



## IAPD Report

# DOUGLAS WAYNE MAGNUSON

CRD# 2592996

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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

### DOUGLAS WAYNE MAGNUSON (CRD# 2592996)

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 **07/16/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	FOUR POINTS CAPITAL PARTNERS LLC	CRD# 43149	05/21/2018
<b>IA</b>	FOUR POINTS ADVISORS, LLC	CRD# 171720	05/09/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** jurisdiction(s).

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

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

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

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	DPEC CAPITAL, INC.	103737	NEW YORK, NY	02/27/2002 - 01/03/2017
<b>B</b>	BROADBAND CAPITAL MANAGEMENT, LLC	48001	NEW YORK, NY	07/11/2001 - 01/16/2002
<b>B</b>	DALTON KENT SECURITIES GROUP, INC.	38813	NEW YORK, NY	11/16/2000 - 07/16/2001

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	1
Customer Dispute	5



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **FOUR POINTS CAPITAL PARTNERS LLC**  
Main Address: 55A E. RIDGEWOOD AVENUE  
SUITE 12  
RIDGEWOOD, NJ 07450  
Firm ID#: 43149

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	05/21/2018
<b>B</b> Alaska	Agent	Approved	06/19/2018
<b>B</b> California	Agent	Approved	05/21/2018
<b>B</b> Colorado	Agent	Approved	07/30/2019
<b>B</b> District of Columbia	Agent	Approved	02/20/2025
<b>B</b> Florida	Agent	Approved	05/31/2018
<b>B</b> Georgia	Agent	Approved	06/20/2018
<b>B</b> Illinois	Agent	Approved	05/25/2018
<b>B</b> Indiana	Agent	Approved	06/19/2018
<b>B</b> Iowa	Agent	Approved	04/26/2019
<b>B</b> Louisiana	Agent	Approved	02/19/2021
<b>B</b> Maryland	Agent	Approved	06/19/2018
<b>B</b> Michigan	Agent	Approved	05/23/2018



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Minnesota	Agent	Approved	05/29/2018
<b>B</b> New Jersey	Agent	Approved	05/29/2018
<b>B</b> New York	Agent	Approved	05/23/2018
<b>B</b> Ohio	Agent	Approved	05/28/2018
<b>B</b> Rhode Island	Agent	Approved	06/04/2018
<b>B</b> South Carolina	Agent	Approved	08/24/2018
<b>B</b> Texas	Agent	Approved	05/25/2018
<b>B</b> Virginia	Agent	Approved	05/31/2018
<b>B</b> Washington	Agent	Approved	05/29/2018
<b>B</b> Wisconsin	Agent	Approved	05/30/2018

### Branch Office Locations

99 PARK AVENUE  
SUITE 810  
NEW YORK, NY 10016

Lindenhurst, NY

### Employment 2 of 2

Firm Name: **FOUR POINTS ADVISORS, LLC**  
 Main Address: 99 PARK AVENUE  
 FLOOR 8  
 NEW YORK, NY 10016  
 Firm ID#: 171720

Regulator	Registration	Status	Date
<b>IA</b> New York	Investment Adviser Representative	Approved	05/09/2024

### Branch Office Locations



## Qualifications

**FOUR POINTS ADVISORS, LLC**

99 PARK AVENUE

FLOOR 8

NEW YORK, NY 10016



## 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, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	04/11/2000
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	05/08/2024
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Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/2000
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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
B	02/27/2002 - 01/03/2017	DPEC CAPITAL, INC.	CRD# 103737	NEW YORK, NY
B	07/11/2001 - 01/16/2002	BROADBAND CAPITAL MANAGEMENT, LLC	CRD# 48001	NEW YORK, NY
B	11/16/2000 - 07/16/2001	DALTON KENT SECURITIES GROUP, INC.	CRD# 38813	NEW YORK, NY
B	05/15/2000 - 11/24/2000	GENEVA CAPITAL CORP.	CRD# 43747	NEW YORK, NY
B	04/08/1997 - 11/19/1997	GLOBAL EQUITIES GROUP INC	CRD# 34039	NEW YORK, NY
B	04/28/1995 - 03/04/1997	STERLING FOSTER & COMPANY, INC.	CRD# 36052	UNIONDALE, 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
08/2023 - Present	FOUR POINTS ADVISORS	ADVISOR	Y	NEW YORK, NY, United States
05/2018 - Present	FOUR POINTS CAPITAL PARTNERS LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2002 - 04/2018	ALGODON GROUP (FORMERLY DPEC & INVESTPRIVATE)	SENIOR MANAGING DIRECTOR	Y	NEW YORK, 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.

