



IAPD Report

MICHAEL DUANE KRMPOTICH

CRD# 275679

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10

i 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

MICHAEL DUANE KRMPOTICH (CRD# 275679)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WEDBUSH SECURITIES INC.	CRD# 877	08/02/2019
IA	WEDBUSH SECURITIES INC.	CRD# 877	08/06/2019

QUALIFICATIONS

This representative is currently registered in **23** SRO(s) and **7** 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	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	PALM DESERT, CA	11/13/2013 - 08/07/2019
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	PALM DESERT, CA	11/13/2013 - 08/07/2019
B	RBC CAPITAL MARKETS, LLC	31194	MINNEAPOLIS, MN	05/23/2008 - 11/27/2013

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
Customer Dispute	3



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 7 jurisdiction(s) and 23 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEDBUSH SECURITIES INC.**
Main Address: ATTN: COMPLIANCE DEPT.
225 S. LAKE AVE PENTHOUSE
PASADENA, CA 91101
Firm ID#: 877

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	08/02/2019
B BOX Exchange LLC	General Securities Sales Supervisor	Approved	08/02/2019
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B Cboe Exchange, Inc.	General Securities Representative	Approved	08/02/2019
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B FINRA	General Securities Representative	Approved	08/02/2019



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Sales Supervisor	Approved	08/02/2019
B FINRA	Municipal Securities Principal	Approved	08/02/2019
B FINRA	Municipal Securities Representative	Approved	08/02/2019
B Investors' Exchange LLC	General Securities Representative	Approved	08/02/2019
B MIAX PEARL, LLC	General Securities Representative	Approved	08/02/2019
B MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	08/02/2019
B Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B NYSE American LLC	General Securities Representative	Approved	08/02/2019
B NYSE American LLC	General Securities Sales Supervisor	Approved	08/02/2019
B NYSE American LLC	Municipal Securities Principal	Approved	08/02/2019
B NYSE American LLC	Municipal Securities Representative	Approved	08/02/2019
B NYSE Arca, Inc.	General Securities Representative	Approved	08/02/2019
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B NYSE National, Inc.	General Securities Representative	Approved	08/02/2019
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	08/02/2019



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	Municipal Securities Principal	Approved	08/02/2019
B NYSE National, Inc.	Municipal Securities Representative	Approved	08/02/2019
B NYSE Texas, Inc.	General Securities Representative	Approved	08/02/2019
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2019
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq ISE, LLC	General Securities Representative	Approved	08/02/2019
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq MRX, LLC	General Securities Representative	Approved	08/02/2019
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/02/2019
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq Stock Market	General Securities Representative	Approved	08/02/2019
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/02/2019
B Nasdaq Texas, LLC	General Securities Representative	Approved	08/02/2019
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	08/02/2019
B New York Stock Exchange	General Securities Representative	Approved	08/02/2019
B New York Stock Exchange	General Securities Sales Supervisor	Approved	08/02/2019
B New York Stock Exchange	Municipal Securities Principal	Approved	08/02/2019



Qualifications

Regulator	Registration	Status	Date
B New York Stock Exchange	Municipal Securities Representative	Approved	08/02/2019
IA Arkansas	Investment Adviser Representative	Approved	10/01/2019
B California	Agent	Approved	08/02/2019
IA California	Investment Adviser Representative	Approved	08/06/2019
B Colorado	Agent	Approved	08/02/2019
IA Colorado	Investment Adviser Representative	Approved	09/27/2019
B Illinois	Agent	Approved	08/23/2019
IA Illinois	Investment Adviser Representative	Approved	03/17/2020
B Minnesota	Agent	Approved	08/19/2019
IA Minnesota	Investment Adviser Representative	Approved	09/30/2019
B Nevada	Agent	Approved	08/12/2019
IA Nevada	Investment Adviser Representative	Approved	10/07/2019
B Virginia	Agent	Approved	04/09/2020
IA Virginia	Investment Adviser Representative	Approved	04/09/2020

