



## IAPD Report

# DARYL F DEVILLIER

CRD# 4069344

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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

### DARYL F DEVILLIER (CRD# 4069344)

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 **01/29/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/20/2018
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/28/2022

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** jurisdiction(s).

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

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

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

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, INC.	6363	MINNEAPOLIS, MN	04/20/2018 - 12/31/2019
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	SPRINGFIELD, MA	11/29/2006 - 05/14/2018
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	SPRINGFIELD, MA	04/21/2006 - 05/14/2018

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	7



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

### Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**  
Main Address: 901 3RD AVENUE SOUTH  
MINNEAPOLIS, MN 55402  
Firm ID#: 6363

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	04/20/2018
<b>B</b>	Alaska	Agent	Approved	03/24/2025
<b>B</b>	Connecticut	Agent	Approved	04/20/2018
<b>B</b>	Florida	Agent	Approved	04/20/2018
<b>B</b>	Georgia	Agent	Approved	11/29/2021
<b>B</b>	Illinois	Agent	Approved	09/13/2022
<b>B</b>	Kentucky	Agent	Approved	03/27/2023
<b>B</b>	Massachusetts	Agent	Approved	07/23/2018
<b>B</b>	New Hampshire	Agent	Restricted Approval	09/28/2018
<b>B</b>	New York	Agent	Approved	09/24/2018
<b>B</b>	North Carolina	Agent	Approved	11/14/2022
<b>B</b>	Pennsylvania	Agent	Approved	01/17/2020
<b>B</b>	Rhode Island	Agent	Approved	10/18/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	08/02/2018
<b>B</b> Texas	Agent	Approved	07/26/2022
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	07/28/2022
<b>B</b> Vermont	Agent	Approved	04/20/2018
<b>B</b> Virginia	Agent	Approved	04/20/2018
<b>B</b> Wisconsin	Agent	Approved	10/29/2025

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
1414 Main St Ste 1800  
Springfield, MA 01144-7067

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Springfield, MA

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Dennis, MA



## 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, 3 general industry/product exams, and 1 state securities law exam.**

#### 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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Futures Managed Funds Examination (S31)	Series 31	05/30/2003
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General Securities Representative Examination (S7)	Series 7	01/03/2000
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/13/2000
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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	04/20/2018 - 12/31/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
IA	11/29/2006 - 05/14/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SPRINGFIELD, MA
B	04/21/2006 - 05/14/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SPRINGFIELD, MA
B	01/04/2000 - 04/26/2006	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY

### 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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Springfield, MA, United States
04/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Springfield, MA, United States
04/2006 - 04/2018	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	SPRINGFIELD, MA, 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.

Real Estate Ownership; Single Family; 93 Taunton Ave, , Dennis, MA, 02638; Not Investment-Related; 02/01/2023. Other Business Activities; email mentor; speaking with high school students about careers in finance; wendover road, , springfield, MA, 01108; Investment-Related; 12/01/2020; 1 to 9 hours per month; 1 to 9 during trading hours.



## Disclosure Summary

### Disclosure Information

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

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

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

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

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

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

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

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	7

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Massachusetts Securities Division
<b>Sanction(s) Sought:</b>	Undertaking
<b>Date Initiated:</b>	07/23/2018
<b>Docket/Case Number:</b>	R-2018-0071
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Ameriprise Financial Services, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	deVillier is the subject of 6 customer complaints alleging unauthorized trading, improper use of discretion, suitability issues, churning, negligence, breach of contract and breach of fiduciary duty. As a result of the above-stated disclosure incidents, and pursuant to the Undertakings, the Division is placing conditions on deVillier's registration as a BD Agent of Ameriprise in Massachusetts.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent Order



**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:** 07/23/2018

**Sanctions Ordered:** Undertaking  
Other: Ameriprise shall supervise deVillier on a heightened basis. Conditions on his registration shall be in effect for three years from the date of entry of the order.

**Regulator Statement** As a result of the above-stated disclosure incidents, and pursuant to the Undertakings, the Division is placing conditions on deVillier's registration as a BD Agent of Ameriprise in Massachusetts. 18.After three (3) years from the entry of this Order, deVillier must submit, within fifteen (15) days, to Ameriprise and the Director an affidavit stating that deVillier has fully complied with all conditions of this Order. In the event that deVillier cannot submit the required affidavit, deVillier must instead submit a statement explaining why the affidavit cannot be submitted. Subject to conditions the application of Daryl F. deVillier for registration in Massachusetts as a broker-dealer agent of Ameriprise Financial Services, Inc. is allowed.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** Massachusetts Securities Division

**Sanction(s) Sought:** Undertaking  
Other: Conditional Registration

**Date Initiated:** 07/23/2018

**Docket/Case Number:** R-2018-0071

**Employing firm when activity occurred which led to the regulatory action:** Ameriprise Financial Services, Inc.

**Product Type:** No Product

**Allegations:** Due to disclosure history, and pursuant to the Undertakings, the Division is placing conditions on Petrangelo's registration as a BD Agent of Ameriprise in Massachusetts.

**Current Status:** Final

**Resolution:** Consent Order

**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:** 07/23/2018

**Sanctions Ordered:** Undertaking  
Other: Ameriprise shall supervise deVillier on a heightened basis. Conditions on his registration shall be in effect for three years from the date of entry of the order.



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## 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 7

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** AMERIPRISE FINANCIAL SERVICES, LLC

**Allegations:** Plaintiffs allege that their advisor failed to make the premium payments on their \$601,676 Principal National Life Insurance Company life insurance policy that he agreed to process on their behalf. As a result, the policy lapsed in about September 2021.