Four Points Advisors, New York, NY; Investment related; Started 8/2023; Financial Advisor



## 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	1
Customer Dispute	5

### 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 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 08/29/1997

**Docket/Case Number:** C3A970067

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 03/27/1998

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$10,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:****Regulator Statement**

COMPLAINT NO. C3A970067 FILED AUGUST 29, 1997 BY DISTRICT NO. 3 AGAINST RESPONDENT DOUGLAS W. MAGNUSON ALLEGING VIOLATIONS OF NASD RULES 2110 AND 2120 IN THAT RESPONDENT MAGNUSON MADE MATERIAL MISREPRESENTATIONS AND OMISSIONS; MADE FRAUDULENT PRICE PREDICTIONS IN SOLICITING CUSTOMERS TO PURCHASE SECURITIES; ENGAGED IN UNAUTHORIZED TRADING IN CUSTOMER ACCOUNTS; AND, FAILED TO FOLLOW CUSTOMERS' ORDERS TO SELL STOCK.

ON MARCH 27, 1998, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT MAGNUSON WAS ISSUED; THEREFORE, HE IS CENSURED, FINED \$10,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS AND REQUIRED TO REQUALIFY BY EXAM AS A GENERAL SECURITIES REPRESENTATIVE. THE FINE COLLECTION EFFORTS WILL BE SUSPENDED UNTIL RESPONDENT SEEKS RE-ENTRY TO THE SECURITIES INDUSTRY. PAYMENT OF THE FINE AND PROOF OF RESTITUTION TO A PUBLIC CUSTOMER OF \$750 SHALL BE A PREREQUISITE FOR ANY APPLICATION FOR ASSOCIATION WITH A MEMBER FIRM.

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS MAY 18, 1998, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS NOVEMBER 17, 1998.

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Suspension
<b>Other Sanction(s) Sought:</b>	FINE
<b>Date Initiated:</b>	08/29/1997
<b>Docket/Case Number:</b>	C3A970067
<b>Employing firm when activity occurred which led to the regulatory action:</b>	STERLING FOSTER & CO.
<b>Product Type:</b>	Penny Stock(s)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	MISREPRESENTATION, UNAUTHORIZED TRADING, FAILURE TO SELL, PEGGING.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	03/27/1998
<b>Sanctions Ordered:</b>	Censure Disgorgement/Restitution Monetary/Fine \$10,000.00 Suspension



**Other Sanctions Ordered:**

**Sanction Details:**

I WAS SUSPENDED FOR SIX MONTHS AND REQUIRED TO PAY A \$10,000 FINE, AND TO SETTLE THE ARBITRATION WHICH BROUGHT ABOUT THE INTERVIEW WITH THE NASD. ALL THREE ARBITRATION HAVE BEEN SATISFIED.

**Broker Statement**

AFTER THE FIRM I HAD WORKED FOR CLOSED DOWN I WAS CALLED INTO THE NASD FOR AN INTERVIEW REGARDING THREE CLIENTS. THEY FELT I WAS IN THE WRONG. I COOPERATED 100% TO SATISFY THE CASES, ALTHOUGHT THE FIRM I HAD WORKED FOR HAD DECEIVED THE INVESTORS. THE FIRM'S NAME WAS STERLING FOSTER & CO AND IS STILL PENDING CIVIL AND CRIMINAL ACTION FOR THEIR STOCK MANIPULATION.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	FOUR POINTS CAPITAL PARTNERS LLC
<b>Allegations:</b>	Client lost money between April 2017 through May 2022, and now claims he was not sophisticated enough to know the risks.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$316,769.50

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	<a href="#">23-00088</a>
<b>Date Notice/Process Served:</b>	02/23/2023
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	06/26/2025
<b>Monetary Compensation Amount:</b>	\$75,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	The rep denies these baseless claims.

### Disclosure 2 of 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTPRIVATE, INC.
<b>Allegations:</b>	ALLEGES TRADE WERE UNAUTHORIZED
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$27,754.44
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No



Is this an arbitration/CFTC  
reparation or civil litigation? No

### Customer Complaint Information

Date Complaint Received: 04/10/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/31/2017

Settlement Amount: \$0.00

Individual Contribution  
Amount: \$0.00

Broker Statement Best of broker's recollection was that this was closed with no action and the firm has since closed.

