



IAPD Report

CESAR AUGUSTO ANGARITA ASCANIO

CRD# 4460151

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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

CESAR AUGUSTO ANGARITA ASCANIO (CRD# 4460151)

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 **09/25/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	POPULAR SECURITIES, LLC	CRD# 8096	11/29/2001
IA	POPULAR SECURITIES, LLC	CRD# 8096	03/23/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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
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No information reported.

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	8



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

Employment 1 of 1

Firm Name: **POPULAR SECURITIES, LLC**
Main Address: POPULAR CENTER, 208 PONCE DE LEON
SUITE 1200
HATO REY, PR 00918
Firm ID#: 8096

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	11/29/2001
B	FINRA	General Securities Representative	Approved	10/23/2003
B	Florida	Agent	Approved	06/06/2008
B	Maryland	Agent	Approved	09/28/2023
B	Mississippi	Agent	Approved	03/14/2023
B	Puerto Rico	Agent	Approved	11/29/2001
IA	Puerto Rico	Investment Adviser Representative	Approved	03/23/2020
B	South Carolina	Agent	Approved	05/03/2023

Branch Office Locations

POPULAR SECURITIES, LLC
208 Ponce de Leon Ave
POPULAR CENTER Suite 1200
SAN JUAN, PR 00918



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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	10/22/2003
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/2001

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/21/2007



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:

No information reported.

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
01/2004 - Present	POPULAR SECURITIES, INC.	FINANCIAL CONSULTANT	Y	SAN JUAN, PR, 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.

No information reported.



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	8

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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Popular Securities, LLC
Allegations:	Claimant alleges that Financial Consultant investment recommendations to purchase and to hold P.R. securities were unsuitable in light of the clients' risk tolerance. Claimants also allege that recommendations made by the Financial Consultant were particularly egregious in light of Puerto Rico's well known deteriorating financial condition.
Product Type:	Debt-Government Other: Closed end funds
Alleged Damages:	\$200,000.00
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 #:	19-02947
Filing date of arbitration/CFTC reparation or civil litigation:	09/30/2019

Customer Complaint Information



Date Complaint Received:	10/07/2019
Complaint Pending?	No
Status:	Settled
Status Date:	10/27/2021
Settlement Amount:	\$50,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Claimant alleged that Financial Consultant investment recommendations to purchase P.R. securities were unsuitable in light of the clients' risk profile. The Financial Consultant denies these allegations and intends to defend them vigorously. In addition, The Financial Consultant started working with Claimant from July 2014 onward, thus most securities involved as part of this claim were purchased while Claimant was with another Financial Consultant. The Financial Consultant has never misrepresented or omitted any facts regarding investment recommendations.

Disclosure 2 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	POPULAR SECURITIES LLC
Allegations:	Claimant alleges that Financial Consultant investment recommendations to purchase and to hold P.R. securities were unsuitable in light of the clients' risk tolerance. Claimants also allege that recommendations made by the Financial Consultant were particularly egregious in light of Puerto Rico's well known deteriorating financial condition.
Product Type:	Debt-Municipal
Alleged Damages:	\$400,000.00
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 #:	19-00927
Filing date of arbitration/CFTC reparation or civil litigation:	04/03/2019

Customer Complaint Information

Date Complaint Received:	04/08/2019
Complaint Pending?	No
Status:	Settled
Status Date:	12/09/2020
Settlement Amount:	\$90,000.00



Individual Contribution Amount: \$0.00

Broker Statement THE FINANCIAL CONSULTANT DENIES THESE ALLEGATIONS AND INTENDS TO DEFEND THEM VIGOROUSLY.

Disclosure 3 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Popular Securities

Allegations: Claimant alleged that Financial Consultant's investment recommendations to hold PR securities were unsuitable in light of the client's risk tolerance. Claimant also alleged that recommendations made by the Financial Consultant were outrageous in light of Puerto Rico's well known deterioration financial condition.

Product Type: Debt-Government
Other: Closed End Funds

Alleged Damages: \$100,000.00

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 #: 18-02114

Filing date of arbitration/CFTC reparation or civil litigation: 06/06/2018

Customer Complaint Information

Date Complaint Received: 06/11/2018

Complaint Pending? No

Status: Settled

Status Date: 02/25/2021

Settlement Amount: \$17,000.00

Individual Contribution Amount: \$0.00

Broker Statement The Financial Consultant denies these allegations and intends to defend them vigorously. In addition, Financial Consultant inherited claimant's account in July, 2014. Since then, neither purchase/sell nor hold recommendations have been made.

