

## BrokerCheck Report

**DANIEL RICHARD HAJDUK**

CRD# 830330

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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:
  - 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
  - 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.

Thank you for using FINRA BrokerCheck.



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**DANIEL R. HAJDUK**

CRD# 830330

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

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

### Registration History

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

- B** **COORDINATED CAPITAL SECURITIES, INC.**  
CRD# 14762  
MOUNT PROSPECT, IL  
05/1992 - 09/2022
- B** **COORDINATED CAPITAL SECURITIES, INC.**  
CRD# 14762  
04/1991 - 03/1992
- B** **STEPHENS FINANCIAL GROUP, INC.**  
CRD# 19756  
12/1989 - 03/1991

### 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	3
Investigation	1
Customer Dispute	4
Termination	1

## 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 broker is not currently registered.



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Options Principal Examination	Series 4	06/06/1990

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/28/1992
<b>B</b> AMEX Put and Call Exam	PC	05/01/1977

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	05/21/1985

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/](http://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 05/1992 - 09/2022	COORDINATED CAPITAL SECURITIES, INC.	14762	MOUNT PROSPECT, IL
B 04/1991 - 03/1992	COORDINATED CAPITAL SECURITIES, INC.	14762	
B 12/1989 - 03/1991	STEPHENS FINANCIAL GROUP, INC.	19756	
B 05/1987 - 09/1989	BLUNT ELLIS & LOEWI INCORPORATED	7580	
B 05/1981 - 05/1987	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	
B 06/1979 - 07/1983	BACON, WHIPPLE & CO., INC.	8001	
B 03/1977 - 06/1979	JOHN H. ALTORFER & CO.	6821	
B 12/1976 - 04/1977	T. RIELLY, INCORPORATED	6873	

### 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
03/1991 - Present	COORDINATED CAPITAL SECURITIES, INC.	NOT PROVIDED	Y	MOUNT PROSPECT, IL, 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:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - 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.
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4. **There are different statuses and dispositions for disclosure events:**
  - 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.
  - 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	3	0
Customer Dispute	0	4	N/A
Investigation	1	N/A	N/A
Termination	N/A	1	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 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/03/1992
<b>Docket/Case Number:</b>	C8A920083
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	08/31/1993
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,000.00



Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

COMPLAINT NO. C8A920083 (DISTRICT NO. 8) FILED DECEMBER 3, 1992 AGAINST RESPONDENT DANIEL RICHARD HAJDUK ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT HAJDUK EXECUTED SECURITIES TRANSACTIONS FOR PUBLIC CUSTOMERS WHEN HE WAS NOT EFFECTIVELY REGISTERED AS A REGISTERED REPRESENTATIVE AND WAS REQUIRED TO REQUALIFY BY EXAMINATION OR CEASE ACTING IN SUCH CAPACITY.

ON AUGUST 31, 1993, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT HAJDUK WAS ISSUED, THEREFORE, HE IS CENSURED, FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS.

PRESS RELEASE OCTOBER 1993: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS OCTOBER 18, 1993 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS NOVEMBER 12, 1993.

**\*\*\$5,000.00 PAID ON 9/16/93 INVOICE #93-8A-687\*\***

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** N.A.S.D.

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:**

**Date Initiated:** 12/03/1992

**Docket/Case Number:** C8A920083 AWC

**Employing firm when activity occurred which led to the regulatory action:** COORDINATED CAPITAL SECURITIES, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** VIOLATION OF ARTICLE III SECTION I OF THE  
RULES OF FAIR PRACTICE - ENTERING TRADES WHILE UNDER NASD  
SUSPENSION

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 08/31/1993

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$5,000 FINE AND A 20 DAY SUSPENSION EFFECTIVE  
OCT. 18,1993 THROUGH NOVEMBER 12,1993

**Broker Statement** PER C8A910030-AWC HAJDUK WAS REQUIRED TO REQUALIFY AS A  
GENERAL SECURITIES REP WITHIN 30 DAYS AFTER THE FINE WAS ISSUED.  
HAJDUK INCORRECTY THOUGHT HE HAD TO RE-QUALIFY 30 DAYS AFTER  
THE FINE WAS PAID. NASD DID NOT COPY THE BD ON NOTIFICATION SO  
THEREFORE THE BD WAS NOT AWARE THAT THE AGENT WAS  
SUSPENDED. AGENT RE-TOOK AND PASSED SERIES 7 ON 4-28-92.

**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:** 02/27/1992

**Docket/Case Number:** C8A910030

**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:** 02/27/1992

**Sanctions Ordered:** Censure  
Monetary/Fine \$15,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON FEBRUARY 27, 1992, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C8A910030 (DISTRICT NO. 8) SUBMITTED BY RESPONDENT DANIEL RICHARD HAJDUK WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$15,000, AND REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 30 DAYS OF THE DATE OF THIS AWC OR CEASE ACTING IN SUCH CAPACITY UNTIL HE HAS REQUALIFIED- (ARTICLE III, SECTIONS 1 AND 2 OF THE RULES OF FAIR PRACTICE - RESPONDENT HAJDUK RECOMMENDED AND EFFECTED SECURITIES TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING SUCH RECOMMENDATIONS WERE SUITABLE FOR THE CUSTOMER BASED UPON THE CUSTOMER'S INVESTMENT OBJECTIVE, FINANCIAL SITUATION AND NEEDS).

