



IAPD Report

PASQUALE CAPONE

CRD# 2487767

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6
Disclosure Information	7



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

PASQUALE CAPONE (CRD# 2487767)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	&PARTNERS	CRD# 3767	07/11/2025
IA	&PARTNERS	CRD# 3767	07/11/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	WELLS FARGO ADVISORS	19616	WOODBURY, NY	10/01/2019 - 07/16/2025
B	WELLS FARGO CLEARING SERVICES, LLC	19616	WOODBURY, NY	06/14/2004 - 07/16/2025
IA	WELLS FARGO ADVISORS, LLC	19616	WOODBURY, NY	07/14/2014 - 12/31/2014

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	9



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

Employment 1 of 1

Firm Name: **&PARTNERS**
Main Address: 40 BURTON HILLS BLVD
SUITE 350
NASHVILLE, TN 37215
Firm ID#: 3767

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/11/2025
B	FINRA	General Securities Sales Supervisor	Approved	07/11/2025
B	Arizona	Agent	Approved	07/11/2025
B	California	Agent	Approved	07/16/2025
B	Colorado	Agent	Approved	09/19/2025
B	Connecticut	Agent	Approved	07/25/2025
B	Florida	Agent	Approved	07/11/2025
B	Georgia	Agent	Approved	07/11/2025
B	Illinois	Agent	Approved	07/28/2025
B	Indiana	Agent	Approved	07/11/2025
B	Maryland	Agent	Approved	12/05/2025
B	Massachusetts	Agent	Approved	09/24/2025
B	New Hampshire	Agent	Approved	07/11/2025



Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	07/11/2025
B	New York	Agent	Approved	07/22/2025
IA	New York	Investment Adviser Representative	Approved	02/26/2026
B	North Carolina	Agent	Approved	08/08/2025
B	Ohio	Agent	Approved	07/23/2025
B	Oregon	Agent	Approved	07/11/2025
B	Pennsylvania	Agent	Approved	07/11/2025
B	South Carolina	Agent	Approved	07/23/2025
B	Tennessee	Agent	Approved	07/14/2025
B	Texas	Agent	Approved	07/11/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	07/11/2025
B	Virginia	Agent	Approved	07/11/2025

Branch Office Locations

&PARTNERS

380 New York Ave
Huntington, NY 11743



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, 3 general industry/product exams, and 3 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	07/01/1997

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	06/17/1994
B	General Securities Representative Examination (S7)	Series 7	06/11/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/26/2026
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/11/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/15/1994



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
IA	10/01/2019 - 07/16/2025	WELLS FARGO ADVISORS	CRD# 19616	WOODBURY, NY
B	06/14/2004 - 07/16/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WOODBURY, NY
IA	07/14/2014 - 12/31/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	WOODBURY, NY
B	06/13/1994 - 06/15/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
07/2025 - Present	&PARTNERS	Financial Advisor	Y	Nashville, TN, United States
11/2016 - 07/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	WOODBURY, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WOODBURY, NY, 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.

TRUSTEE FOR BROTHER IN-LAW; INV RELATED; HERMITAGE, PA; START: 12/1/16; 1 HR/MO; 0 DURING TRADING.



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	9

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 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO CLEARING SERVICES, LLC
Allegations:	Claimant alleges unsuitable investment recommendations were made
Product Type:	Other: Miscellaneous
Alleged Damages:	\$600,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-03338
Date Notice/Process Served:	11/21/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/09/2025
Monetary Compensation Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	A business decision was made to resolve the matter and avoid the time and expense of proceeding to a hearing

**Disclosure 2 of 9**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors, LLC

Allegations: Claimants allege that since 2008, FA made unauthorized and unsuitable trades.

Product Type: Other: Miscellaneous

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimants are seeking damages of at least \$500,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 16-02705

Date Notice/Process Served: 09/19/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/01/2017

Monetary Compensation Amount: \$47,500.00

Individual Contribution Amount: \$0.00

Broker Statement The Firm settled this matter for \$47,500.00 without any admission of wrongdoing, solely to avoid the costs and expenses of continued litigation and to terminate the arbitration. The broker was not asked to contribute in any way to the settlement and did not in fact contribute to the settlement.

Disclosure 3 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLAIMANT, A RESIDENT OF NEW YORK, ALLEGES RESPONDENTS EXECUTED EXCESSIVE TRADES AND MADE UNSUITABLE INVESTMENTS FOR HIS ACCOUNTS. CLAIMANT IS REQUESTING AN AWARD OF COMPENSATORY/ECONOMIC DAMAGES OF NO LESS THAN \$500,000. DATES OF ACTIVITY NOT SPECIFIED.