### Disclosure 3 of 5

Reporting Source: Individual

Employing firm when  
activities occurred which led  
to the complaint: DALTON KENT

Allegations: UNAUTHORIZED TRADE & UNSPECIFIED AMOUNT

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount  
Explanation (if amount not  
exact): Unknown to broker

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC  
reparation or civil litigation? No

### Customer Complaint Information

Date Complaint Received: 01/10/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/24/2001

Settlement Amount: \$0.00

Individual Contribution  
Amount: \$0.00

Broker Statement BROKER DENIES THE ALLEGATION. ALL TRADES WITH AUTHORIZED  
Best to broker's recollection, this was closed with no action and the firm is now  
closed.

### Disclosure 4 of 5



**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** STERLING FOSTER & COMPANY, INC.

**Allegations:** UNAUTHORIZED TRADING; ACCOUNT RELATED-BREACH OF CONTRACT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE

**Product Type:**

**Alleged Damages:** \$55,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #97-02847](#)

**Date Notice/Process Served:** 06/12/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/01/1998

**Disposition Detail:** CASE IS CLOSED, BY HEARING  
\*\*CLAIMANT REACHED A SETTLEMENT WITH RESPONDENT DOUGLAS MAGNUSON\*\*(PAD)

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** STERLING FOSTER & COMPANY, INC.

**Allegations:** UNAUTHORIZED TRADING ACCT RELATED BREACH OF CONTRACT MISSREPRESENTATION ACCT RELATED. FAILURE TO SUPERVISE. ALLEGED DAMAGES IN AMOUNT OF \$55,000.

**Product Type:** Penny Stock(s)

**Alleged Damages:** \$55,000.00

### Customer Complaint Information

**Date Complaint Received:** 06/12/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation  
Settled

**Status Date:** 07/01/1998

**Settlement Amount:** \$10,000.00

**Individual Contribution Amount:** \$10,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 97-02847](#)



**Date Notice/Process Served:** 06/12/1997

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/01/1998

**Monetary Compensation Amount:** \$10,000.00

**Individual Contribution Amount:** \$10,000.00

**Broker Statement** RESULT WAS THAT WE SETTLED FOR \$10,000 I ACTED IN THE RIGHT MANNOR AND DID NOT ACT IN THE WRONG IN ANY SHAPE OF FORM WITH THIS CLIENT. THE FIRM AT THE TIME HAD GONE OUT OF BUSINESS AND THE CLIENT WENT TO ARBITRATION 6 MONTHS LATER. I SETTLED THE CASE BECAUSE IT MIGHT HAD COST MORE TO DEFEND THE CASE.

**Disclosure 5 of 5**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** STERLING FOSTER & COMPANY, INC.

**Allegations:** EXECUTIONS-FAILURE TO EXECUTE; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE

**Product Type:**

**Alleged Damages:** \$950.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #96-04282](#)

**Date Notice/Process Served:** 11/08/1996

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 07/21/1997

**Disposition Detail:** AWARD AGAINST PARTY  
\*\*10/5/98RW-JOINTLY AND SEVERALLY LIABLE FOR \$674.00 IN ACTUAL DAMAGES AND JOINTLY AND SEVERALLY LIABLE FOR \$275 IN FEES.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** STERLING FOSTER & COMPANY, INC.

**Allegations:** EXECUTIONS-FAILURE TO EXECUTE TRADES, MISREPRESENTATION REGARDING HIS ACCT. FAILURE TO SUPERVISE

**Product Type:** Penny Stock(s)

**Alleged Damages:** \$950.00



### Customer Complaint Information

**Date Complaint Received:** 11/08/1996  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
Settled  
**Status Date:** 07/21/1997  
**Settlement Amount:** \$949.00  
**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD: 96-04282](#)

**Date Notice/Process Served:** 11/08/1996  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 07/21/1997  
**Monetary Compensation Amount:** \$949.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement** SETTLED FOR \$949., FOR ACTUAL DAMAGES + FEES.  
I ACTED IN THE CORRECT MANOR WITH HIS ACOUNT AND  
I DENY ALL OF THESE ACCUSATIONS.



## End of Report

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