\*\*\*\$15,000.00 PAID ON 3/31/92 INVOICE #92-8A-252\*\*\*

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:**

**Date Initiated:** 02/27/1992

**Docket/Case Number:** C8A910030 AWC



<b>Employing firm when activity occurred which led to the regulatory action:</b>	COORDINATED CAPITAL SECURITIES, CIN.
<b>Product Type:</b>	Options
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	HAJDUK RECOMMENDED AND EFFECTED SECURITIES TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELEIVING SUCH RECOMMENDATIONS WERE SUITABLE FOR THE CUSTOMER BASED ON THE CUSTOMER'S INVESTMENT OBJECTIVES, FINANCIAL SITUATION AND NEEDS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	02/27/1992
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$15,000.00
<b>Other Sanctions Ordered:</b>	HAJDUK WAS REQUIRED TO RE-QUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 30 DAYS.
<b>Sanction Details:</b>	HAJDUK WAS REQUIRED TO RE-QUALIFY BY EXAMINATION AS A GENERAL SECURITIES REPRESENTATIVE (SERIES 7 )WITHIN 30 DAYS. HAJDUK RE-TOOK AND PASSED THE SERIES 7 ON APRIL 28, 1992.

### Disclosure 3 of 3

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	CHICAGO BOARD OF OPTION EXCHANGE
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	08/19/1979
<b>Docket/Case Number:</b>	81-0131
<b>Employing firm when activity occurred which led to the regulatory action:</b>	WOOLARD & CO.

**Product Type:****Other Product Type(s):****Allegations:****Current Status:** Final**Resolution:** Decision**Resolution Date:** 05/01/1983**Sanctions Ordered:** Suspension**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

CBOE FILE #81-0131. PROCEEDING WAS INSTITUTED BY THE EXCHANGE'S BCC AS A RESULT OF AN INVESTIGATION BY THE EXCHANGE'S STAFF, WHICH INDICATED THAT THERE WAS PROBABLE CAUSE FOR FINDING A VIOLATION WITHIN THE DISCIPLINARY JURISDICTION OF THE EXCHANGE. THE COMPLAINT ALLEGES THAT HAJDUK WAS PERMITTED TO RECOMMEND SPREADING AND RATIO WRITING TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WHICH WERE UNSUITABLE BASED UPON THE CUSTOMER'S KNOWLEDGE, EXPERIENCE AND FINANCIAL ABILITY TO BEAR THE RISKS OF THE TRANSACTIONS. HAJDUK IS THEREFORE SUSPENDED FOR 3 DAYS FROM EXCHANGE MEMBERSHIP AND ASSOCIATION WITH ANY EXCHANGE MEMBER.  
(COPY OF SUPPORTING DOCUMENT RECEIVED ON 8/13/87)

**Reporting Source:** Broker**Regulatory Action Initiated By:** CBOE**Sanction(s) Sought:** Suspension**Other Sanction(s) Sought:****Date Initiated:** 08/19/1979**Docket/Case Number:** 81-0131



**Employing firm when activity occurred which led to the regulatory action:** ALTORFER, PODESTA, WOOLARD & CO.

**Product Type:** Options

**Other Product Type(s):**

**Allegations:** HAJDUK WAS PERMITTED TO RECOMMEND SPREADING AND RATIO WRITING TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WHICH WERE UNSUITABLE.

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 05/01/1983

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** AS A RESULT OF THE INVESTIGATION, THE PRINCIPALS AND HAJDUK RECEIVED A 3-DAY SUSPENSION.



## 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

<b>Reporting Source:</b>	Broker
<b>Initiated By:</b>	FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)
<b>Notice Date:</b>	09/07/2022
<b>Details:</b>	Applicant has been advised by staff that formal action is being recommended regarding the applicant's refusal to cooperate with an order for an on the record (OTR) interview pursuant to FINRA rule 8210.
<b>Is Investigation pending?</b>	Yes





## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	ALTORFER, PODESTA, WOOLARD & COMPANY
<b>Allegations:</b>	THE COMPLAINT ALLEGES THAT HAJDUK WAS PERMITTED TO RECOMMEND SPREADING AND RATIO WRITING TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WHICH WERE UNSUITABLE BASED ON THE CUSTOMER'S KNOWLEDGE, EXPERIENCE AND FINANCIAL ABILITY TO BEAR THE RISKS OF THE MARKET.
<b>Product Type:</b>	Options
<b>Alleged Damages:</b>	\$25,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/19/1979
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/01/1983
<b>Settlement Amount:</b>	\$25,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	STIFEL NICOLAUS & COMPANY, INC.
<b>Allegations:</b>	
<b>Product Type:</b>	
<b>Alleged Damages:</b>	

