IAPD Report

JAMES MATTHEW HODGES

CRD# 810265

Section Title	Page(s)

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

JAMES MATTHEW HODGES (CRD# 810265)

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 **11/15/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	03/06/2009
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	03/09/2009

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **31** 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	CITIGROUP GLOBAL MARKETS INC.	7059	TOWSON, MD	02/21/2006 - 04/01/2009
IA	CITIGROUP GLOBAL MARKETS INC.	7059	TOWSON, MD	02/21/2006 - 04/01/2009
IA	LEGG MASON WOOD WALKER INC	6555	TOWSON, MD	03/13/1991 - 02/21/2006

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	2
Customer Dispute	1

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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 **31** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**
Main Address: 777 E. WISCONSIN AVENUE
MILWAUKEE, WI 53202-5391
Firm ID#: 8158

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/06/2009
B	FINRA	General Securities Representative	Approved	03/06/2009
B	FINRA	General Securities Sales Supervisor	Approved	03/06/2009
B	FINRA	Municipal Securities Principal	Approved	03/06/2009
B	FINRA	Registered Options Principal	Approved	03/06/2009
B	FINRA	Municipal Securities Representative	Approved	03/11/2009
B	NYSE American LLC	General Securities Principal	Approved	03/06/2009
B	NYSE American LLC	General Securities Representative	Approved	03/06/2009
B	NYSE American LLC	Municipal Securities Principal	Approved	03/06/2009
B	NYSE American LLC	Registered Options Principal	Approved	03/06/2009
B	NYSE American LLC	Municipal Securities Representative	Approved	03/11/2009
B	NYSE American LLC	Securities Manager	Approved	06/26/2010
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018

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Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Principal	Approved	03/06/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	03/06/2009
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/06/2009
B	Nasdaq Stock Market	Registered Options Principal	Approved	03/06/2009
B	New York Stock Exchange	General Securities Representative	Approved	03/06/2009
B	New York Stock Exchange	Securities Manager	Approved	03/06/2009
B	New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B	New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	02/15/2022
B	Arizona	Agent	Approved	03/06/2009
B	California	Agent	Approved	03/06/2009
B	Colorado	Agent	Approved	03/06/2009
B	Connecticut	Agent	Approved	01/07/2014
B	Delaware	Agent	Approved	03/13/2009
B	District of Columbia	Agent	Approved	03/15/2012
B	Florida	Agent	Approved	03/06/2009
B	Georgia	Agent	Approved	03/06/2009

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Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	11/18/2024
B	Illinois	Agent	Approved	09/07/2012
B	Indiana	Agent	Approved	04/02/2009
B	Louisiana	Agent	Approved	01/19/2016
B	Maine	Agent	Approved	03/30/2012
B	Maryland	Agent	Approved	03/09/2009
IA	Maryland	Investment Adviser Representative	Approved	03/09/2009
B	Massachusetts	Agent	Approved	03/20/2009
B	Michigan	Agent	Approved	03/08/2012
B	New Hampshire	Agent	Approved	07/03/2014
B	New Jersey	Agent	Approved	03/06/2009
IA	New Jersey	Investment Adviser Representative	Approved	05/22/2017
B	New York	Agent	Approved	03/06/2009
B	North Carolina	Agent	Approved	03/06/2009
B	Ohio	Agent	Approved	05/14/2015
B	Pennsylvania	Agent	Approved	03/06/2009
B	Puerto Rico	Agent	Approved	02/24/2022
B	South Carolina	Agent	Approved	03/16/2009
B	Tennessee	Agent	Approved	03/06/2009

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Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	02/24/2018
B	Virginia	Agent	Approved	03/06/2009
B	Washington	Agent	Approved	03/06/2009
B	West Virginia	Agent	Approved	03/06/2009
B	Wisconsin	Agent	Approved	08/04/2014

Branch Office Locations

ROBERT W. BAIRD & CO. INCORPORATED
100 West Road
Suite 200
Towson, MD 21204

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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 6 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	12/14/2000
B	Municipal Securities Principal Examination (S53)	Series 53	11/14/2000
B	Registered Options Principal Examination (S4)	Series 4	11/02/1989
B	NYSE Branch Manager Examination (S12)	Series 12	05/22/1981

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	AMEX Put and Call Exam (PC)	PC	06/13/1977
B	General Securities Representative Examination (S7)	Series 7	07/19/1975

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/28/1987

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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.

