



IAPD Report

BRUCE DOUGLAS BERRY

CRD# 2846046

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7

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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

BRUCE DOUGLAS BERRY (CRD# 2846046)

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 **04/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/02/2022
IA	LPL FINANCIAL LLC	CRD# 6413	05/02/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** jurisdiction(s).

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

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

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

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Novi, MI	08/11/2010 - 05/06/2022
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Novi, MI	08/16/2001 - 05/06/2022
B	COMMONWEALTH FINANCIAL NETWORK	8032	WALTHAM, MA	04/20/2001 - 06/19/2001

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/02/2022
B	California	Agent	Approved	05/03/2022
B	Delaware	Agent	Approved	01/30/2024
B	Florida	Agent	Approved	05/03/2022
B	Illinois	Agent	Approved	05/02/2022
B	Indiana	Agent	Approved	05/05/2022
B	Michigan	Agent	Approved	05/02/2022
IA	Michigan	Investment Adviser Representative	Approved	05/02/2022
B	New York	Agent	Approved	01/13/2026
B	North Carolina	Agent	Approved	03/24/2023
B	Ohio	Agent	Approved	05/02/2022
B	Texas	Agent	Approved	05/02/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	05/02/2022



Qualifications

Branch Office Locations

LPL FINANCIAL LLC

41875 WEST 11 MILE RD, STE 205
NOVI, MI 48375



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	02/10/1997
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/01/2010
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 Uniform Securities Agent State Law Examination (S63)	Series 63	02/14/1997
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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	08/11/2010 - 05/06/2022	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Novi, MI
B	08/16/2001 - 05/06/2022	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Novi, MI
B	04/20/2001 - 06/19/2001	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	WALTHAM, MA
B	02/13/2000 - 04/23/2001	SKY INVESTMENTS, INC.	CRD# 2864	BRYAN, OH
B	04/05/1999 - 02/15/2000	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	10/28/1997 - 04/14/1999	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	02/11/1997 - 10/29/1997	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/11/1997 - 10/29/1997	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2022 - Present	LPL Financial LLC	Registered Representative	Y	Novi, MI, United States
04/2003 - Present	BERRY & MAAS CONSULTING, INC.	MEMBER	N	SOUTHFIELD, MI, United States
04/2001 - Present	GENESIS FINANCIAL PARTNERS	PARTNER	Y	SOUTHFIELD, MI, United States
01/2008 - 04/2022	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	IA REP	Y	FAIRFIELD, IA, United States
08/2001 - 04/2022	CAMBRIDGE INVESTMENT RESEARCH, INC.	REGISTERED REP	Y	FAIRFIELD, IA, United States



Registration & Employment History



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) 5/2022- GENESIS FINANCIAL PARTNERS- DBA for LPL Business (entity for LPL business)- inv. related- Novi, MI
- 2) 5/2022- BERRY & MAAS CONSULTING, INC- Business Entity for Tax-Investment Purposes- inv. related- Novi, MI- Start date 4/2003- 2hrs/mth
- 3) 5/2022- MMRB Holdings, LLC- Real Estate Rental- co-owner- inv. related- 41875 West 11 Mile Road, Suite 205, Novi, MI 48375- start date 10/2015- 2hrs/mth
- 4) 01/10/2023 - BB Advisors Inc - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date: 12/21/2022 - 120 Hours Per Month/120 Hours During Securities Trading.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

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:

Date Initiated: 09/23/2002

Docket/Case Number: C8A020063

Employing firm when activity occurred which led to the regulatory action: SKY INVESTMENTS, INC.

