



IAPD Report

MOEEZ UL-HAQ ANSARI

CRD# 4053253

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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

MOEEZ UL-HAQ ANSARI (CRD# 4053253)

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 **11/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COMPAC ASSET MANAGEMENT	CRD# 109930	03/21/2001
B	COMPAC SECURITIES, INC.	CRD# 125472	09/03/2003

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	MULTIPLE FINANCIAL SERVICES, INC.	100100	SAN JUAN CAPISTRANO, CA	01/27/2003 - 10/30/2003
IA	MULTIPLE FINANCIAL SERVICES, INC.	100100	MISSION VIEJO, CA	01/27/2003 - 10/30/2003
B	TRIAD ADVISORS, INC.	25803	ATLANTA, GA	02/08/2001 - 04/02/2002

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	6



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

Employment 1 of 2

Firm Name: **COMPAC SECURITIES, INC.**

Main Address: 1801 DOVE STREET
NEWPORT BEACH, CA 92660

Firm ID#: 125472

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	09/03/2003
 FINRA	General Securities Representative	Approved	09/03/2003
 FINRA	Operations Professional	Approved	10/24/2011
 FINRA	Compliance Officer	Approved	10/01/2018
 Arizona	Agent	Approved	04/11/2007
 California	Agent	Approved	04/10/2007
 Colorado	Agent	Approved	04/13/2016
 Hawaii	Agent	Approved	08/19/2025
 Idaho	Agent	Approved	11/22/2010
 Nevada	Agent	Approved	01/21/2009
 Oregon	Agent	Approved	08/31/2005
 Pennsylvania	Agent	Approved	11/14/2025
 Texas	Agent	Approved	04/09/2015



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	02/04/2025
B Washington	Agent	Approved	11/18/2010

Branch Office Locations

1801 DOVE STREET
NEWPORT BEACH, CA 92660

8865 E. BELL ROAD, SUITE 201
SCOTTSDALE, AZ 85251

Employment 2 of 2

Firm Name: **COMPAC ASSET MANAGEMENT**
Main Address: 1801 DOVE STREET
NEWPORT BEACH, CA 92660
Firm ID#: 109930

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	06/04/2003
IA California	Investment Adviser Representative	Approved	03/21/2001
IA Colorado	Investment Adviser Representative	Approved	06/11/2014
IA Hawaii	Investment Adviser Representative	Approved	04/05/2016
IA Idaho	Investment Adviser Representative	Approved	05/29/2014
IA Illinois	Investment Adviser Representative	Approved	11/19/2010
IA Indiana	Investment Adviser Representative	Approved	03/21/2023
IA Iowa	Investment Adviser Representative	Approved	03/20/2023
IA Maryland	Investment Adviser Representative	Approved	06/02/2014
IA Michigan	Investment Adviser Representative	Approved	05/29/2014
IA Minnesota	Investment Adviser Representative	Approved	05/28/2014



Qualifications

Regulator	Registration	Status	Date	
IA	Nevada	Investment Adviser Representative	Approved	11/19/2010
IA	New Mexico	Investment Adviser Representative	Approved	03/13/2023
IA	New York	Investment Adviser Representative	Approved	03/13/2023
IA	North Carolina	Investment Adviser Representative	Approved	05/29/2014
IA	Ohio	Investment Adviser Representative	Approved	03/13/2023
IA	Oregon	Investment Adviser Representative	Approved	05/28/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	10/20/2004
IA	Virginia	Investment Adviser Representative	Approved	02/25/2011
IA	Washington	Investment Adviser Representative	Approved	11/18/2010
IA	Wisconsin	Investment Adviser Representative	Approved	05/30/2014

Branch Office Locations

COMPAC ASSET MANAGEMENT
1801 DOVE STREET
NEWPORT BEACH, CA 92660

COMPAC ASSET MANAGEMENT
1801 DOVE STREET
NEWPORT BEACH, CA 92660



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Principal Examination (S24)	Series 24	05/19/2003

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/13/1999

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	01/10/2000

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	01/27/2003 - 10/30/2003	MULTIPLE FINANCIAL SERVICES, INC.	CRD# 100100	SAN JUAN CAPISTRANO, CA
IA	01/27/2003 - 10/30/2003	MULTIPLE FINANCIAL SERVICES, INC.	CRD# 100100	MISSION VIEJO, CA
B	02/08/2001 - 04/02/2002	TRIAD ADVISORS, INC.	CRD# 25803	ATLANTA, GA
B	10/27/1999 - 12/08/2000	SENTRA SECURITIES CORPORATION	CRD# 10249	PHOENIX, AZ

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
12/2002 - Present	COMPAC SECURITIES INC.	PRESIDENT	Y	Newport Beach, CA, United States
12/1999 - Present	COMPAC ASSET MANAGEMENT	PRESIDENT	Y	Newport Beach, CA, 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.

