IAPD Report

DOUGLAS P CLARK

CRD# 47468

Section Title	Page(s)

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

DOUGLAS P CLARK (CRD# 47468)

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 **09/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/27/2009
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	04/02/2014

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **22** 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	MORGAN STANLEY & CO. INCORPORATED	8209	JENKINTOWN, PA	04/02/2007 - 03/02/2009
IA	MORGAN STANLEY & CO. INCORPORATED	8209	JENKINTOWN, PA	04/02/2007 - 03/02/2009
IA	MORGAN STANLEY	7556	JENKINTOWN, PA	08/08/2005 - 04/02/2007

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

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/27/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	09/26/2025
B	MEMX LLC	General Securities Representative	Approved	09/26/2025
B	NYSE American LLC	General Securities Representative	Approved	02/27/2009
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/26/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/26/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/27/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	02/27/2009
B	New York Stock Exchange	General Securities Representative	Approved	02/27/2009
B	Alaska	Agent	Approved	03/05/2009
B	California	Agent	Approved	03/03/2009
B	Colorado	Agent	Approved	02/27/2009
B	Connecticut	Agent	Approved	07/19/2018

Qualifications

	Regulator	Registration	Status	Date
B	Delaware	Agent	Approved	02/27/2009
B	Florida	Agent	Approved	02/27/2009
B	Georgia	Agent	Approved	02/27/2009
B	Illinois	Agent	Approved	02/27/2009
B	Maryland	Agent	Approved	02/27/2009
B	Massachusetts	Agent	Approved	03/18/2009
B	Minnesota	Agent	Approved	02/27/2009
B	New Hampshire	Agent	Approved	03/18/2013
B	New Jersey	Agent	Approved	02/27/2009
B	New York	Agent	Approved	02/27/2009
B	North Carolina	Agent	Approved	02/27/2009
B	Ohio	Agent	Approved	11/02/2018
B	Pennsylvania	Agent	Approved	02/27/2009
IA	Pennsylvania	Investment Adviser Representative	Approved	04/02/2014
B	Rhode Island	Agent	Approved	04/30/2021
B	South Carolina	Agent	Approved	03/11/2009
B	Texas	Agent	Approved	07/15/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	08/23/2021

Qualifications

	Regulator	Registration	Status	Date
B	Virginia	Agent	Approved	02/27/2009
B	Washington	Agent	Approved	03/02/2009

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
2003 S. Easton Road
Suite 100
Doylestown, PA 18901

RAYMOND JAMES & ASSOCIATES, INC.
Estero, 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	AMEX Put and Call Exam (PC)	PC	09/08/1977
B	Registered Representative Examination (S1)	Series 1	05/17/1972

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/26/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/24/1984

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	04/02/2007 - 03/02/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	JENKINTOWN, PA
IA	04/02/2007 - 03/02/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	JENKINTOWN, PA
IA	08/08/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	JENKINTOWN, PA
B	10/04/1995 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	JENKINTOWN, PA
B	03/30/1984 - 10/03/1995	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	09/26/1978 - 05/22/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	05/18/1972 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
06/2021 - Present	Raymond James & Associates, Inc.	Registered Representative	Y	Estero, FL, United States
02/2009 - Present	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	JENKINTOWN, PA, 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.

(1)Name of Business: Artistic Screen Designs INC Address: 630 Davisville Rd, Willow Grove, PA, 19090, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 03/20/2020 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: My wife passed and I inherited 50% of her business. I intend to buy out her brother/partner and sell the whole business to my son.my son is representing me at the business.for now. complication right now is Virus and shutdown..

