



IAPD Report

RUSSELL JUDE STOEVER

CRD# 501033

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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

RUSSELL JUDE STOEVER (CRD# 501033)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CREWS & ASSOCIATES, INC.	CRD# 8052	01/24/2025
IA	CREWS & ASSOCIATES, INC.	CRD# 8052	01/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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
IA	STOEVER GLASS WEALTH MANAGEMENT, INC.	173091	new york, NY	04/02/2018 - 01/24/2025
B	STOEVER, GLASS & COMPANY INC.	7031	NEW YORK, NY	02/09/1976 - 01/24/2025

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

Employment 1 of 1

Firm Name: **CREWS & ASSOCIATES, INC.**
Main Address: 4007 N RODNEY PARHAM ROAD
LITTLE ROCK, AR 72212
Firm ID#: 8052

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/24/2025
B FINRA	General Securities Representative	Approved	01/24/2025
B FINRA	Municipal Securities Principal	Approved	01/24/2025
B FINRA	Municipal Securities Representative	Approved	01/24/2025
B Alabama	Agent	Approved	01/24/2025
B Arizona	Agent	Approved	03/13/2025
B Arkansas	Agent	Approved	01/24/2025
IA Arkansas	Investment Adviser Representative	Approved	03/28/2025
B California	Agent	Approved	02/27/2025
B Colorado	Agent	Approved	03/21/2025
B Connecticut	Agent	Approved	01/24/2025
B Delaware	Agent	Approved	03/03/2025
B District of Columbia	Agent	Approved	03/21/2025



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	03/03/2025
B Georgia	Agent	Approved	03/18/2025
B Hawaii	Agent	Approved	03/10/2025
B Illinois	Agent	Approved	03/06/2025
B Iowa	Agent	Approved	01/31/2025
B Kansas	Agent	Approved	03/03/2025
B Kentucky	Agent	Approved	01/24/2025
B Louisiana	Agent	Approved	02/28/2025
B Maine	Agent	Approved	01/24/2025
B Maryland	Agent	Approved	01/24/2025
B Massachusetts	Agent	Approved	01/27/2025
B Mississippi	Agent	Approved	01/24/2025
B Missouri	Agent	Approved	01/24/2025
B Nevada	Agent	Approved	02/28/2025
B New Hampshire	Agent	Approved	01/24/2025
B New Jersey	Agent	Approved	02/28/2025
IA New Jersey	Investment Adviser Representative	Approved	03/11/2025
B New Mexico	Agent	Approved	02/28/2025
B New York	Agent	Approved	01/24/2025



Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	01/24/2025
B North Carolina	Agent	Approved	03/03/2025
B Ohio	Agent	Approved	01/24/2025
B Oregon	Agent	Approved	03/18/2025
B Pennsylvania	Agent	Approved	01/24/2025
B Rhode Island	Agent	Approved	01/28/2025
B Texas	Agent	Approved	01/24/2025
B Utah	Agent	Approved	01/24/2025
B Virginia	Agent	Approved	03/04/2025
B Washington	Agent	Approved	01/24/2025
B Wisconsin	Agent	Approved	01/24/2025
IA Wisconsin	Investment Adviser Representative	Approved	03/12/2025
B Wyoming	Agent	Approved	01/24/2025

Branch Office Locations

CREWS & ASSOCIATES, INC.
 369 Lexington Avenue
 21st Floor
 New York, NY 10016

CREWS & ASSOCIATES, INC.
 ROCKLEIGH, NJ




Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 General Securities Principal Examination (S24)	Series 24	02/18/1985

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/18/1984

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/08/2018
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/12/1979

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	04/02/2018 - 01/24/2025	STOEVER GLASS WEALTH MANAGEMENT, INC.	CRD# 173091	new york, NY
B	02/09/1976 - 01/24/2025	STOEVER, GLASS & COMPANY INC.	CRD# 7031	NEW YORK, 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
01/2025 - Present	Crews & Associates, Inc.	Sr. VP - Sales	Y	Little Rock, AR, United States
03/2018 - 01/2025	Stoever Glass Wealth Management	IAR	Y	New York, NY, United States
02/1971 - 01/2025	STOEVER, GLASS & COMPANY INC.	VICE_PRESIDENT - Vice President	Y	NEW YORK, NY, United States
03/2018 - 10/2024	STOEVER GLASS WEALTH MGMT	IA REPRESENTATIVE; indirect owner	Y	new york, 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.

