

BrokerCheck Report

DAVID KHEZRI

CRD# 2736831

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

DAVID KHEZRI

CRD# 2736831

Currently employed by and registered with the following Firm(s):

- B NETWORK 1 FINANCIAL SECURITIES INC.**
 1600 Expressway Drive South
 Suite 200
 Hauppauge, NY 11788
 CRD# 13577
 Registered with this firm since: 03/10/2020

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 2 Self-Regulatory Organizations
- 22 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B WORDEN CAPITAL MANAGEMENT LLC**
 CRD# 148366
 Melville, NY
 06/2017 - 03/2020
- B JOSEPH STONE CAPITAL L.L.C.**
 CRD# 159744
 HOLBROOK, NY
 07/2015 - 07/2017
- B CAPE SECURITIES INC.**
 CRD# 7072
 HOLBROOK, NY
 08/2011 - 06/2015

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Investigation	1
Customer Dispute	3



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 2 SROs and is licensed in 22 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **NETWORK 1 FINANCIAL SECURITIES INC.**

Main Office Address: **THE GALLERIA, SUITE 241
2 BRIDGE AVENUE
RED BANK, NJ 07701**

Firm CRD#: **13577**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	03/10/2020
B Nasdaq Stock Market	General Securities Representative	APPROVED	03/10/2020

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	APPROVED	05/26/2020
B Arizona	Agent	APPROVED	09/18/2020
B California	Agent	APPROVED	03/10/2020
B Connecticut	Agent	APPROVED	03/10/2020
B Georgia	Agent	APPROVED	03/10/2020
B Idaho	Agent	APPROVED	03/10/2020
B Illinois	Agent	APPROVED	03/10/2020
B Indiana	Agent	APPROVED	05/28/2020
B Iowa	Agent	APPROVED	03/16/2020
B Louisiana	Agent	APPROVED	09/23/2020
B Michigan	Agent	APPROVED	03/10/2020



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Minnesota	Agent	APPROVED	05/27/2020
B New York	Agent	APPROVED	03/10/2020
B North Carolina	Agent	APPROVED	05/29/2020
B North Dakota	Agent	APPROVED	03/10/2020
B Ohio	Agent	APPROVED	03/10/2020
B Oklahoma	Agent	APPROVED	03/10/2020
B Pennsylvania	Agent	APPROVED	06/11/2020
B South Carolina	Agent	APPROVED	03/10/2020
B Texas	Agent	APPROVED	02/03/2021
B Washington	Agent	APPROVED	07/09/2020
B Wyoming	Agent	APPROVED	03/10/2020

Branch Office Locations

NETWORK 1 FINANCIAL SECURITIES INC.

1600 Expressway Drive South
Suite 200
Hauppauge, NY 11788



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/16/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/30/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2017 - 03/2020	WORDEN CAPITAL MANAGEMENT LLC	148366	Melville, NY
B 07/2015 - 07/2017	JOSEPH STONE CAPITAL L.L.C.	159744	HOLBROOK, NY
B 08/2011 - 06/2015	CAPE SECURITIES INC.	7072	HOLBROOK, NY
B 04/2010 - 08/2011	EKN FINANCIAL SERVICES INC.	113525	MELVILLE, NY
B 02/2010 - 05/2010	ITRADEDIRECT.COM CORP	18281	FARMINGVILLE, NY
B 10/2006 - 03/2010	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	HOLBROOK, NY
B 06/2001 - 10/2006	MILESTONE FINANCIAL SERVICES, INC.	43295	BOHEMIA, NY
B 01/2001 - 07/2001	GILFORD SECURITIES INCORPORATED	8076	NEW YORK, NY
B 07/1997 - 02/2001	SEABOARD SECURITIES, INC.	755	FLORHAM PARK, NJ
B 06/1997 - 06/1997	SEABOARD SECURITIES, INC.	755	
B 04/1997 - 06/1997	H.J. MEYERS & CO., INC.	15609	ROCHESTER, NY
B 07/1996 - 04/1997	INVESTORS ASSOCIATES, INC.	958	HACKENSACK, NJ

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Network 1 Financial Securities, Inc.	Registered Representative	Y	Red Bank, NJ, United States
06/2017 - Present	WORDEN CAPITAL MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	Melville, NY, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2015 - 06/2017	JOSEPH STONE CAPITAL, LLC	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
08/2011 - 07/2015	CAPE SECURITIES INC	REGISTERED REP	Y	MCDONOUGH, GA, United States
04/2010 - 08/2011	EKN FINANCIAL SERVICES, INC	REGISTERED REPRESENTATIVE	Y	WOODBURY, NY, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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 Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	2	1	N/A
Investigation	1	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Maryland Division of Securities
Sanction(s) Sought:	Denial
Date Initiated:	06/27/2017
Docket/Case Number:	2017-0584
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Worden Capital Management, LLC
Product Type:	No Product
Allegations:	Order to Show Cause due to disciplinary history disclosed on CRD.
Current Status:	Final
Limitation Details:	Registration is denied
Resolution:	Denial



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: 07/28/2017

Sanctions Ordered: Denial
Other: Registration denied.

