19/2000
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/21/2002
Disposition Detail:	RESPONDENT GEANEAS IS LIABLE AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF $10,000.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANTS ALLEGE CHURNING; UNSUITABLE INVESTMENTS; BREACH OF FIDUCIARY DUTY;NEGLIGENCE;BREACH OF CONTRACT AND FRAUD.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	10/25/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/25/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #00-04364
Date Notice/Process Served:	10/25/2000
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/21/2002
Monetary Compensation Amount:	$35,000.00
Individual Contribution Amount:	$10,000.00
Firm Statement	AWARD TO CLIENT - A. G. EDWARDS WAS LIABLE AND SHALL PAY $25,000.00. GEANEAS WAS LIABLE AND SHALL PAY $10,000.00

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	CLAIMANTS ALLEGED CHURNING, UNSUITABLE INVESTMENTS, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, BREACH OF CONTRACT AND FRAUD. DAMAGES NOT SPECIFIED.
Product Type:	Mutual Fund(s)
Alleged Damages:	$1,750,000.00

Customer Complaint Information

Date Complaint Received:	10/25/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/25/2000
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #00-04364
Date Notice/Process Served:	10/25/2000
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/21/2002
Monetary Compensation Amount:	$35,000.00
Individual Contribution Amount:	$10,000.00
Broker Statement	THE FORMER CLIENT WAS NOT SOLICITED BY MR. GEANEAS, BUT WAS A REFERRAL FROM AN EXISTING CLIENT. THE CLIENT TRANSFERRED IN APPROXIMATELY $650,000. OVER THE NEXT FEW YEARS HIS PROFITS WERE IN EXCESS OF $425,000.00, A FACT GLOSSED OVER BY HIS ATTORNEY. THIS WAS PROVEN DURING THE PROCEEDINGS. THE PROBLEM AROSE FROM THE CLIENT WITHDRAWING HIS PROFITS, ON A MONTHLY BASIS TO SPEND AND MAKE LARGE PURCHASES. THE ACCOUNT TRANSACTIONS WERE SUPERVISED AND APPROVED BY BOTH THE BRANCH MANAGER AND THE HOME OFFICE DURING THE ENTIRE TIME HE WAS AT THE FIRM. THIS ALSO INCLUDES THE SUITABILITY REQUIREMENTS FOR THE ACCOUNTS. THE CLIENT WAS CONTACTED EVERY TIME WHEN CHANGES WERE NECESSARY AND APPROVED OF EACH TRANSACTION; THIS WAS EVIDENCED BY HIS SIGNATURE ON THE REQUIRED DOCUMENTS. BOTH A.G.EDWARDS & SONS AND MR. GEANEAS WERE AMAZED THAT HE RECEIVED ANYTHING.

Disclosure 5 of 5

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADES AND THAT MR. GEANEAS WAS DECEPTIVE IN THE WAY HE HANDLED THE ACCOUNTS. LOSSES ARE NOT SPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF $5,000.

Product Type: No Product

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 10/11/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/24/2002

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING THAT BROKER WAS DECEPTIVE IN THE WAY HE HANDLED THE ACCOUNTS. LOSSES ARE NOT SPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF $5000.

Product Type: No Product

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 10/11/2000

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/24/2002

Settlement Amount:

Individual Contribution Amount:

End of Report

This page is intentionally left blank.