Disclosure 4 of 8

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

POPULAR SECURITIES, LLC

Allegations:

CLIENT ALLEGES THAT FINANCIAL CONSULTANT MADE INVESTMENT RECOMMENDATIONS TO PURCHASE AND TO HOLD P.R. CLOSE END FUNDS RESULTING IN AN OVER CONCENTRATED AND HIGH RISK PORTFOLIO, WHICH WERE UNSUITABLE POSITIONS IN LIGHT OF THE CLIENT'S RISK TOLERANCE AND WISH TO PRESERVE HIS CAPITAL. CLAIMANTS ALSO ALLEGE THAT FINANCIAL CONSULTANT MADE FALSE AND MISLEADING REPRESENTATIONS REGARDING THE PRODUCTS RISKS.

Product Type:

Equity Listed (Common & Preferred Stock)
Other: CLOSED END FUNDS

Alleged Damages:

\$100,000.00

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 #:

14-03473

Filing date of arbitration/CFTC reparation or civil litigation:

11/14/2014

Customer Complaint Information

Date Complaint Received:

11/24/2014

Complaint Pending?

No

Status:

Settled

Status Date:

02/15/2016

Settlement Amount:

\$37,500.00

Individual Contribution Amount:

\$0.00

Disclosure 5 of 8

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

POPULAR SECURITIES, INC.

Allegations:

CUSTOMERS ALLEGE THAT THE LOSSES ON THEIR BROKERAGE ACCOUNT, WERE THE RESULT OF UNSUITABLE RECOMMENDATIONS IN LIGHT OF THE CLAIMANT'S RISK TOLERANCE AND FINANCIAL PROFILE THAT RESULTED IN THE OVERCONCENTRATION OF THE CLAIMANTS PORTFOLIO.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$305,000.00

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 #: 11-00001

Filing date of arbitration/CFTC reparation or civil litigation: 12/23/2010

Customer Complaint Information

Date Complaint Received: 01/18/2011

Complaint Pending? No

Status: Settled

Status Date: 10/24/2012

Settlement Amount: \$38,875.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 8

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: POPULAR SECURITIES, INC.

Allegations: UNSUITABILITY; BREACH OF FIDUCIARY DUTY; GROSS NEGLIGENCE; MISREPRESENTATIONS; AND OMISSION OF FACTS

Product Type: Debt-Corporate

Alleged Damages: \$460,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-03760](#)

Date Notice/Process Served: 08/19/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 03/09/2012

Disposition Detail: ANGARITA ASCANIO WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. ANGARITA ASCANIO'S MEMBER FIRM WAS FOUND LIABLE ON THE CLAIM FOR UNSUITABLE INVESTMENT AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE SUM OF \$120,000, PRE-JUDGMENT INTEREST SPECIFICALLY DENIED.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	POPULAR SECURITIES, INC.
Allegations:	CUSTOMER CLAIM FOR ALLEGED MISREPRESENTATIONS IN CONNECTION WITH CORPORATE DEBT INVESTMENT.
Product Type:	Debt-Corporate
Alleged Damages:	\$460,000.00
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 #:	10-03760
Filing date of arbitration/CFTC reparation or civil litigation:	08/19/2010

Customer Complaint Information

Date Complaint Received:	09/13/2010
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	03/09/2012
Settlement Amount:	\$120,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	ANGARITA ASCANIO WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. ANGARITA ASCANIO'S MEMBER FIRM WAS FOUND LIABLE ON THE CLAIM FOR UNSUITABLE INVESTMENT AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE SUM OF \$120,000, PRE-JUDGMENT INTEREST SPECIFICALLY DENIED.
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Disclosure 7 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	POPULAR SECURITIES, INC.
Allegations:	CLIENT CLAIMS THAT BACK ON 2004, THE FINANCIAL CONSULTANT RECOMMENDED THAT THEY PURCHASE PREFERRED STOCKS OF WESTERNBANK. ACCORDING TO THE CLIENT, THE FINANCIAL CONSULTANT INFORMED THEM THAT THE INVESTMENT WAS SAFE, THAT THE PRINCIPAL WAS PROTECTED AND THAT THE DIVIDEND PAYMENT FROM THIS INVESTMENT WOULD COMPLEMENT THEIR MONTHLY INCOME.