CURRENTLY HOSTS A 1 HOUR "MAARKET WRAP" TALK RADIO SHOW FOR A TOTAL OF 20 HOURS PER MONTH. THE TALK SHOW IS RECORDED LIVE AT 1801 DOVE STREET, NEWPORT BEACH, CA, THE MAIN OFFICES OF COMPAC ASSET MANAGEMENT, A REGISTERED INVESTMENT ADVISOR.

REGISTERED AS AN INVESTMENT ADVISOR WITH COMPAC ASSET MANAGEMENT. REGISTERED AS AN REGISTERED REPRESENTATIVE WITH COMPAC SECURITIES, INC.



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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	COMPAC ASSET MANAGEMENT
Allegations:	THE FIRM RECEIVED A CUSTOMER COMPLAINT FROM THE LAW OFFICES OF HOLAND & KNIGHT ON BEHALF OF 4 INDIVIDUALS ALLEGING THAT OPTION TRANSACTIONS WERE EXECUTED IN CLIENT ACCOUNTS WITHOUT THE DISCLOSURES OF RISK. THE FIRM HAS REQUESTED THAT HOLAND & KNIGHT ADVISE COMPAC ASSET OF THE TRADE SPCIFICS. COMPAC ASSET TO DATE HAS NOT HEARD BACK FROM HOLAND & KNIGHT.
Product Type:	Commodity Option
Alleged Damages:	\$111,405.00
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:	12/06/2001
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/05/2002
Settlement Amount:	

**Individual Contribution
Amount:****Disclosure 2 of 6**

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: COMPAK ASSET MANAGEMENT
Allegations: CLIENT ALLEGED THAT ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] AND MOEEZ ANSARI CHURNED HIS ACCOUNT. AT THE TIME OF THE CLIENT HAD A DEBIT BALANCE IN HIS ACCOUNT OF \$14,539.73.
Product Type: Commodity Option(s)
Alleged Damages: \$14,539.73

Customer Complaint Information

Date Complaint Received: 03/19/2001
Complaint Pending? No
Status: Settled
Status Date: 04/06/2001
Settlement Amount: \$14,539.73
Individual Contribution Amount: \$0.00
Broker Statement THE FIRM MADE A DECISION TO PAY THE DEBIT BALANCE OF \$14,539.73 TO THE CLEARING FIRM TO RESOLVE THE MATTER.

Disclosure 3 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION
Allegations: THE CUSTOMER ALLEGES THAT BETWEEN APRIL 1999 AND JANUARY 2001 ANSARI VIOLATED HIS FIDUCIARY RESPONSIBILITY TO THE CUSTOMER BY OVER EXTENDING HIS MANAGED COMMODITIES ACCOUNT ON MARGIN. THE CUSTOMER STATES THAT HIS COMMODITIES ACCOUNT WAS WITH COMPAK TRADING COMPANY/COMPAK ASSET MANAGEMENT. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option(s)
Alleged Damages: \$22,726.79

Customer Complaint Information

Date Complaint Received: 07/12/2002
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION

Allegations: THE CUSTOMER ALLEGES THAT BETWEEN APRIL 1999 AND JANUARY 2001 ANSARI VIOLATED HIS FIDUCIARY RESPONSIBILITY TO THE CUSTOMER BY OVER EXTENDING HIS MANAGED COMMODITIES ACCOUNT ON MARGIN. THE CUSTOMER STATES THAT HIS COMMODITIES ACCOUNT WAS WITH COMPAK TRADING COMPANY/COMPAK ASSET MANAGEMENT. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option

Alleged Damages: \$22,726.79

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CFTC

Docket/Case #: CFTC DOCKET NO. 01-RO65

Filing date of arbitration/CFTC reparation or civil litigation: 07/12/2002

Customer Complaint Information

Date Complaint Received: 07/12/2002

Complaint Pending? No

Status: Settled

Status Date: 09/04/2001

Settlement Amount: \$2,500.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION