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	6

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	PENNSYLVANIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/25/1984
Docket/Case Number:	8409-1
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL-BACHE
Product Type:	Other
Other Product Type(s):	SECURITIES
Allegations:	ADMINISTRATIVE PROCEEDING DOCKET NO.8409-1, DATED 9/27/84 AND RECEIVED FROM PENNSYLVANIA ON 10/1/84 DISCLOSES THAT DOUGLAS P. CLARK VIOLATED A PROVISION OF THE PENNSYLVANIA SECURITIES ACT OF 1972 IN CONNECTION WITH THE OFFER AND SALE OF SECURITIES IN PENNSYLVANIA. ON 4/11/84 CLARK MADE APPLICATION FOR A MEMBER FIRM AND BEGAN EFFECTING SECURITIES TRANSACTIONS IN THE ACCOUNTS OF PENNSYLVANIA RESIDENTS ON 4/12/84. ON 6/7/84, THE NEW YORK OFFICE OF THE FIRM DETERMINED THAT CLARK'S PENNSYLVANIA REGISTRATION WAS NOT EFFECTIVE AND ORDERED HIM TO STOP TRADING IN PENNSYLVANIA ON 6/19/84. DURING THAT PERIOD, CLARK TRANSACTED BUSINESS IN THE ACCOUNTS OF 26 PENNSYLVANIA RESIDENTS. THEREFORE, HE VIOLATED

	SECTION 301(A) OF THE 1972 ACT BY TRANSACTING BUSINESS WITHOUT BEING REGISTERED.
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/25/1984
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	COSTS
Sanction Details:	ON 9/25/84, IT WAS ORDERED THAT HE BE SUSPENDED FOR 10 DAYS FROM THE DATE OF THE ORDER; THAT HE COMPLY WITH ALL PROVISIONS OF THE 1972 ACT IN THE FUTURE; THAT WITHIN 30 DAYS HE PAY THE COMMISSION OF PENNSYLVANIA $300.00 FOR COSTS OF INVESTIGATION; AND, THAT IF HE FAILED TO COMPLY WITH ORDER,THE SUSPENSION WOULD BE REINSTITUTED UNTIL COMPLIANCE IS FULFILLED.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF PENN
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/25/1984
Docket/Case Number:	8409-1
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL-BACHE
Product Type:	
Other Product Type(s):	
Allegations:	TRANSACTED BUSINESS WITHOUT REGISTRATION
Current Status:	Final
Resolution:	Decision
Resolution Date:	09/25/1984
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	10 DAYS SUSPENSION & $300 FOR COST OF INVESTIGATION
Broker Statement	Not Provided

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:	Firm
Employing firm when activities occurred which led to the complaint:	PSI
Allegations:	CLIENTS ALLEGES FRAUD AND MISREPRESENTATION IN CONNECTION WITH THE 1987 THROUGH 1989 PURCHASES OF $67,000.00 PBENERGY INCOME AND PBENERGY GROWTH LIMITED PARTNERSHIPS. ALLEGED DAMAGES CLAIMED ARE $67,000.00.
Product Type:	
Alleged Damages:	$67,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.
Date Notice/Process Served:	05/04/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/25/1994
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Firm Statement	TOAVOID COST OF LITIGATION PSI SETTLED THIS MATTER FOR $20,000.00. THE ALLEGATIONS WERE PRODUCT RELATED. NO ALLEGATIONS WERE MADE AGAINST THE FINANCIAL ADVISOR. Not Provided

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	PSI
Allegations:	CLIENTS ALLEGE FRAUD AND MISREPRESENTATION IN CONNECTION WITH THE 1987 THROUGH 1989 PURCHASE OF $67,000 PB ENERGY INCOME AND PB ENERGY GROWTH. ALLEGED DAMAGES CLAIMED ARE $67,000.00.
Product Type:	
Alleged Damages:	$67,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.
Date Notice/Process Served:	05/04/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/25/1994
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Not Provided Not Provided

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	UNAUTHORIZED TRADING $12,000
Product Type:	
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	06/28/1982

Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$50,000.00
Individual Contribution Amount:	
Broker Statement	PAY 14,000 CASH & 36 M FOR COMMISSION DOLLARS

