



IAPD Report

GREGORY ALLEN EASTMAN

CRD# 2456282

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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

GREGORY ALLEN EASTMAN (CRD# 2456282)

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 **01/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/04/2022
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/04/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	04/16/2013 - 04/07/2022
B	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	09/24/2007 - 04/07/2022
B	SECURITIES AMERICA, INC.	10205	OMAHA, NE	04/16/2007 - 06/28/2007

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	2
Criminal	1
Termination	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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/04/2022
B	Arizona	Agent	Approved	04/21/2022
IA	California	Investment Adviser Representative	Approved	04/04/2022
B	California	Agent	Approved	04/05/2022
B	Colorado	Agent	Approved	04/22/2022
B	Florida	Agent	Approved	04/05/2022
B	Georgia	Agent	Approved	04/05/2022
B	Illinois	Agent	Approved	04/25/2022
B	Indiana	Agent	Approved	04/25/2022
B	Kentucky	Agent	Approved	04/21/2022
B	Maryland	Agent	Approved	04/05/2022
B	Minnesota	Agent	Approved	04/22/2022
B	New Jersey	Agent	Approved	04/22/2022



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	04/28/2022
B North Carolina	Agent	Approved	04/25/2022
B Ohio	Agent	Approved	04/04/2022
B Pennsylvania	Agent	Approved	04/22/2022
B Tennessee	Agent	Approved	04/25/2022
B Texas	Agent	Approved	04/04/2022
IA Texas	Investment Adviser Representative	Restricted Approval	04/05/2022
B Virginia	Agent	Approved	04/23/2022
B Washington	Agent	Approved	04/22/2022

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
3100 W Ray Rd Ste 201
San Tan Corporate Cent
Chandler, AZ 85226

AMERIPRISE FINANCIAL SERVICES, LLC
Chandler, AZ




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





Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/23/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/01/2006
 National Commodity Futures Examination (S3)	Series 3	05/09/1994

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/02/2013
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/06/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/30/1994

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	04/16/2013 - 04/07/2022	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	09/24/2007 - 04/07/2022	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	04/16/2007 - 06/28/2007	SECURITIES AMERICA, INC.	CRD# 10205	OMAHA, NE
B	06/26/2006 - 08/21/2006	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	06/26/2002 - 03/03/2004	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	05/31/2002 - 06/17/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
IA	05/31/2002 - 06/17/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	SCOTTSDALE, AZ
B	06/13/1997 - 06/13/2002	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	06/01/1994 - 06/20/1997	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ

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
04/2022 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	REGISTERED REP	Y	CHANDLER, AZ, United States
09/2007 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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.

Business Ownership; G Consulting LLC; Run the Business; Consulting; 5121 Camellia Drive, , Chandler, AZ, 85248; Not



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Investment-Related; 06/01/2006; 20 to 39 hours per month; 0 during trading hours.



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	2
Criminal	1
Termination	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 05/05/2008

Docket/Case Number: 0700453

Employing firm when activity occurred which led to the regulatory action: U.S. BANCORP PIPER JAFFRAY, INC.

Product Type: No Product

Other Product Type(s):

Allegations: NASD FOUND THAT RESPONDENT ENGAGED IN UNETHICAL CONDUCT IN VIOLATION OF RULE 2110 BY FALSELY REPRESENTING HAS COMMISSIONS AND ASSETS UNDER MANAGEMENT OF HIS HAND - CURRENT EMPLOYER IS ORDER TO OBTAIN EMPLOYMENT AT ANOTHER FIRM. RESPONDENT REGISTRATIONS AS A SALESPERSON IN IL IS SUBJECT TO DENIAL.

