



## IAPD Report

# Randolph Kendall Feliz

CRD# 2646009

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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

### Randolph Kendall Feliz (CRD# 2646009)

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 **05/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	07/14/2022
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	07/14/2022

### QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **24** 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>IA</b>	SANTANDER SECURITIES	41791	Jersey City, NJ	05/15/2013 - 08/09/2022
<b>B</b>	SANTANDER SECURITIES LLC	41791	Jersey City, NJ	05/07/2013 - 08/09/2022
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	YONKERS, NY	01/24/2012 - 05/07/2013

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	1
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **24** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **CITIGROUP GLOBAL MARKETS INC.**

Main Address: 388 GREENWICH STREET  
NEW YORK, NY 10013

Firm ID#: 7059

Regulator	Registration	Status	Date
<b>B</b> 24X National Exchange LLC	General Securities Representative	Approved	10/17/2025
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> FINRA	General Securities Representative	Approved	07/14/2022
<b>B</b> Investors' Exchange LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> MEMX LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> MIAX Emerald, LLC	General Securities Representative	Approved	07/14/2022



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> MIAX PEARL, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> MIAX Sapphire	General Securities Representative	Approved	09/23/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> NYSE American LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq MRX, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	07/14/2022
<b>B</b> Nasdaq Texas, LLC	General Securities Representative	Approved	07/14/2022
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	07/14/2022
<b>B</b> Alabama	Agent	Approved	04/15/2025
<b>B</b> Arizona	Agent	Approved	03/07/2024
<b>B</b> California	Agent	Approved	07/17/2023
<b>B</b> Connecticut	Agent	Approved	07/25/2022



### Qualifications

Regulator	Registration	Status	Date
B Delaware	Agent	Approved	09/27/2023
B Florida	Agent	Approved	07/15/2022
B Georgia	Agent	Approved	05/21/2026
B Illinois	Agent	Approved	05/19/2023
B Iowa	Agent	Approved	03/20/2023
B Maryland	Agent	Approved	04/05/2023
B Massachusetts	Agent	Approved	04/19/2023
B Michigan	Agent	Approved	03/21/2023
B Nevada	Agent	Approved	07/08/2024
B New Jersey	Agent	Approved	07/27/2022
B New Mexico	Agent	Approved	03/21/2024
IA New York	Investment Adviser Representative	Approved	07/14/2022
B New York	Agent	Approved	07/19/2022
B North Carolina	Agent	Approved	04/12/2024
B Oregon	Agent	Approved	11/04/2024
B Pennsylvania	Agent	Approved	06/30/2023
B Puerto Rico	Agent	Approved	06/28/2023
IA Puerto Rico	Investment Adviser Representative	Approved	06/04/2025
B South Dakota	Agent	Approved	03/16/2026



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Tennessee	Agent	Approved	06/30/2023
<b>B</b> Texas	Agent	Approved	10/12/2022
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	05/28/2025
<b>B</b> Virginia	Agent	Approved	08/17/2023

