



IAPD Report

DAVID WILLIAM DEMMING

CRD# 854343

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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

DAVID WILLIAM DEMMING (CRD# 854343)

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 **09/03/2013**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA DEMMING FINANCIAL SERVICES CORP.	CRD# 120106	01/01/2000

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 COORDINATED CAPITAL SECURITIES, INC.	14762	AURORA, OH	01/06/2000 - 09/03/2013

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	15



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **DEMMING FINANCIAL SERVICES CORP.**
Main Address: 13 NEW HUDSON ROAD
AURORA, OH 44202
Firm ID#: 120106

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/01/2000

Branch Office Locations

DEMMING FINANCIAL SERVICES CORP.
13 NEW HUDSON RD.
AURORA, OH 44202



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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/06/2000 - 09/03/2013	COORDINATED CAPITAL SECURITIES, INC.	CRD# 14762	AURORA, OH

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
03/1987 - Present	COORDINATED CAPITAL SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	AURORA, OH, United States
03/1979 - Present	DEMMING FINANCIAL SERVICES CORP.	PRESIDENT - PRESIDENT	Y	AURORA, OH, 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.

"NAME OF BUSINESS: DEMMING FINANCIAL SERVICES, INC.
 INVESTMENT RELATED: YES
 ADDRESS: SAME AS BRANCH OFFICE
 NATURE OF BUSINESS: INDEPENDENT RIA
 POSITION/TITLE/RELATIONSHIP: REGISTERED INVESTMENT ADVISER REP
 START DATE: 9/11/1981
 # HOURS SPENT ON THIS ACTIVITY / MONTH: 160
 # HOURS SPENT ON THIS ACTIVITY DURING TRADING HOURS (IF DIFFERENT):
 DESCRIPTION OF DUTIES: MANAGES CLIENT ASSETS AND PREPARES FINANCIAL PLANS
 "

NAME OF BUSINESS: DEMMING FINANCIAL SERVICES, INC.
 INVESTMENT RELATED: YES
 ADDRESS: SAME AS BRANCH OFFICE
 NATURE OF BUSINESS: INSURANCE
 POSITION/TITLE/RELATIONSHIP: INDEPENDENT INSURANCE AGENT
 START DATE: 09/11/1981
 # HOURS SPENT ON THIS ACTIVITY / MONTH: 2
 # HOURS SPENT ON THIS ACTIVITY DURING TRADING HOURS (IF DIFFERENT):
 DESCRIPTION OF DUTIES: SELLS AND SERVICES LIFE, LONG TERM CARE AND DISABILITY INSURANCE
 NAME OF BUSINESS: DEMMING FINANCIAL SERVICES, INC.
 INVESTMENT RELATED: NO
 ADDRESS: SAME AS BRANCH OFFICE
 NATURE OF BUSINESS: MORTGAGE RELATED SERVICES
 POSITION/TITLE/RELATIONSHIP: LOAN ORIGINATOR
 START DATE: 1994
 # HOURS SPENT ON THIS ACTIVITY / MONTH: 4



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS SPENT ON THIS ACTIVITY DURING TRADING HOURS (IF DIFFERENT):
DESCRIPTION OF DUTIES: INTRODUCES CLIENTS TO MORTGAGE BROKER



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	15

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 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: LACK OF DUE DILIGENCE, INABILITY TO MEET RESPONSIBILITY AS FIDUCIARY TO KNOW INVESTMENT WAS GOING TO GO BAD AND DID NOT INFORM THE CLIENT OF POOR PERFORMANCE IN A TIMELY MANNER. COUNSEL BELIEVES THE ALLEGATIONS ARE WITHOUT MERIT.

