



IAPD Report

ADAM RICHARD TAU

CRD# 5650371

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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

ADAM RICHARD TAU (CRD# 5650371)

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 **10/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MADISON AVENUE SECURITIES, LLC	CRD# 23224	02/19/2020
IA	MADISON AVENUE SECURITIES, LLC	CRD# 23224	02/24/2020
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	09/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	CETERA ADVISOR NETWORKS LLC	13572	NEW YORK, NY	02/01/2019 - 02/21/2020
B	NORTH RIDGE SECURITIES CORP.	27098	New York, NY	03/04/2016 - 02/01/2019
B	NYLIFE SECURITIES LLC	5167	NEW YORK, NY	01/29/2013 - 12/22/2015

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	1



Report Summary





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

Employment 1 of 2

Firm Name: **AE WEALTH MANAGEMENT, LLC**
Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614
Firm ID#: 282580

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	09/10/2025
	New Jersey	Investment Adviser Representative	Approved	09/15/2025

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
800 Village Square Crossing, Suite 220
Palm Beach Gardens, FL 33410

AE WEALTH MANAGEMENT, LLC
101 Hudson Street, 21st Floor
Jersey City, NJ 07302

Employment 2 of 2

Firm Name: **MADISON AVENUE SECURITIES, LLC**
Main Address: 13500 EVENING CREEK DR. N
#555
SAN DIEGO, CA 92128
Firm ID#: 23224

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	02/19/2020
	Connecticut	Investment Adviser Representative	Approved	02/24/2020
	Connecticut	Agent	Approved	03/05/2020
	Florida	Agent	Approved	01/07/2021
	Florida	Investment Adviser Representative	Approved	08/05/2025



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	02/20/2020
B New Jersey	Agent	Approved	03/13/2020
B New York	Agent	Approved	03/04/2020
IA New York	Investment Adviser Representative	Approved	02/18/2025
B Pennsylvania	Agent	Approved	02/20/2020
IA Pennsylvania	Investment Adviser Representative	Approved	02/24/2020
B Rhode Island	Agent	Approved	04/09/2021
IA Texas	Investment Adviser Representative	Restricted Approval	02/20/2025
B Washington	Agent	Approved	03/14/2024

Branch Office Locations

MADISON AVENUE SECURITIES, LLC
101 Hudson Street, 21st Floor
Jersey City, NJ 07302

MADISON AVENUE SECURITIES, LLC
800 Village Square Crossing
Suite 220
Palm Beach Gardens, FL 33410



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, 2 general industry/product exams, and 2 state securities law exams.

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	03/20/2009

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/21/2016
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/2009



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	02/01/2019 - 02/21/2020	CETERA ADVISOR NETWORKS LLC	CRD# 13572	NEW YORK, NY
B	03/04/2016 - 02/01/2019	NORTH RIDGE SECURITIES CORP.	CRD# 27098	New York, NY
B	01/29/2013 - 12/22/2015	NYLIFE SECURITIES LLC	CRD# 5167	NEW YORK, NY
B	04/05/2010 - 01/17/2013	GARDEN STATE SECURITIES, INC.	CRD# 10083	NEW YORK, NY
B	06/17/2009 - 03/09/2010	CHARLES MORGAN SECURITIES, INC.	CRD# 138887	NEW YORK, NY
B	03/23/2009 - 07/09/2009	SPARTAN CAPITAL SECURITIES, LLC	CRD# 146251	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
08/2025 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
02/2020 - Present	MADISON AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
01/2019 - Present	DYNAMIC WEALTH STRATEGIES, INC.	OFFICER OF CORPORATION	Y	PALM BEACH GARDENS, FL, United States
02/2019 - 02/2020	CETERA ADVISOR NETWORKS LLC	REGISTERED REP/ INVESTMENT ADVISER REP	Y	New York, NY, United States
02/2019 - 02/2020	NORTH RIDGE WEALTH PLANNING LLC	ADVISOR - FINANCIAL SERVICES	Y	NEW YORK, NY, United States
03/2016 - 02/2019	NORTH RIDGE SECURITIES CORP	REG. REP.	Y	MELVILLE, NY, United States
03/2016 - 01/2019	MILLER TAU FINANCIAL GROUP	CO-FOUNDER; FINANCIAL ADVISOR	Y	NEW YORK, NY, United States