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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	02/21/2006 - 04/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	TOWSON, MD
IA	02/21/2006 - 04/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	TOWSON, MD
IA	03/13/1991 - 02/21/2006	LEGG MASON WOOD WALKER INC	CRD# 6555	TOWSON, MD
B	03/30/1989 - 02/21/2006	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	TOWSON, MD
B	09/16/1977 - 04/07/1989	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	08/27/1976 - 09/16/1977	BACHE HALSEY STUART INC.	CRD# 7238	
B	02/27/1976 - 08/27/1976	BACHE & CO INCORPORATED	CRD# 7058	
B	07/25/1975 - 02/27/1976	BACHE & CO., INCORPORATED	CRD# 66	

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
03/2009 - Present	ROBERT W. BAIRD & CO.	BRANCH MANAGER	Y	TOWSON, MD, 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.

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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.

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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	2
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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	NYSE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	08/01/1984
Docket/Case Number:	NOT PROVIDED
Employing firm when activity occurred which led to the regulatory action:	LEGG MASON WOOD WALKER
Product Type:	Equity - OTC
Other Product Type(s):	NOT REALLY PROVIDED. EQUITY SHARES OF STOCK BUT UNCLEAR WHETHER OTC OR COMMON/PREFERRED.
Allegations:	CUSTOMER CLAIMED I OVERSTATED THE VALUE OF AN ACCOUNT. I DID USE THE TENDER PRICE ON SEVERAL ISSUES OF SHARES WHICH HAD BEEN SUBMITTED FOR TENDER RATHER THAN THEIR CURRENT MARKET VALUE AND ORIGINAL COST, RATHER THAN MARKET. I ALSO ERRONEOUSLY INCLUDED A SHORT POSITION AS EQUITY. WITH THIS ERROR OVERSTATEMENT AMOUNTING TO $14,000.00, THE ACTUAL LOSS TO CLIENT WAS $7,000.00.
Current Status:	Final
Resolution:	Settled
Resolution Date:	07/01/1985

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Sanctions Ordered:	Censure
Other Sanctions Ordered:	CENSURED BY NYSE.
Sanction Details:	CLIENT WAS PAID APPROXIMATELY $25,000.00 TO SETTLE THE $15,000.00 OVERSTATEMENT AND TO COVER HIS LEGAL EXPENSES. I WAS CHARGED FOR THSE BY MY FIRM. I WAS CENSURED BY THE NYSE IN MARCH FOR THIS MATTER.
Broker Statement	CLIENT WAS PAID APPROXIMATELY $25,000.00 TO SETTLE THE $15,000.00 OVERSTATEMENT AND TO COVER HIS LEGAL EXPENSES. I WAS CHARGED FOR THSE BY MY FIRM. I WAS CENSURED BY THE NYSE IN MARCH FOR THIS MATTER.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/13/1989
Docket/Case Number:	D-NYSE-89-55
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL BACHE SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	BONDS AND EQUITY SECURITIES
Allegations:	JAMES MATTHEW HODGES ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: 1) PREPARED, AND CAUSED TO BE DELIVERED TO A CUSTOMER, WRITTEN SUMMARIES OF CUSTOMER'S ACCOUNT WHICH DID NOT ACCURATELY REPORT THE VALUE OF CERTAIN BONDS AND EQUITY SECURITIES IN THE CUSTOMER'S ACCOUNT; AND 2) FAILED TO OBTAIN WRITTEN AUTHORIZATION FROM A CUSTOMER WHO ORALLY GRANTED HODGES AUTHORITY TO EXERCISE DISCRETIONARY POWER IN THE CUSTOMER'S ACCOUNT.
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/13/1989
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	CONSENT TO CENSURE.

Reporting Source:	Firm
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	

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Other Sanction(s) Sought:	
Date Initiated:	12/29/1988
Docket/Case Number:	89-13
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/13/1989
Sanctions Ordered:	Censure
Other Sanctions Ordered:	
Sanction Details:	
Firm Statement	ON OR ABOUT 12/29/88, THE NEW YORK STOCK EXCHANGE BROUGHT DISCIPLINARY PROCEEDINGS AGAINST ACCOUNT EXECUTIVE, ALLEGING UNAUTHORIZED OPTION TRADING AND INACCURATE REPORTING OF SECURITIES IN THE CUSTOMER'S ACCOUNT. PROCEEDINGS WERE INITIATED BY [CUSTOMER] COMPLAINT. HODGES NEITHER ADMITTED OR DENIED GUILT BY CONSENTING TO A CENSURE.

Reporting Source:	Individual
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/13/1989
Docket/Case Number:	HPD 89-19
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL-BACHE SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/13/1989
Sanctions Ordered:	Censure

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Other Sanctions Ordered:

Sanction Details: CENSURED - PAYMENT OF $28,000 WAS MADE TO PRUDENTIAL-BACHE SECURITIES, INC.

