



IAPD Report

ROBERT TAYLOR MANN

CRD# 822903

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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

ROBERT TAYLOR MANN (CRD# 822903)

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 **01/22/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FIRST GEORGETOWN SECURITIES, INC.	CRD# 5871	08/29/1979
IA	FIRST GEORGETOWN SECURITIES, INC	CRD# 5871	05/12/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	FIRST GEORGETOWN SECURITIES, INC	5871	ALEXANDRIA, VA	07/21/2004 - 02/13/2008
B	FIRST GEORGETOWN SECURITIES, INC.	5871	ALEXANDRIA, VA	08/20/1982 - 06/24/1999
B	LIDLAW ADAMS & PECK INC	1481	ALEXANDRIA, VA	04/16/1979 - 10/11/1979

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	3
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 **16** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FIRST GEORGETOWN SECURITIES, INC**
Main Address: 1700 DIAGONAL RD.
SUITE 200
ALEXANDRIA, VA 22314
Firm ID#: 5871

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	08/29/1979
B FINRA	General Securities Representative	Approved	07/06/1984
B FINRA	Registered Options Principal	Approved	07/06/1984
B FINRA	Municipal Securities Principal	Approved	07/21/1993
B FINRA	Municipal Securities Representative	Approved	07/21/1993
B FINRA	Operations Professional	Approved	11/30/2011
B FINRA	Securities Trader	Approved	01/04/2016
B FINRA	Compliance Officer	Approved	10/01/2018
B Connecticut	Agent	Approved	09/21/1987
B Delaware	Agent	Approved	01/31/2011
B District of Columbia	Agent	Approved	01/24/1985
B Florida	Agent	Approved	01/01/1985
B Illinois	Agent	Approved	01/13/2011



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	04/30/1985
B Massachusetts	Agent	Approved	01/22/2009
B Michigan	Agent	Approved	03/13/2006
B Nevada	Agent	Approved	01/28/2015
B New Jersey	Agent	Approved	02/06/2006
B New York	Agent	Approved	09/26/2006
B North Carolina	Agent	Approved	11/02/2006
B Pennsylvania	Agent	Approved	02/21/2002
B South Carolina	Agent	Approved	03/25/2002
B Texas	Agent	Approved	01/11/2006
B Virginia	Agent	Approved	01/25/1985
IA Virginia	Investment Adviser Representative	Approved	05/12/2008

Branch Office Locations

FIRST GEORGETOWN SECURITIES, INC
1700 DIAGONAL RD.
200
ALEXANDRIA, VA 22314

FIRST GEORGETOWN SECURITIES, INC
1700 DIAGONAL ROAD
200
ALEXANDRIA, VA 22314







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 4 principal/supervisory exams, 7 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	08/18/1982
 General Securities Principal Examination (S24)	Series 24	09/20/1979

General Industry/Product Exams



Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	07/16/1999
 Interest Rate Options Examination (S5)	Series 5	12/12/1981
 General Securities Representative Examination (S7)	Series 7	05/15/1976



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	07/12/2004

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	07/21/2004 - 02/13/2008	FIRST GEORGETOWN SECURITIES, INC	CRD# 5871	ALEXANDRIA, VA
B	08/20/1982 - 06/24/1999	FIRST GEORGETOWN SECURITIES, INC.	CRD# 5871	
B	04/16/1979 - 10/11/1979	LIDLAW ADAMS & PECK INC	CRD# 1481	
B	06/01/1976 - 05/17/1979	FIRST GEORGETOWN SECURITIES, INC.	CRD# 5871	

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
05/1975 - Present	FIRST GEORGETOWN SECURITIES, INC.	OTHER - Principal	Y	ALEXANDRIA, VA, 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	3
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 3

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/23/2004

Docket/Case Number: C07040008

Employing firm when activity occurred which led to the regulatory action: FIRST GEORGETOWN SECURITIES, INC.

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 1120(A), 2110, 3010(B) - A MEMBER FIRM, ACTING THROUGH MANN, ALLOWED ANOTHER INDIVIDUAL TO FUNCTION AS A REGISTERED REPRESENTATIVE THOUGH HIS REGISTRATIONS WERE DEEMED INACTIVE DUE TO FAILURE TO COMPLETE THE REGULATORY ELEMENT OF THE CONTINUING EDUCATION PROGRAM; AND A MEMBER FIRM, ACTING THROUGH MANN, FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE WRITTEN SUPERVISORY PROCEDURES REASONABLY DESIGNED TO ACHIEVE COMPLIANCE WITH NASD RULE 1120(A) AND MSRB RULE G-14.

