IAPD Report

CHARLES EDWARD RODEN

CRD# 402187

Section Title

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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

CHARLES EDWARD RODEN (CRD# 402187)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	01/31/2001
IA	OPPENHEIMER & CO. INC.	CRD# 249	01/10/2006

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **14** 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	JOSEPHTHAL & CO., INC.	3227	NEW YORK, NY	04/04/1977 - 01/02/2002
B	FIRST ALLIED SECURITIES, INC.	32444	SAN DIEGO, CA	11/16/1998 - 09/22/1999
B	ROCKWOOD INC.	27332	NEW YORK, NY	03/18/1996 - 09/24/1998

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	2

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 **14** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**

Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004

Firm ID#: 249

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/22/2013
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	08/22/2013
B	Cboe Exchange, Inc.	Registered Options Principal	Approved	08/22/2013
B	Cboe Exchange, Inc.	General Securities Principal	Approved	07/26/2021
B	FINRA	General Securities Principal	Approved	01/02/2002
B	FINRA	General Securities Representative	Approved	01/02/2002
B	FINRA	General Securities Sales Supervisor	Approved	01/02/2002
B	FINRA	Municipal Securities Principal	Approved	01/02/2002
B	FINRA	Municipal Securities Representative	Approved	01/02/2002
B	FINRA	Registered Options Principal	Approved	01/02/2002
B	FINRA	Supervisory Analyst (NYSE)	Approved	10/19/2007
B	NYSE American LLC	General Securities Representative	Approved	01/02/2002
B	NYSE American LLC	Supervisory Analyst (NYSE)	Approved	10/19/2007

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Principal	Approved	08/22/2013
B	NYSE American LLC	Municipal Securities Principal	Approved	08/22/2013
B	NYSE American LLC	Municipal Securities Representative	Approved	08/22/2013
B	NYSE American LLC	General Securities Sales Supervisor	Approved	02/27/2019
B	NYSE American LLC	Registered Options Principal	Requalification	01/31/2001
B	NYSE Arca, Inc.	General Securities Principal	Approved	08/22/2013
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/22/2013
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	08/22/2013
B	NYSE Arca, Inc.	Registered Options Principal	Approved	08/22/2013
B	NYSE Texas, Inc.	General Securities Principal	Approved	08/22/2013
B	NYSE Texas, Inc.	General Securities Representative	Approved	08/22/2013
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	02/27/2019
B	Nasdaq ISE, LLC	General Securities Principal	Approved	08/22/2013
B	Nasdaq ISE, LLC	General Securities Representative	Approved	08/22/2013
B	Nasdaq ISE, LLC	Registered Options Principal	Approved	08/22/2013
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	02/27/2019
B	Nasdaq PHLX LLC	General Securities Principal	Approved	08/22/2013
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/22/2013
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/22/2013

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq PHLX LLC	Registered Options Principal	Approved	08/22/2013
B	Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/22/2013
B	Nasdaq Stock Market	Registered Options Principal	Approved	08/22/2013
B	New York Stock Exchange	Supervisory Analyst (NYSE)	Approved	01/31/2001
B	New York Stock Exchange	General Securities Representative	Approved	01/02/2002
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Representative	Approved	08/22/2013
B	California	Agent	Approved	01/02/2002
B	Connecticut	Agent	Approved	08/01/2023
B	Florida	Agent	Approved	01/02/2002
IA	Florida	Investment Adviser Representative	Approved	03/26/2024
B	Georgia	Agent	Approved	09/06/2019
B	Maryland	Agent	Approved	01/02/2002
B	Minnesota	Agent	Approved	01/19/2021
B	Montana	Agent	Approved	04/22/2026
B	New Jersey	Agent	Approved	01/02/2002

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	01/10/2006
B	New York	Agent	Approved	01/02/2002
IA	New York	Investment Adviser Representative	Approved	04/07/2021
B	Pennsylvania	Agent	Approved	01/02/2002
B	Rhode Island	Agent	Approved	01/02/2002
B	South Carolina	Agent	Approved	10/23/2018
B	Texas	Agent	Restricted Approval	10/01/2025
B	Vermont	Agent	Approved	09/30/2005

Branch Office Locations

OPPENHEIMER & CO. INC.
ARMONK, NY

OPPENHEIMER & CO. INC.
PALM BEACH GARDENS, FL

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 6 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	01/02/2023
B	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
B	Registered Principal Examination (S40)	Series 40	04/14/1967

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Foreign Currency Options Examination (S15)	Series 15	04/03/1985
B	Interest Rate Options Examination (S5)	Series 5	12/22/1983
B	AMEX Put and Call Exam (PC)	PC	09/06/1977
B	NYSE Supervisory Analyst Examination (S16)	Series 16	12/23/1971

Qualifications

PASSED INDUSTRY EXAMS

General Industry/Product Exams

	Exam	Category	Date
B	NYSE Allied Member Examination (S41)	Series 41	04/14/1967

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1988

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	04/04/1977 - 01/02/2002	JOSEPHTHAL & CO., INC.	CRD# 3227	NEW YORK, NY
B	11/16/1998 - 09/22/1999	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	03/18/1996 - 09/24/1998	ROCKWOOD INC.	CRD# 27332	NEW YORK, NY
B	11/22/1995 - 12/31/1997	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	08/24/1992 - 09/28/1993	CHATMON CAPITAL GROUP, INC.	CRD# 29552	
B	04/30/1968 - 02/27/1977	AIBEL, GWIRTZMAN & CO., INC.	CRD# 1028	

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
01/2002 - Present	FAHNESTOCK & CO.	MASS TRANSFER	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.