Branch Office Locations

WEDBUSH SECURITIES INC.
225 S. Lake Ave Penthouse
Pasadena, CA 91101







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 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/26/1997
 Municipal Securities Principal Examination (S53)	Series 53	10/31/1983

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	07/25/1974

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/07/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/02/1982



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	11/13/2013 - 08/07/2019	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	PALM DESERT, CA
IA	11/13/2013 - 08/07/2019	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	PALM DESERT, CA
B	05/23/2008 - 11/27/2013	RBC CAPITAL MARKETS, LLC	CRD# 31194	MINNEAPOLIS, MN
IA	05/23/2008 - 11/27/2013	RBC CAPITAL MARKETS, LLC	CRD# 31194	MINNEAPOLIS, MN
B	10/28/2004 - 05/28/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	EDINA, MN
IA	10/28/2004 - 05/28/2008	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	EDINA, MN
B	07/01/2003 - 11/18/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	12/09/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	06/23/1998 - 12/03/1999	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	05/11/1998 - 06/22/1998	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	05/15/1995 - 05/11/1998	PRINCIPAL FINANCIAL SECURITIES, INC.	CRD# 260	DALLAS, TX
B	02/26/1992 - 05/18/1995	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	06/12/1990 - 02/27/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	11/23/1988 - 07/05/1990	MILLER, JOHNSON & KUEHN, INCORPORATED	CRD# 8678	MINNEAPOLIS, MN
B	09/30/1986 - 12/07/1988	PAINWEBBER INCORPORATED	CRD# 8174	
B	07/19/1982 - 10/03/1986	MILLER & SCHROEDER FINANCIAL, INC.	CRD# 7119	
B	07/12/1977 - 06/24/1982	CRONIN & MARCOTTE, INC.	CRD# 6996	



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	12/04/1974 - 02/22/1976	E. F. HUTTON & COMPANY INC	CRD# 235	
B	07/29/1974 - 12/07/1974	BACHE & CO INCORPORATED	CRD# 7058	

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
08/2024 - Present	WEDBUSH SECURITIES	INDEPENDENT CONTRACTOR	Y	LOS ANGELES, CA, United States
08/2019 - 07/2024	WEDBUSH SECURITIES INC.	VP-FINANCIAL ADVISOR	Y	PALM DESERT, CA, United States
11/2013 - 07/2019	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	MINNEAPOLIS, MN, 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.

MK Wealth Management LLC; Investment Related; La Quinta, CA; DBA for Wedbush Securities Business; President; Start 3/2025; Approx 160 hours monthly devoted during business hours; DBA for Wedbush Securities Business



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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	CUSTOMER QUESTIONED SUITABILITY OF AND WHY FA PLACED HER INVESTMENT MONIES; REQUESTED THAT HER INVESTMENT BE RESTORED TO ITS INITIAL AMOUNT AND SURRENDER CHARGES BE REMOVED. EXACT DOLLAR AMOUNT NOT SPECIFIED BY CLIENT; HOWEVER, FIRM DETERMINATION IS THAT DAMAGE AMOUNT IS IN EXCESS OF \$5,000. DATES OF ALLEGED ACTIVITY: 4/26/2006-12/4/2007.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	EXACT DOLLAR AMOUNT NOT SPECIFIED BY CLIENT; HOWEVER, FIRM DETERMINATION IS THAT DAMAGE AMOUNT IS IN EXCESS OF \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/01/2010
Complaint Pending?	No



Status: Denied
Status Date: 02/16/2011
Settlement Amount:
Individual Contribution Amount:

