



IAPD Report

HARRY EDWARD FISCHER

CRD# 829238

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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

HARRY EDWARD FISCHER (CRD# 829238)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	12/04/2020
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	12/04/2020

QUALIFICATIONS

This representative is currently registered in **11** 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	WELLS FARGO CLEARING SERVICES, LLC	19616	SAN LUIS OBISPO, CA	03/17/2010 - 12/07/2020
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	SAN LUIS OBISPO, CA	03/17/2010 - 12/07/2020
IA	RBC CAPITAL MARKETS CORPORATION	31194	SAN LUIS OBISPO, CA	05/28/2002 - 03/25/2010

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	3



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 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**
Main Address: 501 N BROADWAY
ST LOUIS, MO 63102
Firm ID#: 793

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/04/2020
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/11/2026
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/11/2026
B FINRA	General Securities Representative	Approved	12/04/2020
B Investors' Exchange LLC	General Securities Representative	Approved	05/11/2026
B NYSE American LLC	General Securities Representative	Approved	12/04/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	05/11/2026
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/11/2026
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/04/2020
B Nasdaq Stock Market	General Securities Representative	Approved	12/04/2020
B New York Stock Exchange	General Securities Representative	Approved	12/04/2020
B Arizona	Agent	Approved	12/04/2020
B California	Agent	Approved	12/04/2020



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	12/04/2020
B Colorado	Agent	Approved	12/04/2020
B Florida	Agent	Approved	12/04/2020
B Nevada	Agent	Approved	12/14/2020
B New York	Agent	Approved	12/04/2020
B North Carolina	Agent	Approved	12/06/2023
B Oregon	Agent	Approved	12/08/2020
B Texas	Agent	Approved	12/04/2020
IA Texas	Investment Adviser Representative	Restricted Approval	12/04/2020

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
4460 BROAD STREET
SUITE 210
SAN LUIS OBISPO, CA 93401








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 5 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/01/2001
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	02/28/2001
 Registered Options Principal Examination (S4)	Series 4	05/11/1983
 NYSE Branch Manager Examination (S12)	Series 12	01/30/1979
 Registered Principal Examination (S40)	Series 40	10/30/1978

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	09/02/1977
 General Securities Representative Examination (S7)	Series 7	10/16/1976

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2000
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/26/1989



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	03/17/2010 - 12/07/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SAN LUIS OBISPO, CA
IA	03/17/2010 - 12/07/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SAN LUIS OBISPO, CA
IA	05/28/2002 - 03/25/2010	RBC CAPITAL MARKETS CORPORATION	CRD# 31194	SAN LUIS OBISPO, CA
B	03/09/2002 - 03/25/2010	RBC CAPITAL MARKETS CORPORATION	CRD# 31194	SAN LUIS OBISPO, CA
B	04/04/1995 - 03/09/2002	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	09/04/1990 - 04/05/1995	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	11/01/1976 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	

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
12/2020 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	San Luis Obispo, CA, United States
11/2016 - 12/2020	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SAN LUIS OBISOP, CA, United States
03/2010 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SAN LUIS OBISOP, CA, United States

OTHER BUSINESS ACTIVITIES

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

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

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: NYSE DIVISION OF ENFORCEMENT.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/26/1997

Docket/Case Number: 97-162

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

Product Type:

Other Product Type(s):

Allegations: **6/26/97** CHARGE ISSUED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. CHARGE; FISCHER: VIOLATED EXCHANGE RULE 352(c) IN THAT HE AGREED TO SHARE IN LOSSES IN THE ACCOUNT OF A CUSTOMER OF HIS MEMBER FIRM EMPLOYER; VIOLATED EXCHANGE RULE 408(a) BY EXERCISING DISCRETION IN THE ACCOUNT OF A CUSTOMER OF HIS MEMBER FIRM EMPLOYER; WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER; ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE FAILED TO DISCLOSE AN INTEREST IN A SECURITIES ACCOUNT CARRIED IN THE NAME OF A CUSTOMER OF HIS MEMBER FIRM EMPLOYER; AND ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE



PRINCIPLES OF TRADE IN THAT HE ENTERED INTO AN AGREEMENT WITH A CUSTOMER CONCERNING A CUSTOMER COMPLAINT WHICH PURPORTED TO BIND HIS FIRM TO SUBSTANTIAL OBLIGATIONS WITHOUT THE KNOWLEDGE OR AUTHORIZATION OF THE FIRM.

Current Status: Final
Resolution: Decision
Resolution Date: 04/17/1998
Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: PENDING. **4/17/98**DECISION 97-162 ISSUED BY NYSE HEARING PANEL...DECISION: AFTER A HEARING ON CHARGES, THE HEARING PANEL FOUND THAT FISCHER VIOLATED EXCHANGE RULE 352(c) IN THAT HE AGREED TO SHARE IN LOSSES IN THE ACCOUNT OF A CUSTOMER. PENALTY IMPOSED: CENSURE AND A ONE YEAR BAR FROM EMPLOYMENT IN A SUPERVISORY POSITION AND A REQUIREMENT TO RETAKE AND PASS THE APPROPRIATE EXAMINATION BEFORE ASSUMING A MANAGEMENT POSITION.

Regulator Statement **06/03/1998** THE DECISION IS NOW FINAL AND EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO (212) 656-8450

Reporting Source: Individual
Regulatory Action Initiated By: NYSE
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 06/26/1997
Docket/Case Number: 97-162

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

Product Type:
Other Product Type(s):

Allegations: NYSE ALLEGED THAT MR. FISCHER VIOLATED EXCHANGE RULE 352(C) IN THAT HE AGREED TO SHARE IN LOSSES IN THE ACCOUNT OF A CUSTOMER VIOLATED EXCHANGE RULE 408(2) BY EXERCISING DISCRETION IN THE ACCOUNT OF A CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION; ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN FAILING TO DISCLOSE AN INTEREST IN A SECURITIES ACCOUNT.