Product Type:

Allegations: NASD RULE 2110 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE REMOVED AN IRA ROLLOVER CHECK THAT A CUSTOMER SUBMITTED TO HIS OFFICE, BROUGHT THE CHECK TO THE CUSTOMER'S HOME, AND SUGGESTED THE CUSTOMER TRANSFER THE ROLLOVER TO A COMPANY AFFILIATED WITH HIS SOON-TO-BE NEW EMPLOYER. AFTER THE CUSTOMER COMPLETED A NEW ACCOUNT FORM, BERRY CROSSED OUT AND SUBSTITUTED THE PAYEE ON THE ROLLOVER CHECK, PLACED THE CUSTOMER'S INITIALS NEXT TO THE PAYEE LINE, AND SUBMITTED THE CHECK TO THE NEW COMPANY BUT THE CHECK WAS REJECTED.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/23/2002



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

Regulator Statement FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 DAYS. THE SUSPENSION EFFECTIVE NOVEMBER 4, 2002, AND END ON DECEMBER 3, 2002. FINES PAID ON JULY 21, 2003.

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Reporting Source: Individual

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

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: MONETARY FINE

Date Initiated: 09/23/2002

Docket/Case Number: C8A020063

Employing firm when activity occurred which led to the regulatory action: SKY INVESTMENTS, INC.

Product Type: Other

Other Product Type(s): IRA ROLLOVER CHECK

Allegations: NASD RULE 2110. WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, REPRESENTATIVE CONSENTED TO THE ENTRY OF FINDINGS THAT HE REMOVED AN IRA ROLLOVER CHECK THAT A CUSTOMER SUBMITTED TO HIS OFFICE, BROUGHT THE CHECK TO THE CUSTOMER'S HOME, AND SUGGESTED THE CUSTOMER TRANSFER THE ROLLOVER TO A COMPANY AFFILIATED WITH HIS SOON-TO-BE NEW EMPLOYER. AFTER THE CUSTOMER COMPLETED A NEW ACCOUNT FORM REPRESENTATIVE CROSSED OUT AND SUBMITTED THE PAYEE ON THE ROLLOVER CHECK, PLACED THE CUSTOMER'S INITIALS NEXT TO THE PAYEE LINE, AND SUBMITTED THE CHECK TO THE NEW COMPANY BUT THE CHECK WAS REJECTED.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/23/2002

Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: FINED \$5000 AND SUSPENDED FROM ASSOCIATION FROM ANY NASD MEMEBER FIRM IN ANY CAPACITY FOR 30 DAYS. SUSPENSION EFFECTIVE NOVEMBER 2, 2002 AND END ON DECEMBER 3, 2002.



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:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Allegations:	Statement of Claim alleges an investment recommendation was made for the purpose of generating high commissions and fees and that Claimants were deprived of the ability to generate reasonable returns that would have been received in a diversified portfolio.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney's fees, expert fees, forum fees and punitive damages.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00397
Filing date of arbitration/CFTC reparation or civil litigation:	02/21/2024

Customer Complaint Information

Date Complaint Received:	02/22/2024
Complaint Pending?	No
Status:	Settled
Status Date:	12/05/2024
Settlement Amount:	\$18,500.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: CAMBRIDGE INVESTMENT RESEARCH, INC.

Allegations: Statement of Claim alleges an investment recommendation was made for the purpose of generating high commissions and fees and that Claimants were deprived of the ability to generate reasonable returns that would have been received in a diversified portfolio.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Statement of Claim does not allege a specific amount of damages. The requested damage amount shall include compensatory damages, statutory damages, interest, attorney's fees, expert fees, forum fees and punitive damages.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00397

Filing date of arbitration/CFTC reparation or civil litigation: 02/21/2024

Customer Complaint Information

Date Complaint Received: 02/22/2024

Complaint Pending? No

Status: Settled

Status Date: 12/05/2024

Settlement Amount: \$18,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CAMBRIDGE INVESTMENT RESEARCH, INC.

Allegations: CLIENT ALLEGES RR MISREPRESENTED ANNUITY BY NOT DISCLOSING SURRENDER CHARGE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$8,614.28

Customer Complaint Information

Date Complaint Received: 03/13/2009



Complaint Pending? No

Status: Denied

Status Date: 03/31/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement FIRM FOUND RR ADEQUATELY INFORMED CLIENT OF SURRENDER CHARGES. RR ADVISED CLIENT ANNUITY IS A LONG TERM INVESTMENT. SURRENDER CHARGES RESULTED FROM CLIENT LIQUIDATING ACCOUNT WITHIN THE FIRST YEAR.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SKY INVESTMENTS