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: 01/23/2004

Sanctions Ordered: Monetary/Fine \$3,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MANN CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$3,500, JOINTLY AND SEVERALLY.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 01/23/2004

Docket/Case Number: C07040008

Employing firm when activity occurred which led to the regulatory action: FIRST GEORGETOWN SECURITIES, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: ROBERT T. MANN, AS PRESIDENT, ALLOWED AN INDIVIDUAL TO FUNCTION AS A REGISTERED REP FROM 8/5/02-4/21/03 EVEN THOUGH HE HAD NOT COMPLETED THE REGULATORY ELEMENT OF HIS CONTINUING EDUCATION. IN THE SAME REGARD, MR. MANN WAS CITED FOR FAILING TO MAINTAIN AND ENFORCE SUPERVISORY PROCEDURES DESIGNED TO ACHIEVE COMPLIANCE WITH NASD 1120(A).

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/23/2004

Sanctions Ordered: Monetary/Fine \$3,500.00

Other Sanctions Ordered:

Sanction Details: \$3500 FINE PAID.

Broker Statement FIRM FAILED TO RECEIVE NOTIFICATION OF REGISTERED REP'S CONTINUING EDUCATION "WINDOW". ONCE ALERTED, REP COMPLETED CONTINUIG EDUCATION EXAM PROMPTLY.

Disclosure 2 of 3

Reporting Source: Regulator



Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/22/1983

Docket/Case Number: WA-412-SC

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: 08/15/1983

Sanctions Ordered: Censure
Monetary/Fine \$100.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement LTR: 10/21/98, TRK: 2/08/99, TO BD# 5871, CODES: B,O,T
COMP #WA-412-SC, FILED 6/2283, DIST. #10, ALLEGING VIOLATIONS OF
ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT
MANN PERMITTED THE EXTENSION OF CREDIT IN HIS OWN PERSONAL
ACCOUNT AND THE PURCHASE OF SECURITIES IN THIS ACCOUNT WHILE
SUCH ACCOUNT WAS SUBJECT TO RESTRICTION IN CONTRAVENTION OF
REGULATION T. ****SUMMARY COMPLAINT ACCEPTED 6/30/83;
THEREFORE,
MANN IS CENSURED AND FINED \$100. IF NO FURTHER ACTION, DECISION
IS FINAL 8/15/83. ****FC #WA-412-SC PAID IN FULL, 7/15/83.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Other

Other Sanction(s) Sought: FINED \$100

Date Initiated: 06/01/1983

Docket/Case Number: WA-412-SC

Employing firm when activity occurred which led to the regulatory action: FIRST GEORGETOWN SECURITIES, INC.

Product Type: Other

Other Product Type(s): SECTION I, ARTICLE III - RULES OF FAIR PRACTICE



Allegations: MARGIN DEFICIENCIES ALLOWED IN PERSONAL ACCOUNT FROM JUNE 1982 TO SEPTEMBER 1982.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 06/01/1983

Sanctions Ordered: Monetary/Fine \$100.00

Other Sanctions Ordered:

Sanction Details: \$100 FINE LEVIED AGAINST ROBERT MANN. NONE WAIVED. PAID BY FIRST GEORGETOWN IN JUNE, 1983.

Broker Statement A \$100 WAS LEVIED AND PAID BY FIRST GEORGETOWN.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/22/1986

Docket/Case Number: WA-487

Employing firm when activity occurred which led to the regulatory action: FIRST GEORGETOWN SECURITIES, INC

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/04/1987

Sanctions Ordered: Censure
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement LTR: 10/21/98, TRK: 2/08/99, TO BD# 5871, CODES: B,O,P,T
ENTERED 2/24/86:

COMPLAINT NO. WA-487 FILED JANUARY 22, 1986, BY DISTRICT NO. 10 AGAINST FIRST GEORGETOWN SECURITIES, INC., ROBERT T. MANN AND DARRELL H. BROOKSTEIN ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1 AND 30, APPENDIX A OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS MANN AND BROOKSTEIN, PERMITTED DAILY MARGIN DEFICIENCIES TO EXIST IN THE ACCOUNT OF DARRELL BROOKSTEIN AND THE ACCOUNT OF DARRELL



AND
HELEN BROOKSTEIN.

