



IAPD Report

CHRISTOPHER HUGH BROCK

CRD# 2425944

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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

CHRISTOPHER HUGH BROCK (CRD# 2425944)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	10/01/2013
IA	MORGAN STANLEY	CRD# 149777	11/01/2013

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **50** jurisdiction(s).

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

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	MORGAN STANLEY SMITH BARNEY	149777	ATLANTA, GA	06/01/2009 - 12/22/2009
IA	MORGAN STANLEY SMITH BARNEY LLC	149777	ATLANTA, GA	06/01/2009 - 12/22/2009
IA	MORGAN STANLEY & CO. INCORPORATED	8209	ATLANTA, GA	12/23/2008 - 06/01/2009

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	6



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **50** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**
Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530
Firm ID#: 149777

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	10/01/2013
	NYSE American LLC	General Securities Representative	Approved	10/01/2013
	Nasdaq Stock Market	General Securities Representative	Approved	10/01/2013
	New York Stock Exchange	General Securities Representative	Approved	10/01/2013
	Alabama	Agent	Approved	01/07/2014
	Alaska	Agent	Approved	06/28/2019
	Arizona	Agent	Approved	01/10/2014
	Arkansas	Agent	Approved	12/03/2014
	California	Agent	Approved	01/03/2014
	Colorado	Agent	Approved	07/09/2014
	Connecticut	Agent	Approved	08/08/2016
	Delaware	Agent	Approved	02/15/2017
	District of Columbia	Agent	Approved	01/15/2016



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	01/06/2014
B	Georgia	Agent	Approved	11/01/2013
IA	Georgia	Investment Adviser Representative	Approved	11/01/2013
B	Hawaii	Agent	Approved	07/10/2014
B	Idaho	Agent	Approved	03/10/2015
B	Illinois	Agent	Approved	01/07/2014
B	Indiana	Agent	Approved	04/16/2014
B	Iowa	Agent	Approved	08/10/2021
B	Kansas	Agent	Approved	03/16/2016
B	Kentucky	Agent	Approved	12/10/2014
B	Louisiana	Agent	Approved	12/01/2014
B	Maryland	Agent	Approved	05/19/2014
B	Massachusetts	Agent	Approved	06/24/2014
B	Michigan	Agent	Approved	01/03/2014
B	Minnesota	Agent	Approved	12/08/2014
B	Mississippi	Agent	Approved	03/03/2016
B	Missouri	Agent	Approved	04/08/2014
B	Montana	Agent	Approved	02/07/2017
B	Nebraska	Agent	Approved	03/16/2018



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	08/27/2014
B	New Hampshire	Agent	Approved	06/07/2016
B	New Jersey	Agent	Approved	05/21/2014
B	New Mexico	Agent	Approved	03/03/2016
B	New York	Agent	Approved	07/09/2014
B	North Carolina	Agent	Approved	01/06/2014
B	Ohio	Agent	Approved	11/26/2014
B	Oklahoma	Agent	Approved	05/12/2022
B	Oregon	Agent	Approved	11/14/2016
B	Pennsylvania	Agent	Approved	01/03/2014
B	Rhode Island	Agent	Approved	01/22/2015
B	South Carolina	Agent	Approved	01/06/2014
B	South Dakota	Agent	Approved	02/12/2014
B	Tennessee	Agent	Approved	01/03/2014
B	Texas	Agent	Approved	04/16/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	04/23/2020
B	Utah	Agent	Approved	11/26/2014
B	Vermont	Agent	Approved	01/03/2014



Qualifications

	Regulator	Registration	Status	Date
B	Virgin Islands	Agent	Approved	08/05/2016
B	Virginia	Agent	Approved	11/26/2014
B	Washington	Agent	Approved	03/14/2016
B	West Virginia	Agent	Approved	01/22/2014
B	Wisconsin	Agent	Approved	06/11/2014
B	Wyoming	Agent	Approved	03/03/2016

Branch Office Locations

MORGAN STANLEY
Roswell, GA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Futures Managed Funds Examination (S31)	Series 31	10/06/2003
B General Securities Representative Examination (S7)	Series 7	01/04/1994

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	10/31/2013
IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/18/1994
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/04/1994



PROFESSIONAL DESIGNATIONS

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

No information reported.