Current Status: Final

Resolution: Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

06/23/2008

Sanctions Ordered:

Monetary/Fine \$250.00

Other Sanctions Ordered:

CONSENT ORDER WITHDRAWAL OF APPLICATION

Sanction Details:

RESPONDENT WILL CAUSE TO HAVE HIS APPLICATIONS FOR REGISTRATION AS A SALESPERSON IN THE STATE OF IL. WITHDRAWN WITHIN 3 DAYS FROM THE ENTRY OF THIS CONSENT ORDER, AND SHALL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF 5 YEARS. RESPONDENT ALSO IS TO PAY \$250 TO COVER COSTS OF INVESTIGATIONS.

Regulator Statement

IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MR. JAY BIONDO AT 312-793-3384.

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF ILLINOIS SECRETARY OF STATE SECURITIES DEPARTMENT

Sanction(s) Sought:

Denial

Date Initiated:

05/05/2008

Docket/Case Number:

0700453

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

US BANCORP PIPER JAFFRAY, INC.

Product Type:

No Product

Allegations:

NASD FOUND THAT RESPONDENT ENGAGED IN UNETHICAL CONDUCT IN VIOLATION OF RULE 2110 BY FALSELY REPRESENTING COMMISSIONS AND ASSETS UNDER MGMT IN ORDER TO OBTAIN EMPLOYMENT AT ANOTHER FIRM. RESPONDEND REGISTRATIONS AS A SALESPERSON IN IL IS SUBJECT TO DENIAL.

Current Status:

Final

Resolution:

Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

06/23/2008

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)



Total Amount:	\$250.00
Portion Levied against individual:	\$250.00
Payment Plan:	N/A
Is Payment Plan Current:	Yes
Date Paid by individual:	06/23/2008
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	MR. EASTMAN AGREED TO WITHDRAW HIS APPLICATION IN THE STATE OF ILLINOIS AND WAS ASKED TO PAY \$250 FOR THE INVESTIGATION COSTS OF ORIGINAL APPLICATION.
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Date Initiated:	05/08/2003
Docket/Case Number:	C3A030012
Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER, INC.
Product Type:	No Product
Allegations:	NASD CONDUCT RULE 2110 - RESPONDENT SUBMITTED MATERIAL FALSE DOCUMENTATION TO A FIRM CONCERNING THE AMOUNT OF HIS YEAR 2001 GROSS COMMISSIONS AND THE AMOUNT OF HIS ASSETS UNDER MANAGEMENT FOR THE FIRST QUARTER OF 2002. BASED ON RESPONDENT'S FALSE SUBMISSIONS, HE WAS OFFERED A JOB BY THE FIRM AND A FORGIVABLE LOAN OF \$400,000. THE LOAN WAS FORGIVABLE OVER A 72-MONTH PERIOD. THE EMPLOYMENT AGREEMENT EXPLICITLY STATED THAT A MAJOR INDUCEMENT FOR THE EMPLOYMENT OF RESPONDENT BY THE FIRM, AND THE \$400,000 LOAN WERE THE AMOUNT OF RESPONDENT'S 2001 COMMISSIONS AND THE AMOUNT OF HIS 2002 ASSETS UNDER MANAGEMENT THAT RESPONDENT REPRESENTED TO BE TRUE AND ACCURATE. AFTER LEARNING OF THE MATERIAL DISCREPANCIES IN THE AMOUNTS OF RESPONDENT'S 2001 COMMISSIONS AND THE AMOUNTS OF HIS 2002 ASSETS UNDER MANAGEMENT PREVIOUSLY REPORTED, THE FIRM RECLAIMED THE \$400,000 FROM RESPONDENT'S INDIVIDUAL BROKERAGE ACCOUNT AT THE FIRM AND ON JUNE 11, 2002, RESPONDENT WAS PERMITTED TO RESIGN FROM THE FIRM.
Current Status:	Final
Resolution:	Decision