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	UNAUTHORIZED TRADING 16,000
Product Type:	
Alleged Damages:	$16,000.00

Customer Complaint Information

Date Complaint Received:	06/28/1982
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$50,000.00
Individual Contribution Amount:	
Broker Statement	14,000 CASH, 36M COMMISSION DOLLARS Not Provided

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	UNAUTHORIZED TRADING $12,000
Product Type:	
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	06/28/1982
Complaint Pending?	No
Status:	Settled
Status Date:	

Settlement Amount: $40,000.00

Individual Contribution Amount: $22,000.00

Broker Statement $4,000 CASH $36,000 COMMISSION
Not Provided

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANT ALLEGED THAT CERTAIN LIMITED PARTNERSHIPS WERE UNSUITABLE FOR HIS ACCOUNT AND THAT ACCOUNT
DID NOT PERFORM AS WELL AS CLIENT EXPECTED. CLIENT SOUGHT $500,000 IN DAMAGES.

Product Type:

Alleged Damages: $500,000.00

Customer Complaint Information

Date Complaint Received: 06/14/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: Unknown Conversion

Date Notice/Process Served:

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/01/1992

Monetary Compensation Amount: $70,000.00

Individual Contribution Amount: $0.00

Broker Statement CASE WAS SETTLED WITHOUT ADMITTING LIABILITY FOR $70,000. THE BROKER WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.
Not Provided

Disclosure 6 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	06/28/1982
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$34,000.00
Firm Statement	VOLUNTARY TERMINATION ON 3/23/84. CLARK WAS THE SUBJECT OF SEVERAL CUSTOMER COMPLAINTS. SETTLEMENTS WERE EFFECTED WITH EACH CUSTOMER IN THE AGGREGATE SUM OF $50,000 ($10,000; $12,000; $16,000). CLARK HAS AGREED TO REIMBURSE THE FIRM FOR FUNDS EXPENDED IN CONCLUDING THE SETTLEMENTS. CONTACT MARIE MONTAGNINO AT (212) 701-9438. ON MAY 3, 1982, CLARK VOLUNTARILY ADVISED HIS BRANCH MANAGER THAT HE HAD EXERCISED DISCRETIONARY TRADES IN THE ACCOUNTS OF FOUR CUSTOMERS WITHOUT HAVING OBTAINED WRITTEN AUTHORIZATION. EACH TRANSACTION INVOLVED A SALE OF PUTS IN DATAPOINT. AN AVERAGE LOSS OF $20,000 WAS SUSTAINED IN EACH ACCOUNT. THREE OF THE ACCOUNTS WERE DIRECTED BY, AND UNDER THE DEFACTO CONTROL OF, A PERSON WHO WAS THE ACCOUNTANT FOR EACH CUSTOMER (AS WELL AS THE ACCOUNTANT FOR CLARK). CLARK ASSUMED THAT THE ACCOUNTANT WAS ACTING UNDER DULY EXECUTED POWERS OF ATTORNEY. THEREAFTER, THE ACCOUNTANT REACHED AN UNDERSTANDING WITH CLARK WHEREBY CLARK WAS TO EXERCISE DISCRETION OVER THE ACCOUNTS. CONFIRMATIONS AND STATEMENTS WERE SENT TO EACH CUSTOMER. SETTLEMENTS WERE EFFECTED WITH EACH CUSTOMER IN THE AGGREGATE SUM OF $50,000 ($10,000, $12,000, $12,000, AND $16,000). CLARK HAS AGREED TO REIMBURSE MERRILL LYNCH FOR FUNDS EXPENDED IN CONCLUDING THE SETTLEMENTS. CLARK HAS REPAID APPROXIMATELY $34,000; HE STILL OWES MERRILL LYNCH APPROXIMATELY $16,000.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	UNAUTHORIZED TRADING $10,000
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	06/28/1982
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$34,000.00
Broker Statement	$14,000 CASH $36M SOMMISSION Not Provided

End of Report

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