Current Status: Final
Resolution: Decision
Resolution Date: 04/17/1998
Sanctions Ordered: Bar



Censure

Other Sanctions Ordered:

Sanction Details:

A NYSE HEARING PANEL ISSUED FINDINGS THAT MR. FISCHER HAD VIOLATED EXCHANGE RULE 352(C) BY AGREEING TO SHARE IN LOSSES IN THE ACCOUNT OF A CUSTOMER AND DISMISSED ALL OTHER CHARGES AND ALLEGATIONS INCLUDING THAT MR. FISCHER HAD VIOLATED EXCHANGE RULE 408(2) BY EXERCISING UNAUTHORIZED DISCRETION IN A CLIENT ACCOUNT AND ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE. MR. FISCHER WAS CENSURED, BANNED FROM EMPLOYMENT OR ASSOCIATION IN ANY SUPERVISORY CAPACITY FOR ONE YEAR, AND WILL BE REQUIRED TO RETAKE AND PASS THE APPROPRIATE EXAMINATIONS BEFORE ASSUMING A MANAGEMENT OR SUPERVISORY POSITION.

Broker Statement

Not Provided



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors, LLC
Allegations:	Clients alleged FA never informed them the investments were high risk and not in line with their conservative investment objective. (2/24/2011)
Product Type:	Other: Direct Investments
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages were unspecified but believed to be more than \$5,000.
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:	07/05/2016
Complaint Pending?	No
Status:	Settled
Status Date:	10/27/2016
Settlement Amount:	\$40,350.23
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	UNAUTHORIZED TRADING; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:	
Alleged Damages:	\$2,000,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-02225

Date Notice/Process Served: 06/10/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/05/1997

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
ACTUAL/COMPENSATORY DAMAGES, 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;
OTHER COSTS, 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: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANT ALLEGES THAT FROM JUNE THRU OCT 1992
UNAUTHORIZED SECURITIES TRANSACTIONS WERE MADE FOR THEIR
ACCOUNT CAUSING LOSSES OF \$850,000 AND THAT FISCHER
GUARANTEED
REPAYMENT OF LOSSES. DAMAGES SOUGHT \$2MM

Product Type:

Alleged Damages: \$2,000,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation
Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-02225

Date Notice/Process Served: 06/10/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/05/1997



Monetary Compensation Amount: \$430,000.00

Individual Contribution Amount:

Civil Litigation Information

Court Details: SUPERIOR; SANTA BARBARA COUNTY, CA; SM94250

Date Notice/Process Served:

Litigation Pending? No

Disposition: Judgment (other than monetary)

Disposition Date:

Firm Statement THE FIRM AND THE CLAIMANT AGREED TO AMICABLE SETTLEMENT IN THE AMOUNT OF \$430,000.00 SOLELY FOR BUSINESS CONSIDERATIONS.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: UNAUTHORIZED TRADING, ACCOUNT RELATED FAILURE TO SUPERVISE, BREACH OF FIDUCIARY DUTY, ACCOUNT RELATED BREACH OF CONTRACT.

Product Type:

Alleged Damages: \$2,000,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-02225

Date Notice/Process Served: 06/10/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/05/1997

Monetary Compensation \$430,000.00

**Amount:****Individual Contribution
Amount:****Civil Litigation Information****Court Details:** SUPERIOR; SANTA BARBARA COUNTY, CA; SM94250**Date Notice/Process Served:****Litigation Pending?** No**Disposition:** Judgment (other than monetary)**Disposition Date:****Broker Statement** PARTIES SETTLED THROUGH MEDIATION IN THE AMOUNT OF \$430,000 WHICH WE HAVE BEEN INFORMED IS SOLELY FOR BUSINESS CONSIDERATION.
Not Provided**Disclosure 3 of 3****Reporting Source:** Firm**Employing firm when
activities occurred which led
to the complaint:****Allegations:** CLAIMANTS ALLEGE MISREPRESENTATION OF AND UNSUITABLE INVESTMENTS IN VALUE MERCHANTS CORPORATE BONDS. DAMAGES SOUGHT \$75,000.00**Product Type:****Alleged Damages:** \$75,000.00**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; 96-00292**Date Notice/Process Served:** 02/29/1996**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 11/06/1996**Monetary Compensation
Amount:** \$12,500.00



Individual Contribution Amount: \$0.00

Firm Statement THE FIRM SETTLED THIS MATTER WITH THE CLAIMANTS FOR \$12,500.00 SOLELY FOR BUSINESS CONSIDERATION
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANTS ALLEGE MISREPRESENTATION OF UNSUITABLE INVESTMENTS IN VALUE MERCHANTS CORPORATE BONDS DAMAGES SOUGHT ARE \$75,000.00

Product Type:

Alleged Damages: \$75,000.00

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; 96-00292

Date Notice/Process Served: 02/29/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/06/1996

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount: \$0.00

Broker Statement EVEREN SETTLED THIS MATTER WITH THE CLAIMANTS FOR \$12,500.00 SOLELY FOR BUSINESS CONSIDERATION THIS WAS A PRODUCT RELATED FAILURE, THE INVESTMENT WAS UNDERWRITTEN BY EVEREN AND IN 18 MONTHS, STOPPED PAYING INTEREST AND FILED CHAPTER 11. I WAS NOT NAMED IN THE CLAIM, BUT WAS THE BROKER OF RECORD. I ALSO WAS NOT ASKED TO CONTRIBUTE TO THE CLAIM.



End of Report

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