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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:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE SECURITIES, INC.
Allegations:	
Product Type:	
Alleged Damages:	$28,538.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	- CASE #
Date Notice/Process Served:	
Arbitration Pending?	
Disposition Detail:	CORRESPONDENCE #004010 31785: ***** THIS INFORMATION WAS RECEIVED IN SRR FROM THE OFFICES OF THE ATTORNEY GENERAL, DIVISION OF SECURITIES, BALTIMORE, MARYLAND. CIVIL COMPLAINT #84285050/CL26262 FILED IN THE CIRCUIT COURT FOR BALTIMORE CITY. PLAINTIFF VS. PRUDENTIAL-BACHE SECURITIES, INC., THE CORPORATE TRUST COMPANY, INC. AND JAMES M. HODGES. IN OCTOBER, 1984 PLAINTIFF FILED A COMPLAINT AGAINST PRUDENTIAL-BACHE SECURITIES, INC. AND JAMES M. HODGES CLAIMING DAMAGES FOR BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD AND MISREPRESENTATION. PLAINTIFF ALLEGED THAT THE DEFENDANTS MADE A PRACTICE OF DECEPTIVELY OVERSTATING THE VALUE OF HIS ACCOUNT IN FALSE WRITTEN SUMMARIES TO CONCEAL LOSSES RESULTING FROM MISHANDLING AND POOR INVESTMENT DECISIONS BY HODGES, AND THAT HODGES FAILED TO EXECUTE HIS SELL ORDER BECAUSE DOING SO WOULD NOT HAVE PRODUCED THE RESULTS HE WAS LED TO EXPECT BY THE EARLIER OVERSTATEMENTS. PLAINTIFF CLAIMS FROM EACH AND EVERY DEFENDANT THE AMOUNT OF $28,538.00 IN ACTUAL DAMAGES, $100,000.00 IN PUNITIVE DAMAGES, ATTORNEYS FEES, COSTS OF LITIGATION, AND OTHER COURT COSTS, AND FOR OTHER AND FURTHER RELIEF AS THE NATURE OF HIS CAUSE MAY REQUIRE. THE SUIT WAS SETTLED ON JANUARY 10, 1985 WITH PAYMENT TO PLAINTIFF OF $58,600, A PORTION OF WHICH WAS FUNDED WITH THE REMAINING ASSETS IN HIS PRUDENTIAL-BACHE ACCOUNT. PURSUANT TO THE SETTLEMENT AGREEMENT BETWEEN THE PARTIES, THE CASE WAS DISMISSED WITH PREJUDICE,

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UPON
PAYMENT OF ANY OPEN COSTS BY THE DEFENDANTS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE SECURITIES, INCORPORATED
Allegations:	CLIENT ALLEGES DAMAGES FOR BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD AND MISREPRESENTATION. [CUSTOMER] ALLEGED THEAT THE MR. HODGES AND PRUDENTIAL MADE A PRACTICE OF DECEPTIVELY OVERSTATING THE VALUE OF HIS ACCOUNT IN FALSE WRITTEN SUMMARIES TO CONCEAL LOSSES RESULTING FROM MISHANDLING AND POOR INVESTMENT DECISIONS BY HODGES.
Product Type:	Other
Other Product Type(s):	N/A
Alleged Damages:	$28,538.00

Customer Complaint Information

Date Complaint Received:	08/01/1984
Complaint Pending?	No
Status:	Litigation
Status Date:	01/10/1985
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	CIRCUIT COURT FOR BALTIMORE CITY, MARYLAND CIVIL COMPLAINT # 84285050/CL26262
Date Notice/Process Served:	10/01/1984
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	01/10/1985
Monetary Compensation Amount:	$58,600.00
Individual Contribution Amount:	$28,538.00
Broker Statement	IN 1984, I WAS SUED BY [CUSTOMER] FOR MISSTAING THE VALUE OF HIS ACCOUNT. I OVERSTATED THE VALUE BY $14,000 - $7,000 BY INCLUDING A SHORT POSITION VALUATION AND $7,000 BY USING ORIGINAL COST AND TENDERED PRICES RATHER THAN MARKET VALUES. THE SUIT WAS SETTLED FOR APPROXIMATELY $24,000 - REPRESENTING THE AFOREMENTIONED $14,000, LAWYER'S FEES AND COMPENSATORY DAMAGES. I WAS CHARED FOR THIS SETTLEMENT AND PAID IT IN FULL. I WAS CENSURED BY THE NEW YORK STOCK EXCHANGE FOR THIS MATTER.

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End of Report

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