Reporting Source: Broker

Regulatory Action Initiated By: Maryland Division of Securities

Sanction(s) Sought: Denial

Date Initiated: 06/27/2017

Docket/Case Number: 2017-0584

Employing firm when activity occurred which led to the regulatory action: Worden Capital Management, LLC

Product Type: No Product

Allegations: Order to Show Cause due to disciplinary history disclosed on CRD.

Current Status: Final

Limitation Details: Registration is denied

Resolution: Denial

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: 07/28/2017

Sanctions Ordered: Denial
Other: Registration denied

**Broker Statement**

Due to ongoing family health issues, RR neglected to respond in a timely fashion to the Division's request for information. RR intends to reapply to the state, as they have instructed, and will provide answers to all questions asked by the Division.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 09/24/2015

Docket/Case Number: [2015044589701](#)

Employing firm when activity occurred which led to the regulatory action: Cape Securities Inc.

Product Type: Other: Unspecified securities

Allegations: Without admitting or denying the allegations, Khezri consented to the sanctions and to the entry of findings that he improperly exercised discretion by effecting approximately one-hundred trades for six customers without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by his member firm. Khezri exercised discretion by executing trades days after his customers provided him oral authority to do so. The findings stated that Khezri's firm did not permit discretionary trading except for registered investment advisors trading in the accounts of their advisory clients and Khezri was not a registered investment advisor.

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: 09/24/2015

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



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

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

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



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

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any capacity
Duration: 30 business days
Start Date: 10/19/2015
End Date: 11/30/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 10/19/2015
Was any portion of penalty waived? No

Amount Waived:



Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/24/2015
Docket/Case Number:	2015044589701
Employing firm when activity occurred which led to the regulatory action:	Cape Securities Inc.
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	Without admitting or denying the allegations, Khezri consented to the sanctions and to the entry of findings that he improperly exercised discretion by effecting approximately one-hundred trades for six customers without obtaining prior written authorization from the customers and without having the accounts accepted as discretionary by his member firm. Khezri exercised discretion by executing trades days after his customers provided him oral authority to do so. The findings stated that Khezri's firm did not permit discretionary trading except for registered investment advisors trading in the accounts of their advisory clients and Khezri was not a registered investment advisor.
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:	09/24/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES



Duration: 30 BUSINESS DAYS
Start Date: 10/19/2015
End Date: 11/30/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00

Payment Plan:
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No
Amount Waived:



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source: Regulator

Initiated By: FINRA

Notice Date: 05/26/2021

Details: FINRA Case #20200668876: On May 26, 2021, FINRA made a preliminary determination to recommend that disciplinary action be brought against David Khezri alleging violations of Securities Exchange Act of 1934 Section 10(b) and Rule 10b-5 and FINRA Rules 2020 and 2010 in that Khezri churned customers' accounts; Violation of FINRA Rules 2111 and 2010 in that Khezri excessively traded customers' accounts; Violation of FINRA Rules 2111 and 2010 in that Khezri engaged in qualitatively unsuitable trading in customers' accounts; and Violation of FINRA Rules 3260 and 2010 in that Khezri engaged in unauthorized trading by unauthorized use of margin in customers' accounts.

Is Investigation pending? Yes



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MILESTONE FINANCIAL SECURITIES, INC
Allegations:	EXCESSIVE TRADING
Product Type:	Equity - OTC
Alleged Damages:	\$49,000.00

Customer Complaint Information

Date Complaint Received:	02/07/2005
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/22/2005
Settlement Amount:	
Individual Contribution Amount:	



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CAPE SECURITIES
Allegations:	"unsuitable excessive trading and churning" FINRA Rule 2111, Federal and State Securities laws, Breach of Fiduciary Duties and Negligence, Breach of Contract, Common law fraud, Agency and Respondeat Superior
Product Type:	Equity-OTC Other: REITS
Alleged Damages:	\$187,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DR
Docket/Case #:	20-04169
Filing date of arbitration/CFTC reparation or civil litigation:	12/23/2019

Customer Complaint Information

Date Complaint Received:	01/26/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CAPE SECURITIES INC.

Allegations: Unsuitable excessive trading and churning" FINRA Rule 2111, Federal and State Securities laws, Breach of Fiduciary Duties and Negligence, Breach of Contract, Common law fraud, Agency and Respondent Superior

Product Type: Equity-OTC
Other: REITS

Alleged Damages: \$187,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 20-04169

Filing date of arbitration/CFTC reparation or civil litigation: 12/23/2020

Customer Complaint Information

Date Complaint Received: 03/15/2021

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JOSEPH STONE CAPITAL, LLC

Allegations: BREACH OF FIDUCIARY DUTY; NEGLIGENCE; FAILURE TO SUPERVISE; VICARIOUS LIABILITY;



Product Type: Equity-OTC

Alleged Damages: \$235,635.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA DISPUTE RESOLUTION

Docket/Case #: 19-03741

Date Notice/Process Served: 12/31/2019

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Joseph Stone Capital

Allegations: Breach of Fiduciary Duty, Negligence

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$235,635.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 19-03741

Date Notice/Process Served: 03/06/2020

Arbitration Pending? Yes

End of Report



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