**Product Type:** Insurance

**Alleged Damages:** \$601,676.00

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** Massachusetts Superior Court

**Location of Court:** Hampden County, MA

**Docket/Case #:** 2379CV487

**Date Notice/Process Served:** 09/29/2023

**Litigation Pending?** Yes

### Disclosure 2 of 7

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Raymond James & Associates, Inc.

**Allegations:** \*\*This disclosure is no longer reportable on the current U4 because it was filed more than 24 months ago and did not settle for \$15,000 or more.\*\* Misrepresentation. Activity Date from 6/1/15 to 10/31/15

**Product Type:** Annuity-Variable

**Alleged Damages:** \$78,192.96

**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:** 02/16/2016



**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 04/29/2016  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Broker Statement** \*\*This disclosure is no longer reportable on the current U4 because it was filed more than 24 months ago and did not settle for \$15,000 or more.\*\*

#### Disclosure 3 of 7

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES & ASSOCIATES, INC.  
**Allegations:** \*\*UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE\*\* SUITABILITY; ACTIVITY DATES FROM 9/23/11 TO 2/15/12.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$26,062.34  
**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:** 10/10/2012  
**Complaint Pending?** No  
**Status:** Withdrawn  
**Status Date:** 10/31/2012  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Broker Statement** \*\*UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE\*\*

#### Disclosure 4 of 7

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:** Raymond James Financial Services, Inc., Raymond James & Associates, Inc.,  
**Allegations:** breach of fiduciary duty, churning, unauthorized trading, and unsuitability.



**Product Type:** Other: various securities

**Alleged Damages:** \$47,444.29

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #13-00131](#)

**Date Notice/Process Served:** 01/09/2013

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 11/27/2013

**Disposition Detail:** Respondent is jointly and severally liable for and shall pay to the Claimant compensatory damages in the amount of \$39,802.69.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES & ASSOCIATES, INC.

**Allegations:** BREACH OF FIDUCIARY DUTY OF INVESTMENT BROKER, CHURNING/EXCESSIVE AND UNAUTHORIZED TRADES, UNSUITABLE INVESTMENTS. TIME PERIOD: SEPTEMBER 2011 THRU APRIL 2012.

**Product Type:** Mutual Fund

**Alleged Damages:** \$47,449.29

**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:** 07/10/2012

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/06/2013

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA DISPUTE RESOLUTION, NEW YORK

**Docket/Case #:** [13-00131](#)

**Date Notice/Process Served:** 03/06/2013

**Arbitration Pending?** No



**Disposition:** Award to Customer

**Disposition Date:** 11/27/2013

**Monetary Compensation Amount:** \$39,802.69

**Individual Contribution Amount:** \$0.00

#### Disclosure 5 of 7

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** RAYMOND JAMES & ASSOCIATES INC.

**Allegations:** \*\*UPDATE - LITIGATION ALLEGATIONS ARE: NEGLIGENCE; BREACH OF FIDUCIARY DUTY; FRAUD; AND BREACH OF CONTRACT AND THIRD-PARTY BENEFICIARY CLAIM\*\* PRE-LITIGATION ALLEGATIONS WAS: DOCUMENTATION - CLIENT ALLEGES FA DID NOT LIST HER AS A BENEFICIARY ON HER HUSBAND'S ACCOUNT. ACTIVITY DATES ARE FROM 04/28/06 THRU 12/22/08.

**Product Type:** Other: IRA ACCOUNT

**Alleged Damages:** \$19,521.00

**Alleged Damages Amount Explanation (if amount not exact):** LITIGATION ALLEGED AMOUNT IS \$19,521.00 - PRE-LITIGATION ALLEGED AMOUNT WAS \$7,155.94.

**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:** 12/22/2008

**Complaint Pending?** No

**Status:** Evolved into Civil litigation (the individual is a named party)

**Status Date:** 02/13/2009

**Settlement Amount:**

**Individual Contribution Amount:**

#### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** HOLYOKE MA CLERK OF CIRCUIT COURT

**Location of Court:** HOLYYOKE, MA

**Docket/Case #:** 1017CV195

**Date Notice/Process Served:** 06/21/2010

**Litigation Pending?** No



**Disposition:** Settled  
**Disposition Date:** 03/31/2011  
**Monetary Compensation Amount:** \$8,150.00  
**Individual Contribution Amount:** \$1,529.07

#### Disclosure 6 of 7

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** FAILURE TO EXECUTE TRADES IN A TIMELY MANNER, UNAUTHORIZED PURCHASE OF STOCK, NEGLIGENCE REGARDING RECOMMENDATION OF OUTSIDE MONEY MANAGER AND OVER CONCENTRATION, FAILURE TO CONSIDER TAX CONSEQUENCES OF ADVICE FROM MARCH 2000.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):** EQUITY - OTC

**Alleged Damages:** \$130,000.00

#### Customer Complaint Information

**Date Complaint Received:** 08/02/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 11/09/2004

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 7 of 7

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** CUSTOMER ALLEGES UNAUTHORIZED TRADING/IMPROPER USE OF DISCRETION/UNSUITABILITY.

**Product Type:** Other

**Other Product Type(s):** EQUITIES

**Alleged Damages:** \$100,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/12/2002

**Complaint Pending?** No

**Status:** Settled



<b>Status Date:</b>	08/08/2002
<b>Settlement Amount:</b>	\$27,000.00
<b>Individual Contribution Amount:</b>	\$10,000.00
<b>Broker Statement</b>	WITHOUT ADMITTING OR DENYING LIABILITY OF ANY NATURE, THE FIRM DECIDED TO SETTLE THIS MATTER TO AVOID THE COST, UNCERTAINTY AND DELAY OF POTENTIAL ARBITRATION.



## End of Report

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