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: 04/06/2004

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement RESPODENT GREGORY A. EASTMAN ENGAGED IN UNETHICAL CONDUCT, IN VIOLATION OF RULE 2110, BY FALSELY REPRESENTING HIS COMMISSIONS AND ASSETS UNDER MANAGEMENT AT HIS THEN-CURRENT EMPLOYER IN ORDER TO OBTAIN EMPLOYMENT WITH ANOTHER NASD MEMBER FIRM.
HEARING PANEL DECISION RENDERED ON FEBRUARY 18, 2004, WHEREIN GREGORY A. EASTMAN WAS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 2 YEARS, FINED \$20,000.00 AND ORDERED TO PAY \$1,572.27 IN COSTS OF HEARING. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SANCTIONS WERE BASED ON FINDINGS THAT GREGORY A. EASTMAN ENGAGED IN UNETHICAL CONDUCT, IN VIOLATION OF RULE 2110, BY FALSELY REPRESENTING HIS COMMISSIONS AND ASSETS UNDER MANAGEMENT AT HIS MEMBER FIRM IN ORDER TO OBTAIN EMPLOYMENT WITH ANOTHER MEMBER FIRM. IF NO OTHER ACTION IS TAKEN, DECISION WILL BECOME FINAL ON APRIL 6, 2004. APRIL 6, 2004 - DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY. THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON APRIL 19, 2004, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS ON APRIL 19, 2006.
FINES PAID ON AUGUST 6, 2009.

Reporting Source: Firm

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought: Other

Other Sanction(s) Sought: NASD FILED A FORMAL DISCIPLINARY COMPLAINT AGAINST GREGORY EASTMAN

Date Initiated: 05/05/2003

Docket/Case Number: NASD CASE #C3A030012

Employing firm when activity occurred which led to the regulatory action: US BANCORP PIPER JAFFERY

Product Type: No Product

Other Product Type(s):

Allegations: FALSIFICATION OF RECORDS: PRIOR TO MAY 31, 2002 GREG EASTMAN SUBMITTED MATERIALLY FALSE INFORMATION TO HIS POTENTIAL NEW B/D RBC DAIN RAUSHER CONCERNING 2001 GROSS COMMISSIONS. AS WELL



AS SUBMITTING MATERIALLY FALSE ASSETS UNDER MANAGEMENT FIGURES FOR THE FIRST 3 MONTHS OF 2002 TO RBC DAIN RAUSHER. THE INFLATED FIGURES ALLOWED MR. EASTMAN TO SECURE A LARGER LOAN FROM RBC DAIN RAUSHER IN CONNECTION WITH HIS TRADITION FROM US BANCORP PIPER JAFFRAY TO RBC DAIN RAUSHER.

Current Status: Final
Resolution: Decision
Resolution Date: 02/18/2004
Sanctions Ordered: Monetary/Fine \$20,000.00
Other Sanctions Ordered:

Sanction Details: MR. EASTMAN TWO YEAR SUSPENSION SHALL BEGIN MONDAY APRIL 19, 2004 AND SHALL END WEDNESDAY APRIL 19, 2006. HE IS SUSPENDED IN ALL CAPACITIES OF HIS SECURITIES LICENSES. NO REQUALIFICATION REQUIREMENTS WERE NOTED IN THE DECISION. FINED \$20,000 TO BE PAID BY MR. EASTMAN.

Firm Statement MR EASTMAN INTENDS TO CONTEST THE STATEMENT OF COMPLAINT AND THE PRAYER FOR RELIEF. PURSUANT TO RULE 9221 OF THE NASD CODE, MR. EASTMAN WILL ALSO REQUEST A HEARING AND DEFEND THIS MATTER.