Product Type: Index Option
Options

Alleged Damages: \$500,000.00

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 #: 10-03068

Filing date of arbitration/CFTC reparation or civil litigation: 07/09/2010

Customer Complaint Information

Date Complaint Received: 07/13/2010

Complaint Pending? No

Status: Settled

Status Date: 09/27/2011

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE FIRM SETTLED THIS MATTER FOR \$70,000.00.

Disclosure 4 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES MR. CAPONE TRADED IN HIS ACCOUNT WITHOUT AUTHORIZATION.

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/20/2004

Complaint Pending? No

Status: Denied

Status Date: 10/18/2004

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE COMPLAINT WAS FOUND WITHOUT MERIT AND DENIED ON OCTOBER 18, 2004.

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES MR. CAPONE TRADED IN HIS ACCOUNT WITHOUT AUTHORIZATION.

Product Type: Other

Other Product Type(s): CORPORATE BONDS

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/20/2004

Complaint Pending? No

Status: Denied

Status Date: 10/18/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE COMPLAINT WAS FOUND WITHOUT MERIT AND DENIED ON OCTOBER 18, 2004.

Disclosure 5 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLAIMANT ALLEGED UNSUITABLE RECOMMENDATIONS, NEGLIGENCE AND OTHER CLAIMS RELATING TO INVESTMENT ACTIVITY BETWEEN 2000 AND 2002.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 08/18/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/18/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 04-05768



Date Notice/Process Served: 08/18/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/2006

Monetary Compensation Amount: \$37,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: UNSUITABLE RECOMMENDATIONS DURING THE TIME PERIOD OF OCTOBER 2000 TO NOVEMBER 2002.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 08/18/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/18/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 04-05768

Date Notice/Process Served: 08/18/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/2006

Monetary Compensation Amount: \$37,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 9

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES MISMANAGEMENT, EXCESSIVE TRADING, AND SUITABILITY. ALLEGED DAMAGES ARE OVER \$5,000.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received: 06/21/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/14/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE DOCKET NO. 2005-015979

Date Notice/Process Served: 02/14/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/25/2005

Monetary Compensation Amount: \$23,000.00

Individual Contribution Amount: \$0.00

Firm Statement PREVIOUSLY DENIED 09/5/2004.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CLIENT ALLEGES MISMANAGEMENT, EXCESSIVE TRADING, AND SUITABILITY. ALLEGED DAMAGES ARE OVER \$5,000.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 06/21/2004



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/14/2005
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE DOCKET NO. 2005-015979
Date Notice/Process Served:	02/15/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/25/2005
Monetary Compensation Amount:	\$23,000.00
Individual Contribution Amount:	\$0.00

Disclosure 7 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	BREACH OF FIDUCIARY DUTY.
Product Type:	Other
Other Product Type(s):	EQUITIES
Alleged Damages:	\$100,000.00

Customer Complaint Information

Date Complaint Received:	05/11/2004
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	PREVIOUSLY REPORTED ON U-4.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	BREACH OF FIDUCIARY DUTY



Product Type: Other: UNKNOWN

Alleged Damages: \$100,000.00

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: 05/11/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/13/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.

Disclosure 8 of 9

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** MORGAN STANLEY DW INC.

Allegations: FAILURE TO SUPERVISE.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 02/12/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/13/2004

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [NASD NO. 04-00721](#)

Date Notice/Process Served: 02/13/2004



Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/14/2005
Monetary Compensation Amount: \$200,000.00
Individual Contribution Amount: \$0.00
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.
Allegations: FAILURE TO SUPERVISE.
Product Type: Other
Other Product Type(s): EQUITIES
Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 02/12/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/13/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD NO. 04-00721](#)

Date Notice/Process Served: 02/13/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/14/2005
Monetary Compensation Amount: \$200,000.00
Individual Contribution Amount: \$0.00

Disclosure 9 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.



Allegations: STATEMENT OF CLAIM ALLEGES BREACH OF FIDUCIARY DUTY, UNSUITABILITY AND MISREPRESENTATION.

Product Type: Mutual Fund(s)

Alleged Damages: \$141,816.00

Customer Complaint Information

Date Complaint Received: 10/18/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/18/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR NO. 02-05973

Date Notice/Process Served: 10/18/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2003

Monetary Compensation Amount: \$36,000.00

Individual Contribution Amount: \$0.00

Firm Statement PREVIOUSLY REPORTED ON U-4.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: STATEMENT OF CLAIM ALLEGES BREACH OF FIDUCIARY DUTY, UNSUITABILITY AND MISREPRESENTATION.

Product Type: Mutual Fund(s)

Alleged Damages: \$141,816.00

Customer Complaint Information

Date Complaint Received: 10/18/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/18/2002

Settlement Amount:



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD DR NO. 02-05973

Date Notice/Process Served: 10/18/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2003

**Monetary Compensation
Amount:** \$36,000.00

**Individual Contribution
Amount:** \$0.00



End of Report

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