DECISION RENDERED MAY 4, 1987, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENTS MEMBER AND MANN ARE CENSURED AND FINED \$500.00, JOINTLY AND SEVERALLY AND RESPONDENT BROOKSTEIN IS CENSURED, FINED \$2,500.00, AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR TWO (2) DAYS. *****
\$500.00 PAID J&S 5-12-87.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 05/04/1987

Docket/Case Number: WA-487

Employing firm when activity occurred which led to the regulatory action: FIRST GEORGETOWN SECURITIES, INC.

Product Type: Options

Other Product Type(s):

Allegations: THE NASD CITED MR. MANN FOR FAILURE TO SUPERVISE FOR ALLOWING HIS PARTNER TO PLACE 3 OPTION TRADES IN HIS OWN ACCOUNT WITHOUT DEPOSITING PROPER FUNDS BY SETTLEMENT DATE.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 05/04/1987

Sanctions Ordered: Censure
Monetary/Fine \$500.00

Other Sanctions Ordered:

Sanction Details: \$500 FINE LEVIED AGAINST ROBERT MANN. NONE WAIVED. FINE PAID IN MAY, 1987.

Broker Statement FIRST GEORGETOWN AND MR. MANN WERE CENSURED AND FINED \$500.



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: Individual

Employing firm when activities occurred which led to the complaint: SELF

Allegations: BROKER UNDER MY SUPERVISION WAS CHARGED BY CLAIMANT WITH EXCESSIVE TRADING RESULTING IN LOSSES AND CLAIMS DAMAGES (INCLUDING PUNITIVE) IN EXCESS OF \$323,000 PLUS LEGAL FEES. ALL CHARGES WERE DENIED BY FIRST GEORGETOWN. MR. MANN WAS CHARGED AS WELL.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): OTC EQUITIES

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/29/1998

Complaint Pending? No

Status: Settled

Status Date: 06/14/1999

Settlement Amount: \$175,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 98-02751

Date Notice/Process Served: 09/01/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/14/1999

Monetary Compensation Amount: \$175,000.00

Individual Contribution Amount: \$0.00

Broker Statement UNDECIDED
CUSTOMER OPENED ACCOUNT TO DO SHORT TERM TRADING, GIVING FIRM WRITTEN TRADING AUTHORIZATION. CUSTOMER WAS AWARE ON A DAILY, WEEKLY, AND MONTHLY BASIS HIS ACCOUNT STATUS,



WATCHING IT FLUCTUATE UP AND DOWN OVER A 2 YEAR +/- PERIOD. AT A POINT WHEN IT WAS DOWN IN VALUE, HE FILED A COMPLAINT. MR. MANN, THE FIRM, AND THE CUSTOMER'S BROKER BELIEVES THE CHARGES ARE WITHOUT MERIT AND WILL DEFEND THEMSELVES VIGOROUSLY.

Disclosure 2 of 2

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: FIRST GEORGETOWN SECURITIES, INC.
Allegations: ACCOUNT RELATED-ERRORS-CHARGES
Product Type:
Alleged Damages: \$2,726.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-03968](#)
Date Notice/Process Served: 01/27/1992
Arbitration Pending? No
Disposition: Other
Disposition Date: 07/06/1992
Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$2,726.50 JOINTLY AND SEVERALL

.....
Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIRST GEORGETOWN SECURITIES, INC.
Allegations: CUSTOMER CLAIMED DAMAGES OF \$2,726.50
Product Type:
Alleged Damages: \$2,726.00

Customer Complaint Information

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

Individual Contribution Amount:

Arbitration Information



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

[NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-03968](#)

Date Notice/Process Served:

01/27/1992

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

07/06/1992

**Monetary Compensation
Amount:**

\$2,726.50

**Individual Contribution
Amount:**

\$0.00

Broker Statement

CUSTOMER WAS AWARDED \$2,726.50, WHICH FIRST
GEORGETOWN SECURITIES, INC. PAID.
[CUSTOMER] CALLED US AND GAVE US AN ORDER TO SELL
CALL OPTIONS. HE OWNED PUT OPTIONS. WE CAUGHT HIS ERROR AND
TRIED TO CONTACT HIM. HE WAS OUT OF THE COUNTRY. WE THEN HAD
TO
COVER HIS ERRONEOUS POSITION, RESULTING IN A LOSS OF \$2,726.50
IN HIS ACCOUNT. THE ARBITRATOR BELIEVED [CUSTOMER] WHO CLAIMED
HE
GAVE US A CORRECT ORDER.



End of Report

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