### Customer Complaint Information



**Date Complaint Received:** 04/24/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

HAJDUK IS CURRENTLY THE SUBJECT OF A CUSTOMER COMPLAINT INVOLVING OPTION AND EQUITY TRANSACTIONS CLAIMING UNSUITABILITY AND/OR UNAUTHORIZED TRADING RESULTING IN LOSSES OVER \$10,000. DUE TO A MISUNDERSTANDING BETWEEN THE REGISTRATION DEPARTMENT AND THE COMPLAINT DEPARTMENT, ONE OF THE COMPLAINTS WAS OMITTED ON HIS ORIGINAL U5 TERMINATION NOTICE SUBMITTED ON 4/30/87. THE REMAINING COMPLAINTS WERE RECEIVED AFTER HAJDUK'S TERMINATION. CONTACT [CONTACT PERSON] AT (314) 342-2277. [CUSTOMER] ALLEGED CHURNING AND SPECULATIVE TRADING DESPITE THE FINANCIAL POSITION AND REPEATED REQUESTS FOR SAFE INVESTMENTS. THE COMPLAINT WAS ORIGINALLY MADE IN A VERBAL INQUIRY IN FEBRUARY 1987. A WRITTEN COMPLAINT DATED APRIL 24, 1987 WAS SUBSEQUENTLY RECEIVED. THERE WAS NO STATEMENT OF AN EXACT FIGURE FOR ALLEGED DAMAGES IN THE WRITTEN COMPLAINT.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STIFEL NICOLAUS & COMPANY, INC.

**Allegations:** CLIENT COMPLAINED OF SPECULATIVE AND UNSUITABLE TRADING.

**Product Type:** Other

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 04/24/1987



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	12/01/1987
<b>Settlement Amount:</b>	\$10,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	SETTLEMENT WAS MADY BY STIFEL NICOLAUS. TERMS WERE NOT DISCLOSED.

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	BLUNT ELLIS & LOEWI
<b>Allegations:</b>	CUSTOMER CLAIMS THAT THEIR PURCHASE OF RESIDENTIAL RESOURCES MORTGAGE INVESTMENTS CORPORATION COMMON STOCK WAS UNSUITABLE FOR THEM. CUSTOMER SEEKS \$22,000.00 IN DAMAGES. THIS WAS THE PURCHASE PRICE.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$22,000.00

#### Customer Complaint Information

<b>Date Complaint Received:</b>	06/14/1989
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	06/01/1990
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	\$0.00

#### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-01436
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**Date Notice/Process Served:** 06/14/1989

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/01/1990

**Broker Statement** BLUNT ELLIS & LOEWI SETTLED THE COMPLAINT DIRECTLY WITH THE [CUSTOMERS] AND THE SETTLEMENT TERMS ARE UNKNOWN. BLUNT ELLIS WAS PART OF THE UNDERWRITING AND THEY ACTED DIRECTLY WITH ANY CLIENT, COMPLAINING OF DUE DILIGENCE PROBLEMS CONCERNING THE RESIDENTIAL RESOURCES UNDERWRITING.

#### Disclosure 4 of 4

**Reporting Source:** Firm

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

**Allegations:** BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD; DAMAGES CLAIMED \$113,607.85.

**Product Type:**

**Alleged Damages:** \$113,607.85

#### 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.; 91-00664

**Date Notice/Process Served:** 06/14/1989

**Arbitration Pending?** No



**Disposition:** Settled  
**Disposition Date:** 05/14/1992  
**Monetary Compensation Amount:** \$36,250.00  
**Individual Contribution Amount:** \$1,250.00  
**Firm Statement** FIRM PAYED CLAIMANT \$36,250.00. HAJDUK TO PAY CLAIMANT \$1,250.00  
 Not Provided

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** BLUNT ELLIS & LOEWI  
**Allegations:** CUSTOMER COMPLAINT ALLEGING UNSUITABLE TRANSACTIONS.  
**Product Type:** Other  
**Alleged Damages:** \$113,607.85

### Customer Complaint Information

**Date Complaint Received:** 03/01/1989  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 05/14/1992  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-00664  
**Date Notice/Process Served:** 06/14/1989  
**Arbitration Pending?** No



<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	05/14/1992
<b>Monetary Compensation Amount:</b>	\$36,250.00
<b>Individual Contribution Amount:</b>	\$1,250.00



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	STIFEL, NICOLAUS & COMPANY, INCORPORATED
<b>Termination Type:</b>	Permitted to Resign
<b>Termination Date:</b>	04/01/1987
<b>Allegations:</b>	U-5 NOTICE STATED THAT WHILE EMPLOYED WITH THE FIRM, HAJDUK DEPOSITED PERSONAL FUNDS INTO THE ACCOUNT OF DONALD AND CAROL RITTENHOUSE (THE ACCOUNT REFLECTED AN UNSECURED BALANCE)
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	NASD CLOSED THE MATTER WITHOUT ACTION ON JULY 10, 1989

## End of Report



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