Allegations: THE CUSTOMER'S COMPLAINT IS AGAINST ANSARI AND COMPAK TRADING CO. THE CUSTOMER ALLEGES THAT ANSARI MISREPRESENTED THE RISKS, CHURNED HIS ACCOUNT AND VIOLATED HIS FIDUCIARY DUTY TO THE CUSTOMER. THE ALLEGED ACTIVITIES OCCURRED BETWEEN SEPTEMBER 1999 AND APRIL 2000. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option(s)



Alleged Damages: \$32,166.09

Customer Complaint Information

Date Complaint Received: 07/12/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SENTRA SECURITIES CORPORATION

Allegations: THE CUSTOMER'S COMPLAINT IS AGAINST ANSARI AND COMPAK TRADING CO. THE CUSTOMER ALLEGES THAT ANSARI MISREPRESENTED THE RISKS, CHURNED HIS ACCOUNT AND VIOLATED HIS FIDUCIARY DUTY TO THE CUSTOMER. THE ALLEGED ACTIVITIES OCCURRED BETWEEN SEPTEMBER 1999 AND APRIL 2000. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option

Alleged Damages: \$32,166.09

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CFTC

Docket/Case #: CFTC DOCKET NO. 02-RO33

Filing date of arbitration/CFTC reparation or civil litigation: 07/12/2002

Customer Complaint Information

Date Complaint Received: 07/12/2002

Complaint Pending? No

Status: Settled

Status Date: 08/06/2002

Settlement Amount: \$4,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 6

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:

SENTRA SECURITIES CORPORATION

Allegations:

CONCERNING HIS COMMODITIES ACCOUNT WITH ANSARI AND COMPAK ASSET MANAGEMENT, [CUSTOMER] ALLEGED CHURNING, MISREPRESENTATION, FAILURE TO DISCLOSE RISKS, BREACH OF FIDUCIARY DUTY, AND FAILURE TO SUPERVISE. THE ALLEGED ACTIVITIES DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION.

Product Type: Commodity Option(s)

Alleged Damages: \$53,427.91

Customer Complaint Information

Date Complaint Received: 01/03/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/11/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [CUSTOMER] V. MOEEZ ANSARI, COMPAK ASSET MANAGEMENT, [THIRD PARTY], ET AL. NFA ARBITRATION CASE NO. 00ARB71.

Date Notice/Process Served: 08/11/2000

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/12/2002

Monetary Compensation Amount: \$57,527.91

Individual Contribution Amount: \$0.00

Firm Statement NFA RECORDS SHOW AN AWARD DATE OF 7/12/2002. RB&H FINANCIAL SERVICES, LP, COMPAK ASSET MANAGEMENT CO., MOEEZ ANSARI AND [THIRD PARTY] WERE DIRECTED TO PAY [CUSTOMER] THE NOTED AWARD AMOUNT. AVAILABLE NFA RECORDS DO NOT STATE WHETHER THE AWARD HAS BEEN PAID OR ANSARI'S CONTRIBUTION AMOUNT, THEREFORE, "0.00" WAS INDICATED AS THE "INDIVIDUAL CONTRIBUTION AMOUNT."

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: COMPAK TRADING CO.

Allegations: CHURNING, MISREPRESENTATION, FAILURE TO SUPERVISE, FAILURE TO DISCLOSE RISKS, BREACH OF FIDUCIARY DUTY, RICO AND COSTS.

Product Type: Commodity Option(s)



Alleged Damages: \$160,283.73

Customer Complaint Information

Date Complaint Received: 05/24/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/12/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL FUTURES ASSOCIATION (NFA). CASE NUMBER 00-ARB-71

Date Notice/Process Served: 05/24/2001

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/12/2002

Monetary Compensation Amount: \$57,627.91

Individual Contribution Amount: \$57,627.91

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: COMPAK TRADING CO

Allegations: CLIENT FILED A COMPLAINT AGAINST COMPAK TRADING, ITS PRINCIPAL MOEEZ ANSARI AND ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] ALLEGING THAT THE FIRM AND ITS REPRESENTATIVES FAILED TO DISCLOSE RISKS; UNAUTHORIZED TRADING; MISREPRESENTATION; FRAUDULANT SOLICITATION.