TRUSTE ARTICLE SEVENTH TRUST U/NWILL ELY ZIMMERMAN
DEVOTE 1 HOUR OR LESS PER MONTH

THE TRUST UWO ROSLYN MILLER - I AM A TRUSTEE
7 BLAIR ROAD, ARMONK, NY
START DATE - 10/16/88
MAXIMUM HOURS 2 PER MONTH

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	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/17/2009
Docket/Case Number:	2008015337801
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER & CO. INC.
Product Type:	Other: UNSPECIFIED TYPE OF SECURITIES
Allegations:	NASD RULES 2110 AND 2510(B): RESPONDENT CHARLES E. RODEN EXERCISED DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMER. RODEN'S MEMBER FIRM PROHIBITED DISCRETIONARY TRADING WITHIN CUSTOMER ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	06/17/2009

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	07/20/2009
End Date:	07/31/2009
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, RODEN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM JULY 20, 2009 THROUGH JULY 31, 2009.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)

	Suspension
Date Initiated:	06/17/2009
Docket/Case Number:	2008015337801
Employing firm when activity occurred which led to the regulatory action:	OPPENHEIMER & CO. INC.
Product Type:	Equity Listed (Common & Preferred Stock) Other: UNSPECIFIED TYPE OF SECURITIES
Allegations:	NASD RULES 2110 NX 2510(B): RESPONDENT CHARLES E. RODEN ACCEPTED; WITHOUT ADMITTING OR DENYING IN THE FINDINGS A LETTER OF ACCEPTANCE, WAIVER AND CONSENT, THAT HE EXERCISED DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT HAVING OBTAINED PRIOR WRITTEN AUTHORIZATION FROM THE CUSTOMER. RODEN'S MEMBER FIRM PROHIBITED DISCRETIONARY TRADING WITHIN CUSTOMER ACCOUNTS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	06/17/2009
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	07/20/2009
End Date:	07/31/2009
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NYSE DIVISION OF ENFORCEMENT.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/19/1999
Docket/Case Number:	HPD#00-122
Employing firm when activity occurred which led to the regulatory action:	JOSEPHTHAL & CO., INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	**8/19/1999**EVENT: CHARGES ISSUED BY NYSE DIVISION OF ENFORCEMENT AGAINST JOSEPHTHAL & CO., INC., CHARLES E. RODEN, RONALD C. ANSMANN, SHELDON D. BERMAN, STUART M. RUBENS AND DONALD PETERSON. EVENT DATE: AUGUST 19, 1999 CHARLES RODEN VIOLATED EXCHANGE RULE 342 IN THAT HE FAILED TO ADEQUATELY SUPERVISE THE ACTIVITIES OF ONE OR MORE EMPLOYEES SUBJECT TO HIS SUPERVISION, VIOLATED EXCHANGE RULE 342 IN THAT HE FAILED TO ADEQUATELY SUPERVISE THE EMPLOYEE-RELATED TRADING OF ONE OR MORE EMPLOYEES IN HIS DEPARTMENT, VIOLATED EXCHANGE RULE 342 IN THAT HE FAILED TO ADEQUATELY SUPERVISE A HIGHLY SPECULATIVE STRATEGY OF TRADING U.S. TREASURY SECURITIES ON MARGIN.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/08/2000
Sanctions Ordered:	Bar Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	**08/10/2000** HPD 00-122 DECISION: RODEN WAS FOUND TO HAVE VIOLATED EXCHANGE RULE 342 IN THAT HE FAILED TO REASONABLY SUPERVISE AND IMPLEMENT ADEQUATE SUPERVISORY CONTROLS OVER CERTAIN ACTIVITIES - RODEN CONSENTED TO A CENSURE, A BAR FROM BEING A MEMBER, ALLIED MEMBER, APPROVED PERSON OR EMPLOYMENT OR ASSOCIATION IN A SUPERVISORY CAPACITY FOR FOUR MONTHS,A FINE OF $10,000 AND A REQUIREMENT TO TAKE AND PASS THE SERIES 8 EXAM BEFORE RESUMING SUPERVISORY DUTIES AND AN UNDERTAKING TO APPEAR AND TESTIFY IN OTHER RELATED DISCIPLINARY PROCEEDINGS.
Regulator Statement	**9/8/2000** THE DECISION IS NOW FINAL. THE BAR OR SUSPENSION IMPOSED IS EFFECTIVE OCTOBER 1, 2000. CONTACT PEGGY GERMINO 212 656-8450.

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Censure
Date Initiated:	08/19/1999
Docket/Case Number:	DECISION 00-122
Employing firm when activity occurred which led to the regulatory action:	JOSEPHTAL & CO, INC.
Product Type:	Equity Listed (Common & Preferred Stock)
Allegations:	THE NYSE ALLEGES THAT CHARLES RODEN VIOLATED EXCHANGE RULES 342 IN THAT HE FAILED TO ADEQUATELY SUPERVISE THE ACTIVITIES OF ONE OR MORE EMPLOYYEES SUBJECT TO HIS SUPERVISION.
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:	08/19/2000
Sanctions Ordered:	Censure

End of Report

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