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



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/01/2009 - 12/22/2009	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ATLANTA, GA
IA	06/01/2009 - 12/22/2009	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ATLANTA, GA
IA	12/23/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ATLANTA, GA
B	12/18/2008 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	ATLANTA, GA
B	10/01/2001 - 12/22/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
IA	10/01/2001 - 12/22/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ATLANTA, GA
B	01/05/1994 - 10/26/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
08/2013 - Present	MORGAN STANLEY	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

No information reported.



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	6

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH
Allegations:	CLIENT'S ATTORNEY ALLEGES THAT PURCHASE OF VARIABLE ANNUITY WAS UNSUITABLE.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$70,000.00

Customer Complaint Information

Date Complaint Received:	12/08/2006
Complaint Pending?	No
Status:	Denied
Status Date:	03/01/2007

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CLIENTS ALLEGATIONS WERE FOUND TO BE WITHOUT MERIT AND THE COMPLAINT WAS DENIED.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH

Allegations: CLIENT'S ATTORNEY ALLEGES THAT PURCHASE OF VARIABLE ANNUITY WAS UNSUITABLE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$70,000.00

Customer Complaint Information

Date Complaint Received: 12/08/2006

Complaint Pending? No

Status: Denied

Status Date: 03/01/2007

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGED THAT HE WAS MISLED AND THAT HIS ACCOUNT WAS INVESTED AGGRESSIVELY FOR A CONSERVATIVE INVESTOR.

Product Type: Investment Contract(s)

Alleged Damages: \$88,730.00

Customer Complaint Information

Date Complaint Received: 07/25/2002

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement MERRILL LYNCH FOUND THAT THE CUSTOMER WAS PROPERLY INFORMED IN HIS INVESTMENT DECISIONS AND THAT THE INVESTMENTS RECOMMENDED FOR HIS ACCOUNT WERE CONSISTENT WITH HIS INVESTMENT OBJECTIVE AND RISK TOLERANCE.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH



Allegations: CUSTOMER ALLEGED THAT HE WAS MISLED AND THAT HIS ACCOUNT WAS INVESTED AGGRESSIVELY FOR A CONSERVATIVE INVESTOR

Product Type: Other

Alleged Damages: \$88,730.00

Customer Complaint Information

Date Complaint Received: 07/25/2002

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGES MR. BROCK DID NOT EXPLAIN HOW AGGRESSIVE HE WAS GOING TO BE OR THE LEVEL OF RISK INVOLVED WITH THE INVESTMENTS. NO DAMAGES SPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/25/2002

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE

Allegations: CLIENT ALLEGES MR BROCK DID NOT EXPLAIN HOW AGGRESSIVE HE WAS GOING TO BE OR THE LEVEL OF RISK INVOLVED WITH THE INVESTMENTS. NO DAMAGES SPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information



Date Complaint Received: 07/25/2002

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CUSTOMER CLAIMS THAT HIS ACCOUNTS WERE TOO AGGRESSIVE AND ARE NOW DOWN IN VALUE.

Product Type: Mutual Fund(s)

Alleged Damages: \$157,000.00

Customer Complaint Information

Date Complaint Received: 10/23/2001

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER OPENED A MERRILL LYNCH EQUITY MUTUAL FUND ADVISOR MANAGED ACCOUNT & SEPARATE IRA ACCT W/CORPORATE BONDS PREFERRED'S FIXED INCOME & EQUITY MUTUALS IN MID 1998. OCT 8TH 1999 CUSTOMER WAS CONCERNED W/HIS BOND & OTHER FIXED INCOME FUND POSITIONS LOWER W/HIGHER MARKETS. DISCUSSED FIXED INCOME VALUES IN A RISING INTEREST RATE ENVIRONMENT & HIS ANNUAL WITHDRAWAL OF 12% TOO HIGH. HE SUBSEQUENTLY HAD A PORTFOLIO HIGH IN DEC 99 & WANTED MORE FUNDS IN EQUITY MARKETS (25% MORE). I HAVE DATABASE DATES OF LENGTHY DISCUSSIONS REGARDING MARKET & INTEREST RATE CYCLES. NO COMPLAINT WAS GIVEN IN OUR MAY 01 PHONE CONVERSATION OR JULY 01 MEETING RE HIS MOTHERS ESTATE.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Other