Product Type: Commodity Option(s)

Alleged Damages: \$160,283.73

Customer Complaint Information

Date Complaint Received: 08/11/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/11/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	00-ARB-71
Date Notice/Process Served:	05/24/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/12/2002
Monetary Compensation Amount:	\$57,527.91
Individual Contribution Amount:	
Broker Statement	[CUSTOMER] WAS AWARDED \$57,527.91. THE FIRM CONTRIBUTED \$27,763.95; THE ACCOUNT EXECUTIVE [OTHER FIRM EMPLOYEE] PAID THE BALANCE OF \$27,763.95.

Disclosure 6 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SENTRA SECURITIES CORPORATION
Allegations:	[CUSTOMER] ALLEGES THAT ANSARI, DBA COMPAK TRADING COMPANY, FRAUDULENTLY SOLICITED HIS COMMODITY ACCOUNT BY MISREPRESENTING MATERIAL FACTS AND OMITTING OTHER MATERIAL FACTS. [CUSTOMER] ALSO ALLEGES THAT ANSARI CHURNED HIS COMMODITY ACCOUNT AND EXECUTED UNAUTHORIZED TRADES. THE ALLEGED ACTIVITY OCCURRED SOMETIME BETWEEN APRIL 1998 AND MAY 2001. THE ALLEGED ACTIVITY DID NOT OCCUR THROUGH SENTRA SECURITIES CORPORATION. THE CLIENT FILED A COMPLAINT AGAINST ADM INVESTOR SERVICES, CHAS SCHWAB, COMPAK TRADING-ITS PRINCIPAL ANSARI AND FA [THIRD PARTY] ALLEGING FIRM FAILED TO DISCLOSE RISK:FRAULUANT SOLICITATION: MISREPRESENTATION, FAILURE TO DISCLOSE RISK AND UNAUTHORIZED TRADING
Product Type:	Commodity Option(s)
Alleged Damages:	\$150,000.00

Customer Complaint Information

Date Complaint Received:	08/30/2001
Complaint Pending?	No
Status:	Litigation
Status Date:	07/12/2002

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details:	CFTC DOCKET # 01-R101
Date Notice/Process Served:	07/12/2002



Litigation Pending?	No
Disposition:	Settled
Disposition Date:	08/28/2002
Monetary Compensation Amount:	\$29,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	ADM INVESTOR SERVICES CONTRICBUTED \$14500.00 AND THE BALANCE OF \$14500.00 WAS PAID BY [THIRD PARTY]. EVENT BEGAN AS A CUSTOMER COMPLAINT AND THEN EVOLVED, AND WAS SETTLED, THROUGH LITIGATION.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	COMPAC TRADING CO.
Allegations:	NOT REGISTERED AS A CTA, DID NOT DISCLOSE RISK.
Product Type:	Commodity Option(s)
Alleged Damages:	\$68,000.00

Customer Complaint Information

Date Complaint Received:	10/26/2001
Complaint Pending?	No
Status:	Settled
Status Date:	08/28/2002
Settlement Amount:	\$29,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	CFTC DOCKET NO. 01-R101
Date Notice/Process Served:	08/28/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/28/2002
Monetary Compensation Amount:	\$29,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	ADM INVESTOR SERVICES CONTRIBUTED \$14,500.00 AND THE BALANCE OF \$14,500.00 WAS PAID BY MR. ROBERT DUFFY.



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: COMPAK TRADING CO / COMPAK ASSET MANAGEMENT
Allegations: THE CLIENT FILED A COMPLAINT AGAINST ADM INVESTOR SERVICES, CHARLES SCHWAB, COMPAK TRADING, ITS PRINCIPAL MOEEZ ANSARI AND ACCOUNT EXECUTIVE MR. ROBERT DUFFY ALLEGING THAT THE FIRM FAILED TO DISCLOSE RISKS; FRAUDULENT SOLICITATION; MISREPRESENTATION, FAILURE TO DISCLOSE RISK AND UNAUTHORIZED TRADING.

Product Type: Commodity Option(s)
Alleged Damages: \$68,000.00

Customer Complaint Information

Date Complaint Received: 10/26/2001

Complaint Pending? No

Status: Settled

Status Date: 08/28/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: CFTC DOCKET NO. 01-R101

Date Notice/Process Served:

Arbitration Pending?

Disposition: Settled

Disposition Date:

Monetary Compensation Amount: \$29,000.00

Individual Contribution Amount:

Broker Statement ADM INVESTOR SERVICES CONTRIBUTED \$14,500.00 AND THE BALANCE OF \$14,500.00 WAS PAID BY MR. ROBERT DUFFY.



End of Report

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