.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC

Allegations: CUSTOMER QUESTIONED SUITABILITY OF AND WHY FA PLACED HER INVESTMENT MONIES; REQUESTED THAT HER INVESTMENT BE RESTORED TO ITS INITIAL AMOUNT AND SURRENDER CHARGES BE REMOVED. EXACT DOLLAR AMOUNT NOT SPECIFIED BY CLIENT; HOWEVER, FIRM DETERMINATION IS THAT DAMAGE AMOUNT IS IN EXCESS OF \$5,000. DATES OF ALLEGED ACTIVITY: 4/26/2006-12/4/2007.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): EXPLANATION (IF NO DAMAGE AMOUNT IS ALLEGED, THE COMPLAINT MUST BE REPORTED UNLESS THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT WOULD BE LESS THAN \$5,000): EXACT DOLLAR AMOUNT NOT SPECIFIED BY CLIENT; HOWEVER, FIRM DETERMINATION IS THAT DAMAGE AMOUNT IS IN EXCESS OF \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

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

Customer Complaint Information

Date Complaint Received: 12/01/2010

Complaint Pending? No

Status: Denied

Status Date: 02/16/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRINCIPAL FINANCIAL SECURITIES INC

Allegations: CLIENT COMPLAINS THAT THEIR PORTFOLIO, WHICH WAS MANAGED ASSED PROGRAM, WAS UNSUITABLE



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$126,500.00

Customer Complaint Information

Date Complaint Received: 08/23/1999

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRINCIPAL FINANCIAL SECURITIES, INC (NKA WACHOVIA SECURITIES, LLC.)

Allegations: CLIENT COMPLAINS THAT THEIR PORTFOLIO, WHICH WAS MANAGED ASSED PROGRAM, WAS UNSUITABLE.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$126,500.00

Customer Complaint Information

Date Complaint Received: 08/23/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/08/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE # 99-04220

Date Notice/Process Served: 09/08/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/08/2000

Monetary Compensation Amount: \$7,500.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED IN THE AMOUNT OF \$7500.

Disclosure 3 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS

Allegations: ON 11/16/1999 A NASD ARBITRATION WAS FILED ALLEGING BREACH OF FIDUCIARY DUTY, NEGLIGENCE, NEGLIGENT SUPERVISION, AND NEGLIGENT MISREPRESENTATION.

Product Type: Mutual Fund(s)

Alleged Damages: \$58,979.35

Customer Complaint Information

Date Complaint Received: 06/14/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/16/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #99-04773

Date Notice/Process Served: 11/16/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/14/2000

Monetary Compensation Amount: \$27,500.00

Individual Contribution Amount:

Firm Statement MR. KRMPOTICH IS BEING CHARGED \$27,500.00 OF THE SETTLEMENT BY THE FIRM.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: A.G. EDWARDS

Allegations: ALLEGED UNSUITABILITY, MISREPRESENTATION AND CLIENT BELIEVES MR. KRMPOTICH FRAUDULENTLY INDUCED HIM TO INVEST IN FIVE SEPARATE MUTUAL FUNDS. SEEKS REIMBURSEMENT OF \$56,249.75.

Product Type: Money Market Fund(s)

Alleged Damages: \$56,249.75

Customer Complaint Information

Date Complaint Received: 06/14/1999



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/16/1999
Settlement Amount:	\$27,500.00
Individual Contribution Amount:	\$0.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE #99-04773
Date Notice/Process Served:	11/16/1999
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/14/2000
Monetary Compensation Amount:	\$27,500.00
Individual Contribution Amount:	
Broker Statement	NOT PROVIDED CLIENT WAS REFERRED BY HIS C.P.A. I WAS ASKED TO INVEST MONEY TO GET CLIENT \$150,000 TAX FREE INCOME & SOME GROWTHS. I PROVIDED CLIENT WITH INVESTMENT (WRITTEN) OBJECTIVE, PROPECTUS' & WRITTEN ASSET ALLOCATION UNDER, AND CDA WEISSIABUGER ON EACH FUND AND AT THE TIME HE LIKED IT SO MUCH HE THANKED ME FOR THE GOOD CASH. I ALSO REFERATED EVERY STEP TO THE CDA AND HE ALSO SAID CLIENT WAS HAPPY.



End of Report

This page is intentionally left blank.