THE CLIENT CLAIMS THAT IN FEBRUARY OF 2009, HE RECEIVED A TELEPHONE CALL FROM THE FINANCIAL CONSULTANT INFORMING HIM THAT WESTERNBANK HAD ANNOUNCED THE SUSPENSION OF THE DIVIDEND PAYMENT; HE CLAIMS THAT THE FINANCIAL CONSULTANT RECOMMENDED THAT THEY HOLD THE STOCKS FOR ONE YEAR SINCE THERE WAS A POSSIBILITY THAT THE DIVIDEND PAYMENTS COULD BE REESTABLISHED. ACCORDING TO THE CLIENT, IN MARCH OF 2010, HE CONTACTED THE FINANCIAL CONSULTANT REGARDING THIS SITUATION AND HE INFORMED HIM THAT A POSSIBLE SOLUTION WAS THE EXCHANGE OF THE PREFERRED STOCKS FOR COMMON STOCKS. CLIENT NOW CLAIMS THAT THE ENTIRE PRINCIPAL OF \$120,000 BE RETURNED IN FULL.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$120,000.00

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: 05/12/2010

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/24/2010

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 8 of 8

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** POPULAR SECURITIES

Allegations: CLIENT ALLEGES THAT HE HAD \$55,000 TO INVEST. HE CLAIMS THAT HE WANTED TO RECEIVE A MODEST INCOME SO HE CONTACTED HIS BROKER ON APRIL 21, 2008, WHO RECOMMENDED AN INVESTMENT IN THE PREFERRED STOCKS OF BPOP AND FIRST BANK. THE CLIENT ALLEGES THAT HE INFORMED THE BROKER THAT HE NEEDED ASSURANCE THAT NO RISK WOULD BE FORTHCOMING. AFTER NOTICING A DECLINE IN VALUE IN HIS ACCOUNT, HE CONTACTED HIS BROKER WHO INFORMED HIM THAT THIS WAS COMMON VARIANCES IN THE MARKET. THE CLIENT CLAIMS THAT IT WAS NOT UNTIL JULY OF 2009, WHEN HE RECEIVED A BANK OFFER TO TENDER HIS PREFERRED STOCKS THAT HIS BROKER ADMITTED THAT THE INVESTMENT HAD UNDERGONE LOSSES AND THE DIVIDENDS PAYMENTS WERE SUSPENDED. OUR INITIAL INVESTIGATION SHOWED THAT ALL DISCLOSURES REGARDING THE RISK ASSOCIATED WITH INVESTMENTS WERE ADEQUATELY PROVIDED TO THE CLIENT. THE CLIENT SIGNED DOCUMENTS WHERE HE ACKNOWLEDGED THAT HIS INVESTMENTS HAD NO GUARANTEE AND HE COULD LOOSE HIS PRINCIPAL INVESTED.

Product Type: Equity Listed (Common & Preferred Stock)



Alleged Damages: \$1,360.00

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: 07/24/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/14/2011

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THE BROKER STATED THAT WHEN THE CLIENT INFORMED HIM THAT HE WANTED TO INVEST THE \$55,000 HE SPECIFICALLY REQUESTED HIGH INCOME. GNMA AND OTHER LOCAL BONDS WERE OFFERED TO THE CLIENT BUT THEY WERE REJECTED BECAUSE OF THE LOW RETURN AND THE CLIENT CHOSE THE PREFERRED STOCKS SINCE THEY PAID ABOVE 6% INTEREST. THE BROKER INFORMED THE CLIENT THAT THE INVESTMENT COULD BE "CALLED" BY THE ISSUER AND HE WOULD RECEIVE HIS INITIAL INVESTMENT AND IF "CALLED" IT WILL BE AT PRICE OF \$25.00 PER STOCK STARTING IN 2010. HE ALSO INFORMED THE CLIENT THAT HE HAD THE ALTERNATIVE OF SELLING HIS INVESTMENT AT THE MARKET PRICE AT ANY TIME AFTER PURCHASE. WITH REGARDS TO PRICE FLUCTUATIONS THE CLIENT WAS INFORMED THAT THIS WOULD NOT AFFECT THE DIVIDEND PAYMENTS. WHEN THE BANK SUSPENDED THE PAYMENTS THE PRICE OF THE PREFERRED STOCKS FELL AND IT WAS NOT BENEFICIAL FOR THE CLIENT TO SELL HIS INVESTMENT AT THAT TIME. HE ACCEPTED THE OFFER OF THE BANK TO EXCHANGE HIS INVESTMENT FOR COMMON STOCKS.

THE FIRM CLOSED COMPLAINT.



End of Report

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