



IAPD Report

ROBERT LEE CLARK

CRD# 47833

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

ROBERT LEE CLARK (CRD# 47833)

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 **01/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SEACREST WEALTH MANAGEMENT, LLC	CRD# 147092	11/04/2015

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	01/03/2003 - 10/16/2015
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	08/22/2001 - 01/03/2003
B	J.P. MORGAN SECURITIES INC.	18718	NEW YORK, NY	02/01/2000 - 08/22/2001

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	2




Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SEACREST WEALTH MANAGEMENT, LLC**
Main Address: 3000 WESTCHESTER AVENUE
SUITE 206
PURCHASE, NY 10577
Firm ID#: 147092

Regulator	Registration	Status	Date
 Maine	Investment Adviser Representative	Approved	11/04/2015

Branch Office Locations

SEACREST WEALTH MANAGEMENT, LLC
Cumberland Foreside, ME



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	09/13/1995

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/16/2015
AMEX Put and Call Exam (PC)	PC	08/15/1977
Registered Representative Examination (S1)	Series 1	12/16/1971

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	06/15/1990

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	01/03/2003 - 10/16/2015	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
B	08/22/2001 - 01/03/2003	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	02/01/2000 - 08/22/2001	J.P. MORGAN SECURITIES INC.	CRD# 18718	NEW YORK, NY
B	09/24/1998 - 02/01/2000	HAMBRECHT & QUIST LLC	CRD# 940	SAN FRANCISCO, CA
B	04/21/1995 - 09/10/1998	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	05/11/1992 - 05/16/1995	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/04/1988 - 06/01/1992	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/19/1978 - 04/19/1988	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	01/01/1972 - 05/19/1978	KIDDER, PEABODY & CO., INCORPORATED	CRD# 488	

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
10/2015 - Present	SEACREST WEALTH MANAGEMENT, LLC	Wealth Advisor	Y	PURCHASE, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

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
Regulatory Event	1
Customer Dispute	2

Regulatory Event

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

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/23/2004

Docket/Case Number: HPD# 05-184

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: **07/23/2004** CHARGES ISSUED BY NYSE DIVISION OF ENFORCEMENT AND PENDING CHARGES: CHARGE I ROBERT LEE CLARK, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, VIOLATED EXCHANGE RULE 408(A) IN THAT ON ONE OR MORE OCCASIONS HE ACCEPTED ORDERS FOR AN ACCOUNT FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE II ROBERT LEE CLARK, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, VIOLATED EXCHANGE RULE 408(A) IN THAT HE EXERCISED DISCRETIONARY POWER IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF



THE CUSTOMER, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE III ROBERT LEE CLARK, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT, ON ONE OR MORE OCCASIONS, HE EFFECTED AN UNAUTHORIZED TRANSACTION IN A CUSTOMER'S ACCOUNT, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE IV ROBERT LEE CLARK, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE FAILED TO INFORM HIS MEMBER FIRM EMPLOYER OF A CUSTOMER COMPLAINT, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A). CHARGE V ROBERT LEE CLARK, BY REASON OF THE FACTS SET FORTH IN THE STATEMENT OF FACTS AND EXPLANATION, ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE CAUSED A VIOLATION OF EXCHANGE RULE 342.16 BY SENDING CORRESPONDENCE TO A CUSTOMER WITHOUT SUPERVISORY REVIEW, AND HE IS, THEREFORE, SUBJECT TO DISCIPLINE PURSUANT TO EXCHANGE RULE 476(A).

Current Status: Final
Resolution: Decision
Resolution Date: 04/04/2006
Sanctions Ordered: Censure
 Monetary/Fine \$10,000.00
 Suspension

Other Sanctions Ordered:

Sanction Details: **3/1/06**DECISION 05-184, DATED FEBRUARY 14, 2006, ISSUED BY THE NYSE HEARING PANEL DECISION:CLARK VIOLATED NYSE RULE 408(A) IN THAT HE ACCEPTED ORDERS FOR AN ACCOUNT FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER AND EXERCISED DISCRETIONARY POWER IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER(S). CLARK ALSO VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY EFFECTING ONE OR MORE UNAUTHORIZED TRADES IN CUSTOMERS' ACCOUNT AFTER THE CUSTOMERS REVOKED CLARK'S DISCRETIONARY POWER. CLARK FURTHER VIOLATED NYSE RULE 476(A)(6) IN THAT, WHEN ONE OF THE CUSTOMERS COMPLAINED TO CLARK ABOUT THE UNAUTHORIZED TRADES, CLARK FAILED TO INFORM HIS MEMBER FIRM EMPLOYER ABOUT THE COMPLAINT AND SENT THE CUSTOMER COMMUNICATIONS RELATING TO THE COMPLAINT WITHOUT SUPERVISORY REVIEW BY HIS MEMBER FIRM EMPLOYER, THEREBY CAUSING A VIOLATION OF NYSE RULE 342.16.STIPULATED SANCTION:A CENSURE, A SIX WEEK BAR FROM NYSE MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY NYSE MEMBER OR MEMBER ORGANIZATION, AND A \$10,000 FINE.

Regulator Statement **4/4/06**DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY :PEGGY GERMINO 212-656-8450



Reporting Source: Firm

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought: Censure

Other Sanction(s) Sought: SIX WEEK SUSPENSION. \$10,000.00 FINE

Date Initiated: 02/14/2006

Docket/Case Number: 05-184

Employing firm when activity occurred which led to the regulatory action: JP MORGAN SECURITIES INC.