Other Product Type(s): MUTUAL FUNDS CORPORATE BONDS PREFERRED

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/23/2001

Complaint Pending? No

Status: Denied

Status Date: 09/11/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER ALLEGES THAT HE AND HIS WIFE WERE GUARANTEED A RETURN OF 9% - 14% ON THEIR INVESTMENT. CUSTOMER STATES THAT THIS RETURN WAS NOT DELIVERED. NO SPECIFIC DAMAGES ALLEGED.

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/16/2001

Complaint Pending? No

Status: Denied

Status Date: 10/14/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement AFTER REVIEWING THE ALLEGATIONS MADE BY THE CUSTOMER, THE FIRM FOUND THEM TO BE WITHOUT MERIT. ACCORDINGLY, THIS MATTER WAS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER OPENED A MERRILL LYNCH PRIVATE PORTFOLIO GROUP (PPG) ACCT (LARGE CAP VALUE 55-60% & FIXED) 03/98 MANAGED BY FRANK SHREINER CFA. I EXPLAINED, HE SIGNED & RCVD A COPLY OF THE PPG DOC'S. HE WAS SHOWN HISTORICAL BLENDED RETURNS, NO GUARANTEES MADE. HE WITHDREW >100K OR 25% THE 1ST YEAR.HE



COMPLAINED ABOUT PERFORMANCE & WANTED THE ACCT. CHANGED. 03/99 CUSTOMER TRANSFERRED HIS ACCT TO LAUREL & RITTENHOUSE MGRS. FOR MORE AGGRESSIVE LARGE CAP. HE WITHDREW \$77.5K IN 99 APPROX 25%. 02/00 HE CALLED TO LIQUIDATE THE MGRS AND MORE AGGRESSIVE IDEAS W/NASDAQ EXPOSURE, 10 DAYS LATER HE PURCHASED 9 EQUITY MUTUAL FUNDS. HE WITHDREW \$71K IN 2000 APPROX. 27%.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Other
Other Product Type(s): EQUITIES & FIXED INCOME IN CONSULTING MANAGEMENT ACCOUNTS
MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/14/2001
Complaint Pending? No
Status: Denied
Status Date: 09/11/2002
Settlement Amount:
Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: CLIENT ALLEGES THAT THE RR FAILED TO APPRISE HIM OF THE RISKS ASSOCIATED WITH HIGH YIELD BOND FUNDS.

Product Type: Mutual Fund
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): Damages are not specified.

Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 07/17/2001
Complaint Pending? No
Status: Denied
Status Date: 09/11/2002
Settlement Amount:

**Individual Contribution****Amount:**
.....**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

MERRILL LYNCH

Allegations:

CLIENT ALLEGES THAT VARIOUS HIGH YIELD INCOME INVESTMENTS HELD IN HIS ACCT WERE NOT APPROPRIATE FOR HIS SUITABILITY/RISK TOLERANCE. RECORDS SHOW CLIENT HELD POSITIONS PRIOR TO BECOMING MERRILL LYNCH CLIENT. RISK TOLERANCE QUESTIONNAIR COMPLETED INDICATES INVESTMENTS WITHIN STATED SUITABILITY/RISK TOLERANCE RANGE.

ALLEGED DAMAGES - UNSPECIFIED

Product Type:

Other

Other Product Type(s):

HIGH YIELD BOND MUTUAL FDS PREFERRED EQUITY MUTUAL FDS

DISCUSSED CDS SENIOR FLOATING RATE FUNDS AND CORPORATE BONDS

Alleged Damages:**Customer Complaint Information****Date Complaint Received:**

07/17/2001

Complaint Pending?

No

Status:

Denied

Status Date:

09/11/2002

Settlement Amount:**Individual Contribution
Amount:**



End of Report

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