Allegations:

ON 4/25, THE CUSTOMER INQUIRED WITH THE REP'S OSJ AS TO THE STATUS OF A \$56,000 CHECK THAT THE CUSTOMER HAD DEPOSITED AT THE REP'S BRANCH ON 4/17. THRU INVESTIGATION, IT WAS DISCOVERED THAT THE REP DID NOT PROCESS THE CHECK IMMEDIATELY (CONTRARY TO FIRM POLICY), BUT RATHER HELD IT UNTIL THE DAY HE RESIGNED (4/20), AT WHICH TIME HE REMOVED THE CHECK FROM THE SKY BRANCH OFFICE.

THE REP THEN MET WITH THE CUSTOMER LATER THAT DAY (4/20), REPRESENTING HIMSELF AS BEING AFFILIATED WITH HIS NEW B/D, COMMONWEALTH, PRIOR TO COMMONWEALTH CONFIRMING HIS RESIGNATION AND PROCESSING HIS REGISTRATION. THE REP CONVINCED THE CUSTOMER TO CHANGE THE PRE-AGREED UPON FROM A SKY INVESTMENTS ACCOUNT TO A COMMONWEALTH ACCOUNT. THE CUSTOMER AGREED AT THE MEETING AND SIGNED NEW ACCOUNT DOCUMENTS FOR COMMONWEALTH.

AFTER THE WEEKEND, THE CUSTOMER CALLED THE REP TO LET HIM KNOW SHE CHANGED HER MIND AND WANTED TO DO BUSINESS WITH SKY INVESTMENTS, AND INSTRUCTED HIM TO RETURN THE CHECK IMMEDIATELY. THE REP HAD ALREADY FORWARDED THE CHECK TO COMMONWEALTH AND REQUESTED IT TO BE RETURNED TO HIM. ONCE THE REP RECEIVED THE CHECK, HE FORWARDED IT TO THE SKY BRANCH OFFICE HE WAS AFFILIATED WITH. THE CHECK WAS RECEIVED BY THE SKY BRANCH OFFICE ON 5/2. AFTER EXAMINATION AT THE SKY BRANCH, IT WAS DISCOVERED THE REP HAD FORGED THE CUSTOMER'S INITIALS ON THE FRONT OF THE CHECK, ATTEMPTING TO CHANGE THE PAYEE FROM THE ORIGINAL PAYEE TO COMMONWEALTH'S CLEARING FIRM. THE CUSTOMER HAS WRITTEN A STATEMENT VERIFYING THE INITIALS ON THE FACE OF THE CHECK WERE NOT MADE BY HER AND THEY WERE FORGED.

THROUGHOUT THE INVESTIGATION, SKY CONSULTED THE REP. THE REP CONFIRMED HE TOOK THE CHECK FROM THE BRANCH OFFICE, HE CONFIRMED HE REPRESENTED HIMSELF AS BEING ASSOCIATED WITH COMMONWEALTH AT 2:00 PM ON 4/20 (COMMONWEALTH HAD NOT RECEIVED CONFIRMATION FROM SKY OF HIS RESIGNATION UNTIL AFTER 4:00 PM ON 4/20), AND CONFIRMED HE WROTE THE CUSTOMER'S INITIALS



ON THE FACE OF THE CHECK.

Product Type: No Product

Other Product Type(s): CUSTOMER WAS DEPOSITING CHECK - THAT WAS TO BE PUT INTO VARIABLE ANNUITY

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/25/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/03/2001

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SKY INVESTMENTS

Allegations: ON 4/20/01, AT THE CLIENT'S INSTRUCTION AND WITH HER WITNESSING, CHANGED THE PAYEE ON HER CHECK FROM ING TO NFS AND WROTE HER INITIALS SO THAT A TRANSACTION COULD BE COMPLETED AND TO SIGNIFY HER APPROVAL OF THE CHANGE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/25/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/03/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER COMPLAINT IS NO LONGER REPORTABLE. FILED 24 MONTHS AGO, DID NOT RESULT IN SETTLEMENT AND WAS CLOSED/NO ACTION.



End of Report

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