Reporting Source: Individual
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought: Other
Other Sanction(s) Sought: NASD FILED A FORMAL DISCIPLINARY COMPLAINT AGAINST GREGORY EASTMAN
Date Initiated: 05/05/2003
Docket/Case Number: NASD CASE #C3A030012
Employing firm when activity occurred which led to the regulatory action: US BANCORP PIPER JAFFERY

Product Type: No Product

Other Product Type(s):

Allegations: FALSIFICATION OF RECORDS: PRIOR TO MAY 31, 2002 GREG EASTMAN SUBMITTED MATERIALLY FALSE INFORMATION TO HIS POTENTIAL NEW B/D RBC DAIN RAUSHER CONCERNING 2001 GROSS COMMISSIONS. AS WELL AS SUBMITTING MATERIALLY FALSE ASSETS UNDER MANAGEMENT FIGURES FOR THE FIRST 3 MONTHS OF 2002 TO RBC DAIN RAUSHER. THE INFLATED FIGURES ALLOWED MR. EASTMAN TO SECURE A LARGER LOAN FROM RBC DAIN RAUSHER IN CONNECTION WITH HIS TRADITION FROM US BANCORP PIPER JAFFRAY TO RBC DAIN RAUSHER.

Current Status: Final
Resolution: Decision
Resolution Date: 02/18/2004
Sanctions Ordered: Monetary/Fine \$20,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

MR. EASTMAN TWO YEAR SUSPENSION SHALL BEGIN MONDAY APRIL 19, 2004 AND SHALL END WEDNESDAY APRIL 19, 2006. HE IS SUSPENDED IN ALL CAPACITIES OF HIS SECURITIES LICENSES. NO REQUALIFICATION REQUIREMENTS WERE NOTED IN THE DECISION. FINED \$20,000 TO BE PAID BY MR. EASTMAN.

Broker Statement

MR EASTMAN INTENDS TO CONTEST THE STATEMENT OF COMPLAINT AND THE PRAYER FOR RELIEF. PURSUANT TO RULE 9221 OF THE NASD CODE, MR. EASTMAN WILL ALSO REQUEST A HEARING AND DEFEND THIS MATTER.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	Commonwealth of Pennsylvania
Location of Court:	Allegheny County
Docket/Case #:	8302165
Charge Date:	02/26/1983
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Simple Assault False Imprisonment Involuntary Deviate Sexual Intercourse Indecent Assault Rape
No of Counts:	5
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Reduced
Date of Amended Charge:	09/20/1984
Charge was Amended or reduced to:	Charges reduced to misdemeanor assault. Three years probation from 09/20/1984- 9/20/1987. No monetary penalty or fine.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Reduced
Current Status:	Final
Status Date:	09/20/1984
Disposition Date:	09/20/1984



Sentence/Penalty:

Charges reduced to misdemeanor assault.
Three years probation from 09/20/1984- 9/20/1987.
No monetary penalty or fine.

Broker Statement

ON FEBRUARY 26, 1983 I MADE A VERY POOR DECISION, FOLLOWING A NIGHT OF DRINKING, WHEN I DECIDED TO ACCEPT AN INVITATION TO A FEMALE FRIENDS DORM ROOM. WHAT ENSUED COST ME THREE PRECIOUS YEARS OF MY LIFE AND BROUGHT GREAT EMBARRASSMENT, SHAME, & HUMILIATION AND REMORSE TO MY FAMILY. I HOWEVER, HAVE GROWN AND MATURED IMMEASURABLE FOLLOWING THE ABOVE-REFERENCED EVENT INCLUDING COMPLETING MY UNDERGRADUATE DEGREE DURING THE ORDEAL.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	RBC DAIN RAUSCHER INC.
Termination Type:	Permitted to Resign
Termination Date:	06/11/2002
Allegations:	ALTERED, FALSIFIED, AND PRESENTED DOCUMENTS/RECORDS FROM PRIOR FIRM TO REFLECT SEVERAL TIMES ACTUAL PRODUCTION AND ASSETS UNDER MANAGEMENT AT THE PRIOR FIRM FOR THE PURPOSE OF OBTAINING EMPLOYMENT AND GREATER TRANSITIONAL COMPENSATION.
Product Type:	No Product
Other Product Types:	
Broker Statement	MR. EASTMAN RETURNED ALL TRANSITIONAL COMPENSATION AND SERVED A SUSPENSION DETAILED IN NASD CASE C3A030012



End of Report

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