



IAPD Report

THOMAS ARTHUR HOPKINS

CRD# 249956

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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

THOMAS ARTHUR HOPKINS (CRD# 249956)

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 **02/07/2022**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	AUSDAL FINANCIAL PARTNERS, INC.	7995	DOWNERS GROVE, IL	12/06/2017 - 02/07/2022
IA	AUSDAL FINANCIAL PARTNERS, INC.	7995	DOWNERS GROVE, IL	02/22/2008 - 12/07/2015
IA	ROBERT B. AUSDAL & CO. INC.	7995	DOWNERS GROVE, IL	02/07/2008 - 02/07/2008

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	13



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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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 IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/1998
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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	12/06/2017 - 02/07/2022	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	DOWNERS GROVE, IL
IA	02/22/2008 - 12/07/2015	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	DOWNERS GROVE, IL
IA	02/07/2008 - 02/07/2008	ROBERT B. AUSDAL & CO. INC.	CRD# 7995	DOWNERS GROVE, IL
IA	02/17/1998 - 01/28/2008	WATERSTONE FINANCIAL GROUP, INC.	CRD# 10078	DEERFIELD, IL
IA	01/16/1998 - 12/31/2003	STERLING PORTFOLIO ALLOCATION SERVICE INC	CRD# 110796	ITASCA, IL

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
11/2017 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
12/2015 - Present	AUSDAL FINANCIAL PARTNERS, INC	BOARD MEMBER	Y	DAVENPORT, IA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1) ELITE DAIRY GENOMICS; INVESTMENT RELATED; DOWNERS GROVE, IL; BOARD MEMBER; OFFICER/DIRECTOR/INVESTOR; BEGAN 04/01/2012; APPROX 2-5 HOURS PER MONTH, 2-5 HOURS DURING TRADING HOURS; GOVERNING BOARD MEMBER AND ATTEND MEETINGS AD HOC; COMPENSATION RECEIVED IS INTEREST ON LOAN TO FIRM.
- 2)AMPLIFY HOLDINGS, LLC; WHEATON, IL;INVESTMENT RELATED; ONLINE ETF'S; ADVISORY BOARD MEMBER/INVESTOR; BEGAN 12/2014; APPX. 2 HOURS PER MONTH; ALL DURING TRADING HOURS; CONSULTANT; NO COMPENSATION AS BOARD MEMBER



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	13

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 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$8,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-03605

Date Notice/Process Served: 12/14/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS,
RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTL AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR



OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER
REASONS, AWARD AMOUNT JOINTLY AND SEVERALL

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.
Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY CLAIM AMOUNT \$8,000.

Product Type:
Alleged Damages: \$8,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation

Status Date:
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-03605

Date Notice/Process Served: 12/14/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 2 of 13

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$53,360.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-03647

Date Notice/Process Served: 01/01/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTL AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$70,000.

Product Type:

Alleged Damages: \$53,360.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-03647

Date Notice/Process Served: 01/01/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEARS PERIOD.
Not Provided

Disclosure 3 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; SUITABILITY

Product Type:

Alleged Damages: \$267,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-04994

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/21/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT



JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$267,000.

Product Type:

Alleged Damages: \$267,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-04994

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/21/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement

SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 4 of 13

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint:

Allegations: ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$32,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-04993

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$32,000.

Product Type:

Alleged Damages: \$32,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-04993

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALL FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 5 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$33,770.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-04986

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST



IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES,
 RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$16,000.

Product Type:

Alleged Damages: \$33,770.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-04986

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement

SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS. INVOLVED (13 TOT AL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
 Not Provided



Disclosure 6 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$637,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-04287

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING CO.

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$635,500.00

Product Type:

Alleged Damages: \$637,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-03558

Date Notice/Process Served: 12/15/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. APPROVED BY CLAIMANTS 8/95. \$400,000 LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) PAID BY FIRM'S INSURANCE CARRIER 8/95 FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEARS. \$25,000 PAID 9/95 - BALANCE DUE BY FIRM \$50,000. AS FIRM'S SOLE SHAREHOLDER, MR. HOPKINS IS RESPONSIBLE FOR \$75,000 PAYMENT. FIRM IS CONTIGENTLY LIABLE.
Not Provided

Disclosure 7 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$57,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-04287

Date Notice/Process Served: 12/07/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/1995

Disposition Detail: PENDING
Not Provide

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$57,000.