Product Type: Other

Other Product Type(s): NOT PROVIDED

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/15/1991

Complaint Pending? No

Status: Litigation

Status Date: 07/01/1992

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 5:91CVC088



Date Notice/Process Served: 01/15/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1992

Broker Statement SETTLEMENT AMOUNT NOT DISCLOSED TO ME. IN EXCESS OF \$10,000 THE ALLEGATIONS ARE WITHOUT MERIT. THE CLIENTS WERE SUITABLE AND WERE PROVIDED WITH A PROSPECTUS PRIOR TO INVESTING WHICH DISCLOSED RISKS. PROPER REGISTRATION WAS UNCLEAR DUE TO POOR RECORDING KEEPING OF STATE OF OHIO.

Disclosure 2 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND FRAUD IN THE SALE OF INVESTMENTS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1994

Complaint Pending? No

Status: Settled

Status Date: 08/30/1994

Settlement Amount: \$58,000.00

Individual Contribution Amount:

Broker Statement THE MATTER WAS SETTLED BEFORE A FORMAL COMPLAINT WAS FILED.
Not Provided

Disclosure 3 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY & FRAUD IN THE SALE OF LIMITED PARTNERSHIP UNITS. PLAINTIFF IS ASKING FOR THE TOTAL PURCHASE PRICE OF THE SECURITIES (44970.00) AND COMPENSATORY DAMAGES.

Product Type:

Alleged Damages: \$44,970.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 95 CV 001025`

Date Notice/Process Served: 08/01/1995

Litigation Pending? No

Disposition: Settled

Disposition Date: 08/07/1996

Broker Statement ALL CLAIMS SETTLED AND DISMISSED
Not Provided

Disclosure 4 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DEMMING FINANCIAL SERVICES CORP.

Allegations: THE COMPLAINT ALLEGED THAT THE SALE OF INTERESTS IN A PARTNERSHIP TO PLAINTIFFS WERE MADE WITHOUT PROPER FILING BEING MADE TO THE OHIO DIVISION OF SECURITIES, AND THAT THE GENERAL PARTNER IMPROPERLY HANDLED AND MANAGED THE AFFAIRS AND ASSETS OF THE PARNERSHIP, AND THAT DEMMING ARRANGED FOR AND CAUSED PLAITIFFS TO INVEST AND RECEIVED A COMMISSION ON THE SALE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information



Court Details: COMMON PLEAS; CUYAHOGA COUNTY, OH; 148807

Date Notice/Process Served: 04/27/1988

Litigation Pending? No

Disposition: Settled

Disposition Date:

Broker Statement CLOSED SETTLEMENT
Not Provided

Disclosure 5 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD REGARDING THE PURCHASE OF LIMITED PARTNERSHIP OFFERINGS; CLIENT SEEKS RESCISSION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CV-92-09-3609

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/30/1993

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement CONFIDENTIAL SETTLEMENT
Not Provided

Disclosure 6 of 15



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD REGARDING THE PURCHASE OF LIMITED PARTNERSHIP OFFERINGS; CLIENT SEEKS RESCISSION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: P23585062

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/30/1993

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement CONFIDENTIAL SETTLEMENT
Not Provided

Disclosure 7 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD REGARDING THE PURCHASE OF LIMITED PARTNERSHIP OFFERINGS; CLIENT SEEKS RESCISSION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/01/1992



Complaint Pending? No
Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 240351

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/30/1993

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement CONFIDENTIAL SETTLEMENT
Not Provided

Disclosure 8 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANTS SOUGHT RESCISSION OF INVESTMENTS;
CLAIMED SECURITIES NOT PROPERLY REGISTERED IN OHIO AND THAT
SECURITIES INAPPROPRIATE FOR INVESTOR.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1991

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 214930

Date Notice/Process Served:

Litigation Pending? No



Disposition: Settled

Disposition Date: 07/01/1992

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement SETTLEMENT AMOUNT NOT DISCLOSED TO ME. IN EXCESS OF \$10,000. THE ALLEGATIONS WERE WITHOUT MERIT. THE CLIENT WAS SUITABLE AND WAS PROVIDED WITH A PROSPECTUS PRIOR TO INVESTING WHICH DISCLOSED THE RISKS. PROPER REGISTRATION WAS DIFFICULT TO PROVE WITH RECORD KEEPING FROM THE STATE OF OHIO.