Product Type: Equity - OTC

Other Product Type(s):

Allegations: THAT REGISTERED REPRESENTATIVE ACCEPTED ORDERS FOR AN ACCOUNT FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT WRITTEN AUTHORIZATION OF CUSTOMER AND EXERCISED DISCRETIONARY POWER WITHOUT WRITTEN AUTHORIZATION, FAILED TO NOTIFY FIRM OF COMPLAINT, FAILURE TO FOLLOW CUSTOMER COMMUNICATIONS PROCEDURE.

Current Status: Final

Resolution: Consent

Resolution Date: 04/04/2006

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: CENSURE: SIX WEEK SUSPENSION IN ANY CAPACITY, EFFECTIVE 4/4/2006;
FINE OF \$10,000 PAYABLE BY INDIVIDUAL TO NYSE.

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 07/23/2004

Docket/Case Number: NYSE HEARING PANEL DECSION NO. 05-184

Employing firm when activity occurred which led to the regulatory action: HAMBRECHT & QUIST

Product Type: Money Market Fund(s)

Other Product Type(s):

Allegations: THE ALLEGATIONS RELATING TO THIS REGULATORY ACTION INCLUDED, IN



ESSENCE: (1) THE ACCEPTANCE AND IMPLEMENTATION OF ORDERS FROM SOMEONE OTHER THAN THE ACTUAL ACCOUNT HOLDER;(2) THE EXERCISE OF UNAUTHORIZED DISCRETIONARY POWER; (3)THE FAILURE TO NOTIFY THE APPROPRIATE MEMBER FIRM OF THE RECEIPT OF A CUSTOMER COMPLAINT; (4) THE TRANSMITTAL OF COMMUNICATIONS TO A CLIENT PRIOR TO SUPERVISORY REVIEW OF THE COMMUNICATIONS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

03/01/2006

Sanctions Ordered:

Monetary/Fine \$10,000.00
Revocation/Expulsion/Denial
Suspension

Other Sanctions Ordered:

Sanction Details:

****3/1/06****DECISION 05-184, DATED FEBRUARY 14, 2006, ISSUED BY THE NYSE HEARING PANEL DECISION: CLARK VIOLATED NYSE RULE 408(A) IN THAT HE ACCEPTED ORDERS FOR AN ACCOUNT FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER AND EXERCISED DISCRETIONARY POWER IN THE ACCOUNTS OF ONE OR MORE CUSTOMERS WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER(S). CLARK ALSO VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY EFFECTING ONE OR MORE UNAUTHORIZED TRADES IN CUSTOMERS' ACCOUNT AFTER THE CUSTOMERS REVOKED CLARK'S DISCRETIONARY POWER. CLARK FURTHER VIOLATED NYSE RULE 476(A)(6) IN THAT, WHEN ONE OF THE CUSTOMERS COMPLAINED TO CLARK ABOUT THE UNAUTHORIZED TRADES, CLARK FAILED TO INFORM HIS MEMBER FIRM EMPLOYER ABOUT THE COMPLAINT AND SENT THE CUSTOMER COMMUNICATIONS RELATING TO THE COMPLAINT WITHOUT SUPERVISORY REVIEW BY HIS MEMBER FIRM EMPLOYER, THEREBY CAUSING A VIOLATION OF NYSE RULE 342.16. STIPULATED SANCTION: A CENSURE, A SIX WEEK BAR FROM NYSE MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY NYSE MEMBER OR MEMBER ORGANIZATION, AND A \$10,000 FINE.

Broker Statement

****3/1/06**** UNLESS REVIEW BY THE NYSE BOARD OF DIRECTORS OR THE NYSE BOARD OF EXECUTIVES IS REQUESTED, THIS DECISION WILL BEOME FINAL 25 DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT. CONTACT: PEGGY GERMINO 212-656-8450.



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 2

Reporting Source: Firm

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

Allegations: CLIENT ALLEGED THAT TWO TRANSACTIONS WERE MADE WITHOUT MY PRIOR CONSENT AND VIOLATED OUR AGREEMENT.

Product Type: Equity - OTC

Alleged Damages: \$37,587.90

Customer Complaint Information

Date Complaint Received: 03/23/2001

Complaint Pending? No

Status: Settled

Status Date: 04/12/2001

Settlement Amount: \$30,725.00

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE SECURITIES INC

Allegations: CLEINT ALLEGED THAT TWO TRANSACTIONS WERE MADE WITHOUT MY PRIOR CONSENT AND VIOLATED OUR AGREEMENT

Product Type: Equity - OTC

Alleged Damages: \$37,587.90

Customer Complaint Information

Date Complaint Received: 03/23/2001

Complaint Pending? No

Status: Settled

Status Date: 04/12/2001

Settlement Amount: \$30,725.00

Individual Contribution Amount: \$0.00



Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADING. THE MATTER IS SCHEDULED AT THE PACIFIC STOCK EXCHANGE FOR ARBITRATION. THE CASE NUMBER IS #01-S002.

Product Type: Equity - OTC

Alleged Damages: \$721,104.00

Customer Complaint Information

Date Complaint Received: 07/13/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/06/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: PACIFIC STOCK EXCHANGE - CASE NUMBER 01-S002

Date Notice/Process Served: 02/01/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/06/2001

Monetary Compensation Amount: \$585,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADING. THE MATTER IS SCHEDULED AT THE PACIFIC STOCK EXCHANGE FOR ARBITRATION. THE CASE NUMBER IS #01-S002.

Product Type: Equity - OTC

Alleged Damages: \$721,104.00

Customer Complaint Information

Date Complaint Received: 07/13/2000

Complaint Pending? No



Status:	Arbitration/Reparation Denied
Status Date:	11/06/2001
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	PACIFIC STOCK EXCHANGE, CASE# 01-S002
Date Notice/Process Served:	02/01/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/06/2001
Monetary Compensation Amount:	\$585,000.00
Individual Contribution Amount:	\$0.00



End of Report

This page is intentionally left blank.