DIRECTOR TRIDAN CORP. AN INVESTMENT CO.ADDRESS TRIDAN CORP. PO BOX 634NEW CITY, NY 10956START DATE 3/30/1995
DEVOTE APPROXIMATELY 3 HOURS EACH QUARTER DURING TRADING HOURS TO DETERMINE INVESTMENT APPROACH;



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	7

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:	STOEVER GLASS & CO., INC.
Allegations:	SOLD USING ALLEDGED INPROPER METHODS IN AUGUST 1995, \$50,000 OF KELLER FINANCIAL PROMISSORY NOTES TO [CUSTOMER] AND [OTHER CUSTOMER NAMED] AND ALSO IN AUGUST 1995, \$25,000 OF KELLER FINANCIAL PROMISSORY NOTES TO THE [CUSTOMER] TRUST.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No
Arbitration/Reparation forum or court name and location:	NASD
Docket/Case #:	NASD CASE NO. 99-0534
Filing date of arbitration/CFTC reparation or civil litigation:	06/06/2000

Customer Complaint Information

Date Complaint Received:	06/06/2000
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Complaint Pending?	No
Status:	Settled
Status Date:	05/06/2002
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	NASD CASE NO. 99-0534
Date Notice/Process Served:	06/06/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/06/2002
Monetary Compensation Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR A CONFIDENTIAL AMOUNT TO AVOID THE UNCERTAINTIES OF THE LITIGATION PROCESS. STOEVER GLASS AND R STOEVER DENY ALL ALLIGATION AND CLAIMS.

Disclosure 2 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STOEVER GLASS & CO., INC.
Allegations:	CLIENT PURCHASED BENNETT LEASES THRU STOEVER GLASS AND RECEIVED PAYMENTS FROM BENNETT UNTIL FEB 1996. BENNETT WAS ACCUSED OF SECURITIES VIOLATIONS BY THE SEC AND DECLARED BANKRUPTCY. CLIENT ALLEGES UNSUITABILITY,BREACH,NEGLIGENT MISREPRESENTATION,UNAUTHORIZED TRANSACTIONS, MANIPULATION, BREACH OF FIDUCIARY DUTY,FRAUD, BREACH OF SECURITIES LAWS, SALE OF UNREGISTERED SECURITIES AND OTHERS.
Product Type:	Other
Other Product Type(s):	BENNETT FUNDING GROUP LEASES
Alleged Damages:	\$213,001.00

Customer Complaint Information

Date Complaint Received:	06/03/1998
Complaint Pending?	No
Status:	Settled
Status Date:	04/15/1999



Settlement Amount: \$22,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION CASE NUMBER 98-01340

Date Notice/Process Served: 06/03/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/15/1999

Monetary Compensation Amount: \$22,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: FRAUD IN CONNECTION WITH SALE OF SECURITIES, UNTRUE STATEMENTS IN SALE OF SECURITIES & OMISSIONS, UNSUITABILITY & EXCESSIVE COMMISSIONS, BREACH OF FIDUCIARY DUTY & NEGLIGENCE, AND DECEPTIVE TRADE PRACTICES & CONSPIRACY DAMAGES OF \$2,456,829.13.

Product Type: Debt-Asset Backed

Alleged Damages: \$2,456,829.13

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: 01/16/1997

Complaint Pending? No

Status: Settled

Status Date: 08/18/2003

Settlement Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: Federal Court



Name of Court: SOUTHERN DISTRICT TEXAS

Location of Court: GALVESTON TEXAS

Docket/Case #: MDL NO. 1153

Date Notice/Process Served: 01/16/1997

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/18/2003

Monetary Compensation Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR A CONFIDENTIAL AMOUNT TO AVOID FURTHER LITIGATION COSTS AND THE UNCERTAINTY OF THE ARBITRATION PROCESS. RUSSELL J. STOEVER AND STOEVER GLASS & CO, DENY ALL ALLEGATIONS AND REJECT ALL CLAIMS.

Disclosure 4 of 7

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-02707

Date Notice/Process Served: 08/28/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/31/1998

Disposition Detail: CASE IS CLOSED, SETTLED
** CASE SETTLED **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: MISREPRESENTATION IN SALE OF BENNETT LEASES. NEGLIGENCE. BREACH OF FIDUCIARY DUTY, DAMAGES OF \$500,000 & INTEREST.



Product Type: Debt-Asset Backed

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

**Arbitration/Reparation forum
or court name and location:** NASD

Docket/Case #: NASD NO. 97/02707

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/28/1997

Customer Complaint Information

Date Complaint Received: 08/28/1997

Complaint Pending? No

Status: Settled

Status Date: 07/31/1998

Settlement Amount: \$65,000.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

**Arbitration/CFTC reparation
claim filed with (FINRA, AAA,
CFTC, etc.):** NASD

Docket/Case #: NASD NO. 97-02707

Date Notice/Process Served: 08/28/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/31/1998

**Monetary Compensation
Amount:** \$65,000.00

**Individual Contribution
Amount:** \$0.00

Civil Litigation Information

Disposition:

Disposition Date: 07/31/1998

Broker Statement SETTLED FOR A CONFIDENTIAL AMOUNT TO AVOID FURTHER LITIGATION COSTS AND THE UNCERTAINTY OF THE ARBITRATION PROCESS. RUSSELL J. STOEVER AND STOEVER GLASS & CO INC. DENY ALL ALLEGATIONS AND REJECT ALL CLAIMS.