Disclosure 9 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANT ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD IN THE SALE OF INVESTMENTS. THEY SOUGHT RESCISSION AND DAMAGES.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/24/1991

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 223912

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1992

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement SETTLEMENT AMOUNT NOT DISCLOSED TO ME. IN EXCESS OF \$10,000. THE ALLEGATIONS ARE WITHOUT MERIT. THE CLIENT



WAS SUITABLE AND WAS PROVIDED WITH A PROSPECTUS PRIOR TO INVESTING WHICH DISCLOSED THE RISKS.

Disclosure 10 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CLAIMANTS ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY CLAIMANTS ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD IN SALE OF INVESTMENTS SEEKING RESCISSION AND DAMAGES.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: COMMON PLEAS; 91M0001005

Date Notice/Process Served: 12/01/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1992

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement

SETTLEMENT AMOUNT NOT DISCLOSED TO ME. IN EXCESS OF \$10,000. THE ALLEGATIONS ARE WITHOUT MERIT. THE CLIENT WAS SUITABLE AND WAS PROVIDED WITH A PROSPECTUS PRIOR TO INVESTING WHICH DISCLOSED RISKS.

Disclosure 11 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, FIDUCIARY DUTY, FRAUD



REGARDING THE PURCHASE OF LIMITED PARTNERSHIP OFFERINGS

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/22/1992

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: COMMON PLEAS; 92M000760

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/30/1993

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement CONFIDENTIAL SETTLEMENT
Not Provided

Disclosure 12 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: LACK OF DUE DILIGENCE, INABILITY TO MEET RESPONSIBILITY AS FIDUCIARY TO KNOW INVESTMENT WAS GOING TO GO BAD AND DID NOT INFORM THE CLIENT OF POOR PERFORMANCE IN A TIMELY MANNER. COUNSEL BELIEVES THE ALLEGATIONS ARE WITHOUT MERIT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:



Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 5:91CVC088

Date Notice/Process Served: 01/15/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1992

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement JUST FILED
Not Provided

Disclosure 13 of 15

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF CONTRACT, NEGLIGENT MISREPRESENTATION, BREACH OF FUDUCIARY DUTY AND FRAUD IN THE SALE OF LIMITED PARTNERSHIP INTERESTS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: COMMON PLEAS; 262922

Date Notice/Process Served: 12/13/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/26/1995

Broker Statement ALL CLAIMS SETTLED AND DISMISSED WITH PREJUDICE



Not Provided

Disclosure 14 of 15**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:** BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD REGARDING THE PURCHASE OF LIMITED PARTNERSHIP INTEREST; CLIENT CLAIMS RESCISSION.**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 06/16/1992**Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution Amount:****Civil Litigation Information****Court Details:** 233678**Date Notice/Process Served:****Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 11/30/1993**Monetary Compensation Amount:** \$0.00**Individual Contribution Amount:****Broker Statement** CONFIDENTIAL SETTLEMENT
Not Provided**Disclosure 15 of 15****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:****Allegations:** CLAIMANT ALLEGED BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND FRAUD IN THE SALE OF INVESTMENTS AND SOUGHT RESCISSION AND DAMAGES.**Product Type:****Alleged Damages:**



Customer Complaint Information

Date Complaint Received: 11/01/1991

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 91M00931

Date Notice/Process Served:

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1992

Monetary Compensation Amount: \$0.00

Individual Contribution Amount:

Broker Statement

SETTLEMENT AMOUNT NOT DISCLOSED TO ME. IN EXCESS OF \$10,000. THE ALLEGATIONS ARE WITHOUT MERIT. THE CLIENT WAS SUITABLE AND HELD A LARGE, DIVERSIFIED PORTFOLIO. PROSPECTUSES WERE PROVIDED PRIOR TO INVESTING WHICH DISCLOSED THE RISKS.



End of Report

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