### Branch Office Locations

**CITIGROUP GLOBAL MARKETS INC.**  
CITI RETAIL BANKING  
201 WEST 34TH STREET  
NEW YORK, NY 10001

**CITIGROUP GLOBAL MARKETS INC.**  
Easton, CT

**CITIGROUP GLOBAL MARKETS INC.**  
CITI RETAIL BANKING  
162 AMSTERDAM AVENUE  
NEW YORK, NY 10023



## 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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<b>B</b> General Securities Representative Examination (S7)	Series 7	10/24/1995
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	10/10/2002
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	09/27/1995
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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	05/15/2013 - 08/09/2022	SANTANDER SECURITIES	CRD# 41791	Jersey City, NJ
B	05/07/2013 - 08/09/2022	SANTANDER SECURITIES LLC	CRD# 41791	Jersey City, NJ
B	01/24/2012 - 05/07/2013	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	YONKERS, NY
IA	02/24/2012 - 12/31/2012	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	YONKERS, NY
IA	07/20/2011 - 09/14/2011	GILFORD FINANCIAL CORP.	CRD# 126593	NEW YORK, NY
B	06/23/2011 - 09/13/2011	GILFORD SECURITIES INCORPORATED	CRD# 8076	NEW YORK, NY
B	12/08/2010 - 12/22/2010	HSBC SECURITIES (USA) INC.	CRD# 19585	BRONX, NY
IA	11/24/2010 - 12/22/2010	HSBC SECURITIES (USA) INC.	CRD# 19585	BRONX, NY
IA	10/15/2002 - 04/05/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BRONX, NY
B	05/19/2000 - 04/05/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	BRONX, NY
B	05/16/2000 - 05/22/2000	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	08/19/1998 - 05/18/2000	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	05/12/1998 - 08/03/1998	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	06/19/1997 - 12/23/1997	JW CHARLES SECURITIES, INC.	CRD# 33832	BOCA RATON, FL
B	11/01/1996 - 06/18/1997	WHALE SECURITIES CO., L.P.	CRD# 13516	NEW YORK, NY
B	04/02/1996 - 10/16/1996	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY



## 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>B</b>	11/07/1995 - 11/09/1995	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

### 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
07/2022 - Present	Citigroup	Financial Advisor	Y	New York, NY, United States
04/2013 - 07/2022	Santander Bank, NA	Bank Employee	Y	PALISADES PARK, NJ, United States
04/2013 - 07/2022	Santander Securities, LLC	Financial Consultant	Y	PALISADES PARK, NJ, 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.

INR Enterprises; Investment-related; Nature: Dormant LLC used to buy real estate (Real estate investing), not currently active; Yonkers, NY; Started: 10/12/2016; Title: President; Duties: None at this time. ; No time is devoted each month during securities trading hours; No time is devoted each month outside of securities trading hours. /////



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Firm

**Regulatory Action Initiated By:** NEW YORK DEPARTMENT OF INSURANCE

**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)

**Date Initiated:** 09/02/1997

**Docket/Case Number:** S97-0139-N

**Employing firm when activity occurred which led to the regulatory action:** AMBARINA BROKERAGE, INC.

**Product Type:** Insurance

**Allegations:** RESPONDENT AMBARINA BROKERAGE, INC. BY AND THROUGH KENNETH A FLEIZ AND RANDOLPH K FELIZ, SUBLICENSEES AND KENNETH A FELIZ AND RANDOLPH K FELIZ, EACH INDIVIDUALLY. VIOLATION OF SECTION 2110 OF THE INSURANCE LAW IN THAT IN MAY 1997 THE NEW YORK AUTOMOBILE INSURANCE PLAN REVOKED RESPONDENTS' CERTIFICATION DUE TO 5 MULTIPLE OPERATOR COMPLAINTS, 92 DEFICIENT APPLICATIONS AND 4 PRODUCER PERFORMANCE VIOLATIONS. IN ADDITION, RESPONDENTS PERMITTED UNLICENSED INDIVIDUALS TO OPERATE THEIR BUSINESS WHILE THEY WERE OUT OF TOWN.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 09/02/1997



**Sanctions Ordered:**

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

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**



**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,500.00

**Portion Levied against individual:** \$2,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/02/1997

**Was any portion of penalty waived?** No

**Amount Waived:**

**Firm Statement**

\*\* THIS EVENT OCCURRED IN 1997, PRIOR TO RR'S EMPLOYMENT WITH CISC BUT CAME TO LIGHT WHILE WITH CISC. FOR THIS REASON WE ARE AMENDING THIS EVENT WITH "NO" RESPONSE TO QUESTION 7D.\*\* THIS AMENDMENT WAS MADE TO CORRECT SECTION 2 (SANCTION) AND PROVIDE CLARIFYING INFORMATION TO THE ALLEGATIONS. THE REGISTERED REPRESENTATIVE IS DISPUTING THE REGULATORY ACTION WITH THE STATE OF NY DEPARTMENT OF INSURANCE DIRECTLY.

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NY DEPARTMENT OF INSURANCE

**Sanction(s) Sought:** Revocation

**Date Initiated:** 09/02/1997

**Docket/Case Number:** S97-0139-N

**Employing firm when activity occurred which led to the regulatory action:** AMBARINA BROKERAGE, INC

**Product Type:** Insurance



**Allegations:** VIOLATED SECTION 2110 OF THE INSURANCE LAW IN THAT IN MAY 1997 THE NEW YORK AUTOMOILE INSURANCE PLAN REVOKED RESPONDENTS' CERTIFICATION DUE TO 5 MULTIPLE OPERATOR COMPLAINTS, 92 DEFICIENT APPLICATIONS AND 4 PRODUCER PERFORMANCE VIOLATIONS. IN ADDITION, RESPONDENT PERMITTED UNLICENSED INDIVIDUALS TO OPERATE THEIR BUSINESS WHILE THEY WERE OUT OF TOWN.