**Disclosure 5 of 7**

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE; BREACH OF FIDUCIARY DUTY

Product Type: Other

Other Product Type(s): UNKNOWN TYPE OF SECURITIES

Alleged Damages: \$161,851.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-01858

Date Notice/Process Served: 04/15/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/22/1998

Disposition Detail: CASE IS CLOSED, SETTLED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: BREACH OF GOOD FAITH IN SALE OF BENNETT LEASES NEGLIGENCE AND MISREPRESENTATION FAILURE TO SUPERVISE CLAIM OF \$161,851 & INTEREST.

Product Type: Other

Other Product Type(s): MUNICIPAL LEASES

Alleged Damages: \$161,851.00

Customer Complaint Information

Date Complaint Received: 04/15/1997

Complaint Pending? No

Status: Settled

Status Date: 05/22/1998

Settlement Amount: \$27,500.00

Individual Contribution Amount: \$0.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 97-01858

Date Notice/Process Served: 04/15/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/22/1998

Monetary Compensation Amount: \$27,500.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED DUE TO THE COSTS AND UNCERTAINTY OF THE ABRITRATION PROCESS.
AS A BROKER/DEALER THAT SOLD BENNETT PRODUCTS, STOEVER GLASS RELIED UPON EXTENSIVE, INDEPENDENT `DUE DILIGENCE`. IN THIS NASD ARBITRATION, I AM NAMED AS A RESPONDENT SOLEY IN RESPECT OF MY SUPERVISORY ROLE AS A PRINCIPAL OF STOEVER GLASS. AS A RESULT OF THE AFOREMENTIONED DUE DILIGENCE, CONDUCTED BY STOEVER GLASS, I PROPERLY DICHARGED MY SUPERVISORY RESPONSIBILITIES. ACCORDINGLY, THE ALLEGATIONS AGAINST ME ARE WITHOUT MERIT AND I INTEND TO VIGOROUSLY DEFEND ALL SUCH ALLEGATIONS.

Disclosure 6 of 7

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type:

Alleged Damages: \$173,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-00875

Date Notice/Process Served: 02/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/22/1997

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES,



RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: NEGLIGENCE, BREACH OF FIDUCIARY DUTY, CONVERSION, FRAUD & MISREPRESENTATION, BREACH OF CONTRACT, VIOLATION OF SECURITIES STATE & FEDERAL LAWS. DAMAGES OF \$173,000.

Product Type:
Alleged Damages: \$173,000.00

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 Assoc. of Securities Dealers; 97-00875
Date Notice/Process Served: 02/25/1997
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/22/1997
Monetary Compensation Amount: \$20,000.00
Individual Contribution Amount: \$0.00

Broker Statement ALL CLAIMS & ALLEGATIONS AGAINST R. STOEVER WERE WITHDRAWN PRIOR TO THE SETTLEMENT BEING REACHED. FURTHER INVESTIGATION AND DISCOVERY IN THE CASE SHOWED THAT CLAIMANTS CLAIMS INVOLVED A FAILED PRODUCT AS OPPOSED TO ANY SALES PRACTICE VIOLATIONS. R. STOEVER WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT & DID NOT CONTRIBUTE TO IT. SETTLED FOR \$20000.
Not Provided



Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: MISREPRESENTATION; SUITABILITY; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED-BREACH OF CONTRACT

Product Type:

Alleged Damages: \$160,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-04112

Date Notice/Process Served: 09/26/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/19/1997

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: STOEVER, GLASS & COMPANY INC.

Allegations: DAMAGES IN EXCESS OF \$160,000. FALSE & FRAUDULENT REPRESENTATIONS WHILE RECOMMENDING INVESTMENTS IN BENNETT FUNDING GROUP PRODUCTS. UNSUITABLE INVESTMENT RECOMMENDATIONS. FAILURE TO EXERCISE DUE DILIGENCE.

Product Type:

Alleged Damages: \$160,000.00

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 Assoc. of Securities Dealers; 96-04112

Date Notice/Process Served: 09/26/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/19/1997

Broker Statement SETTLED ON 5/18/97 FOR A CONFIDENTIAL AMOUNT. TO AVOID FURTHER LITIGATION COSTS AND THE UNCERTAINTY OF THE ARBITRATION PROCESS. ALL CLAIMS AND ALLEGATIONS ARE DENIED.
Not Provided



End of Report

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