Product Type:

Alleged Damages: \$57,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-04287

Date Notice/Process Served: 12/07/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 8 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: BRCH OF FIDUCIARY DT; SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$264,500.00

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02335

Date Notice/Process Served: 09/27/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY CLAIM AMOUNT \$264,500.

Product Type:

Alleged Damages: \$264,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-02335

Date Notice/Process Served: 09/27/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995



Broker Statement

SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE ' CARRIER OVER 3 YEARS.
Not Provided

Disclosure 9 of 13

Reporting Source:

Regulator

Employing firm when activities occurred which led to the complaint:

Allegations:

SUITABILITY; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages:

\$162,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

UNKNOWN - CASE #95-00300

Date Notice/Process Served:

02/21/1995

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

09/26/1995

Disposition Detail:

CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER NON-MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER NON-MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;



OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER NON-MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER NON-MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTU*See FAQ #1*

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY. CLAIM AMOUNT \$27,000.00.

Product Type:

Alleged Damages: \$162,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 95-00300

Date Notice/Process Served: 02/21/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. APPROVED BY CLAIMANTS 8/95. \$400,000 LUMP



SUM PAYMENT TO ALL CLAIMING ANTS INVOLVED (13 TOTAL) PAID BY FIRM'S INSURANCE CARRIER 8/95. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEARS. \$25,000 PAID 9/95 - BALANCE DUE BY FIRM \$50,000. AS FIRM'S SOLE SHAREHOLDER, MR. HOPKINS IS RESPONSIBLE FOR \$75,000 PAYMENT. FIRM IS CONTINGENTLY LIABLE.

Disclosure 10 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: MISREPRESENTATION; SUITABILITY; BRCH OF FIDUCIARY DT; OTHER

Product Type:

Alleged Damages: \$13,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #95-00683

Date Notice/Process Served: 02/28/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTL AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: FORMAL NOTIFICATION FROM NASD ARBITRATION DEPARTMENT NEVER RECEIVED

Product Type:

Alleged Damages: \$13,500.00

Customer Complaint Information

Date Complaint Received: 01/01/1995

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 95-00683

Date Notice/Process Served: 02/28/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEARS
Not Provided

Disclosure 11 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint:

Allegations: ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$32,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-00204

Date Notice/Process Served: 02/01/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF



REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY CLAIM AMOUNT \$32,000.

Product Type:

Alleged Damages: \$32,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-00204

Date Notice/Process Served: 02/01/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement

SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING TO SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 12 of 13

Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:**

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY CLAIM AMOUNT \$15,000.

Product Type:

Alleged Damages: \$15,000.00

Customer Complaint Information**Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:**Settlement Amount:****Individual Contribution Amount:****Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-03189

Date Notice/Process Served: 08/01/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/1995

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$75,000.00

Broker Statement

SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEAR PERIOD.
Not Provided

Disclosure 13 of 13

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE

Product Type:



Alleged Damages: \$95,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02330

Date Notice/Process Served: 08/22/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/26/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LONG GROVE TRADING COMPANY

Allegations: ALLEGED FAILURE TO SUPERVISE AND IMPROPER LACK OF SUITABILITY CLAIM AMOUNT, \$95,000.00.

Product Type:

Alleged Damages: \$95,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-02330



Date Notice/Process Served:	08/22/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/26/1995
Broker Statement	SETTLEMENT IN PRINCIPLE REACHED BY LEGAL COUNSEL PRIOR TO ARBITRATION. SUBJECT TO APPROVAL OF CLAIMANTS AND FORMAL DRAFTING OF SETTLEMENT AGREEMENT. CALLS FOR A \$400,000 TOTAL LUMP SUM PAYMENT TO ALL CLAIMANTS INVOLVED (13 TOTAL) BY FIRM'S INSURANCE CARRIER. FIRM TO REPAY \$75,000 TO INSURANCE CARRIER OVER 3 YEARS PERIOD. Not Provided



End of Report

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