Registration & Employment History



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) ADVISORS EXCEL; INV RELATED:YES; 2950 SW MCCLURE ROAD, TOPEKA, KS 66614; INSURANCE PRODUCTS OFFERED THROUGH AE, CREATIVE SERVICES PROVIDED BY AE; INSURANCE AGENT; 08/2018; HOURS/MONTH:40; TRADING HOURS/MONTH:40; DUTIES:INSURANCE SALES.
- 2) WC HOOVER & CO, LLC; INV RELATED: NO; 22 RAILROAD AVENUE, SUITE 3 SAYVILLE, NY 11782; PROVIDE SMALL BUSINESSES HEALTH INSURANCE; 33% DIRECTOR; 05/2018; HOURS/MONTH: LESS THAN 4; TRADING HOURS/MONTH: 0; DUTIES: DIRECTOR OF ORGANIZATION
- 3) BARTAU, LLC; INV RELATED: NO; 1212 WOODROW ROAD STATEN ISLAND, NY 10309; RENTAL PROPERTY. LLC WAS FORMED TO HELP ORGANIZE INCOME AND EXPENSES NEEDED TO PURCHASE A HOME IN POCONOS IN PA; 25% PARTNER; 08/2019; HOURS/MONTH: LESS THAN 4; TRADING HOURS/MONTH: 0; DUTIES: INVOLVEMENT AND CONTRIBUTION WAS FINANCIAL ONLY.
- 4) DYNAMIC WEALTH STRATEGIES, INC.; INV RELATED: YES; 800 VILLAGE SQUARE CROSSING, SUITE 220, PALM BEACH GARDENS, FL 33410; LIFE INSURANCE, ANNUITIES, SECURITIES, FEE-BASED WEALTH MANAGEMENT; 50% PARTNER; 01/2019; HOURS/MONTH: 200; TRADING HOURS/MONTH: 200; DUTIES: OFFICER OF THE CORPORATION. FINANCIAL ADVISOR WITHIN THE PRACTICE. SOLICITING, MEETING WITH PROSPECTS AND GIVING FINANCIAL AND INVESTMENT ADVICE.
- 5) THE BACKUP, LLC; INV RELATED: NO; 550 VANDERBILT AVE #1103 BROOKLYN NY 11238; ECOMMERCE STORE; OWNER; 10/2021; HOURS/MONTH: 0; TRADING HOURS/MONTH: 0; DUTIES: OWNER, HIRING THIRD PARTY COMPANY EXPANSION B2B TO RUN AND MANAGE ECOMMERCE STORE.
- 6) EKMT, LLC; INV RELATED: NO; 199 WATER ST, NY, NY 10038; ECOMMERCE STORE; CO-OWNER WITH WIFE; 07/2022; HOURS/MONTH: 0; TRADING HOURS/MONTH: 0; DUTIES: OWNER, HIRING THIRD PARTY COMPANY SCALING GROUP TO RUN AND MANAGE ECOMMERCE STORE.
- 7) REMBO ENTERPRIZES LLC; INV RELATED: NO; 508 CATANIA LANE, POINCIANA, FL 34759; ECOMMERCE STORE; CO-OWNER WITH FATHER-IN-LAW; 07/2022; HOURS/MONTH: 0; TRADING HOURS/MONTH: 0; DUTIES: OWNER, HIRING THIRD PARTY COMPANY SCALING GROUP TO RUN AND MANAGE ECOMMERCE STORE.



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	1

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:	FINRA
Sanction(s) Sought:	Other: n/a
Date Initiated:	12/11/2015
Docket/Case Number:	2013038121201
Employing firm when activity occurred which led to the regulatory action:	Garden State Securities, Inc.
Product Type:	Equity Listed (Common & Preferred Stock)
Allegations:	Without admitting or denying the findings, Tau consented to the sanctions and to the entry of findings that he made unsuitable recommendations to a customer that resulted in a concentrated stock position and losses in the customer's account. The findings stated that Tau also exercised discretion in the customer's account without written authority from the customer or acceptance of the account as discretionary by his member firm.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 12/11/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any and all capacities
Duration:	two months
Start Date:	01/04/2016
End Date:	03/03/2016

Monetary Sanction 1 of 2

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/29/2015
Was any portion of penalty waived?	No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction:	Restitution
Total Amount:	\$13,000.00
Portion Levied against individual:	\$13,000.00
Payment Plan:	plus interest
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement** Fine paid in full on December 29, 2015.
.....**Reporting Source:** Firm**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: n/a**Date Initiated:** 12/11/2015**Docket/Case Number:** [2013038121201](#)**Employing firm when activity occurred which led to the regulatory action:** Garden State Securities, Inc.**Product Type:** Equity Listed (Common & Preferred Stock)**Allegations:** Without admitting or denying the findings, Tau consented to the sanctions and to the entry of findings that he made unsuitable recommendations to a customer that resulted in a concentrated stock position and losses in the customer's account. The findings stated that Tau also exercised discretion in the customer's account without written authority from the customer or acceptance of the account as discretionary by his member firm.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Resolution Date:** 12/11/2015**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Suspension**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any and all capacities
Duration:	two months
Start Date:	01/04/2016
End Date:	03/03/2016

Monetary Sanction 1 of 2

Monetary Related Sanction:	Restitution
Total Amount:	\$13,000.00
Portion Levied against individual:	\$13,000.00
Payment Plan:	plus interest
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

**Amount Waived:****Monetary Sanction 2 of 2****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$7,500.00**Portion Levied against individual:** \$7,500.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:**
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Restitution
Suspension**Date Initiated:** 11/18/2015**Docket/Case Number:** 20130381212**Employing firm when activity occurred which led to the regulatory action:** Garden State Securities**Product Type:** Equity Listed (Common & Preferred Stock)**Allegations:** Unsuitable recommendations**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes**Resolution Date:** 11/23/2015**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)
Restitution
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** all**Duration:** 2 months



Start Date:	01/04/2016
End Date:	03/03/2016
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	11/25/2015
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	\$16,000.00
Portion Levied against individual:	\$16,000.00
Payment Plan:	n/a
Is Payment Plan Current:	
Date Paid by individual:	11/25/2015
Was any portion of penalty waived?	No
Amount Waived:	



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	GARDEN STATE SECURITIES, INC.
Allegations:	CLIENT CLAIMED RR MADE UNSUITABLE RECOMMENDATIONS
Product Type:	No Product
Alleged Damages:	\$18,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/19/2013
Complaint Pending?	No
Status:	Settled
Status Date:	08/19/2013
Settlement Amount:	\$18,000.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GARDEN STATE SECURITIES, INC.
Allegations:	CLIENT CLAIMED RR MADE UNSUITABLE RECOMMENDATIONS.
Product Type:	No Product
Alleged Damages:	\$18,000.00
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:	08/19/2013
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Complaint Pending?	No
Status:	Settled
Status Date:	08/19/2013
Settlement Amount:	\$18,000.00
Individual Contribution Amount:	\$0.00



End of Report

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