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 09/02/1997

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

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,500.00

**Portion Levied against individual:** \$2,500.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 09/02/1997

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement** THIS IS NOT INVESTMENT RELATED. I WORKED FOR A SMALL COMPANY CALLED AMBARINA BROKERAGE BETWEEN THE YEARS 1993 AND 1995. I OFFICIALLY RESIGNED IN 1995 TO PURSUE OTHER BUSINESS INTEREST. BEFORE THEN I WAS CONSIDERED STRICTLY AN AGENT FOR THE COMPANY. IN MARCH 2010 IT CAME TO MY ATTENTION FROM MY CURRENT EMPLOYER AT THAT TIME THAT THE COMPANY HAD BEEN INVOLVED IN QUESTIONABLE BUSINESS ACTIVITIES, WHICH INVOLVED SEVERAL RESTRICTIONS AND INCLUDED A FINE. I WAS NOT AWARE OF THIS SITUATION, NOR WAS I EMPLOYED BY THE COMPANY AT THAT TIME. I DID NOT RECEIVE ANY CORRESPONDENCE RELATING TO THIS MATTER, NOR DID I PAY A FINE. THE COMPANY WERE THE ONES THAT WERE IN FACT FINED NOT THE INDIVIDUAL AGENTS AND THAT ALL AGENTS WERE NAMED IN THE COMPLAINT. I HAVE RETAINED AN ATTORNEY AND AND CURRENTLY IN THE PROCESS TO ATTEMPT TO HAVE THIS EXPUNGED PERMANENTLY FROM MY RECORD.



## 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CHASE INVESTMENT SERVICES CORP.
<b>Allegations:</b>	CUSTOMER CLAIMS SHE WAS NOT INFORMED THAT HER MUTUAL FUND INVESTMENTS WERE SUBJECT TO RISK.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$8,241.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	01/14/2003
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	05/23/2003
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



### Termination

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

#### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 03/30/2010  
**Allegations:** REGISTERED REP WAS TERMINATED AFTER A ROUTINE BRANCH AUDIT IDENTIFIED CUSTOMERS DOCUMENTS DATED BY REGISTERED REP AND REGISTERED REP FAILED TO TIMELY UPDATE A REPORTABLE EVENT ON HIS FORM U4.  
**Product Type:** No Product

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**Reporting Source:** Individual  
**Firm Name:** CHASE INVESTMENT SERVICES CORP  
**Termination Type:** Discharged  
**Termination Date:** 03/30/2010  
**Allegations:** REGISTERED REPRESENTATIVE WAS TERMINATED AFTER A ROUTINE BRANCH AUDIT IDENTIFIED CUSTOMERS DOCUMENTS DATED BY REGISTERED REPRESENTATIVE AND REGISTERED REPRESENTATIVE FAILED TO TIMELY UPDATE A REPORTABLE EVENT ON HIS FORM U4.  
**Product Type:** No Product

**Broker Statement**  
I HAD PREPARED DOCUMENTS FOR A CUSTOMER TO SIGN, AFTER THEY SIGNED, I REALIZED I HAD MISDATED THE DOCUMENT. I HAD THEN ASKED THE CLIENT'S PERMISSION TO CORRECT THE DATE AND HAD THE CLIENTS INITIALS TO SHOW THEIR CONSENT TO THE CORRECTION. THE AUDITOR FAILED TO NOTICE THE CLIENTS INITIALS. EVERY LEGAL EFFORT IS BEING MADE TO ALSO HAVE THIS EXPUNGED FROM MY RECORD. THE REPORTABLE EVENT REFERRED HERE IS THE REGULATORY DISCLOSURE EVENT THAT I WAS NOT AWARE OF AND WITHOUT HAVING PRIOR KNOWLEDGE MAKES IT IMPOSSIBLE TO REPORT.



## End of Report

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