

2002 NASD Disciplinary Actions														
INDIVIDUALS														
Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Dec.	2002	nj					1							1
Dec.	2002	nj	1	10	1	0.5					1			
Dec.	2002	ny	1	10	1	9		1						
Dec.	2002	ca	1	5	1	6					1			
Dec.	2002	fl					1						1	
Dec.	2002	ny	1	45	1	1.5				1				
Dec.	2002	nj					1					1		
Dec.	2002	fl					1						1	
Dec.	2002	pa					1						1	
Dec.	2002	ca	1	5.7	1	0.33							1	
Dec.	2002	Mass	1	75	1	0.5							1	
Dec.	2002	ca			1	0.666		1						
Dec.	2002	nj					1					1		
Dec.	2002	az					1					1		
Dec.	2002	ca	1	5	1	0.5		1						
Dec.	2002	ny	1	5	1	1		1						
Dec.	2002	mi	1	5	1	3				1				
Dec.	2002	mary					1	1						
Dec.	2002	fl	1	5	1	1		1						
Dec.	2002	Ill	1	15	1	6							1	
Dec.	2002	Fl					1				1			
Dec.	2002	Tx	1	10	1	6							1	
Dec.	2002	tx	1	10	1	6							1	
Dec.	2002	ga					1					1		
Dec.	2002	ny	1	5	1	0.5				1				
Dec.	2002	Wva					1					1		
Dec.	2002	ny					1			1				
Dec.	2002	ny					1						1	
Dec.	2002	nj					1					1		
Dec.	2002	nj	1	7.5	1	6				1			1	
Dec.	2002	Wics					1					1		1
Dec.	2002	Haw					1					1		
Dec.	2002	Conn					1							1
Dec.	2002	nj					1					1		
Dec.	2002	UK	1	5	1	1								1
Dec.	2002	Tx					1				1			1
Dec.	2002	nj					1					1		
Dec.	2002	ny			1	0.3					1			
Dec.	2002	ny	1	10	1	0.3				1				
Dec.	2002	Minn					1					1		
Dec.	2002	nj					1					1		
Dec.	2002	Oh					1				1			
Dec.	2002	nj	1	5	1	6							1	
Dec.	2002	ky	1	5	1	0.3		1						
Dec.	2002	Oh	1	42	1	6							1	
Dec.	2002	Nj					1							1
Dec.	2002	ny					1				1			1
Dec.	2002	MAss	1	2.5	1	0.6		1						
Dec.	2002	Ill	1	15	1	12		1		1				
Dec.	2002	Wisc					1					1		1
Dec.	2002	ny	1	10	1	12		1				1		

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Month	Year	State	Types of Punishment						Types of Violations					
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Dec.	2002	nj					1		1		1			
Dec.	2002	Oh			1	3						1		
Dec.	2002	Ca	1	2.5	1	0.3				1				
Dec.	2002	ny					1							1
TOTAL			55	24	\$13,133.33	27	3.34	26	11	13	17	10	7	5
Nov	2002	FL	1	10	1	6						1		
Nov	2002	ny	1	5	1	3					1			
Nov	2002	Ill	1	2.5	1	9				1				
Nov	2002	Mi	1	5	1	1				1				
Nov	2002	Ind					1				1			
Nov	2002	ca					1				1			
Nov	2002	Col	1	15	1	12		1		1				1
Nov	2002	ill	1	43			1			1		1		
Nov	2002	Ca					1				1		1	
Nov	2002	Miss	1	5	1	2		1				1		
Nov	2002	Ill	1	2.5	1	12					1			
Nov	2002	ny			1	12						1		
Nov	2002	Ca					1	1						
Nov	2002	ny					1	1		1				
Nov	2002	Mich	1	5	1	6		1						
Nov	2002	Oh					1				1			
Nov	2002	ny	1	10	1	18		1		1	1			
Nov	2002	ny	1	5	1	6				1				
Nov	2002	ny	1	25	1	12		1		1				
Nov	2002	mass					1	1		1				
Nov	2002	Mass					1			1				
Nov	2002	fl					1	1		1				
Nov	2002	ca	1	5	1	3		1						
Nov	2002	Tx	1	10	1	18				1				1
Nov	2002	NC	1	10	1	0.6				1				
Nov	2002	nj	1	25	1	12					1			
Nov	2002	Tx	1	5	1	1						1		
Nov	2002	Missouri			1	1				1				
Nov	2002	Mass	1	15	1	1		1		1		1		
Nov	2002	Pa					1					1		
Nov	2002	Ala			1	12					1			
Nov	2002	nj	1	10	1	6		1						
Nov	2002	ny	1	10	1	1		1						
Nov	2002	Tx					1	1			1			
Nov	2002	nj					1					1		
Nov	2002	nj			1	24						1		
Nov	2002	ca	1	5	1	0.3				1				
Nov	2002	ny	1	5	1	12							1	
Nov	2002	fl					1				1			
Nov	2002	Tx					1			1		1		1
Nov	2002	tx	1	5	1	0.5					1			
Nov	2002	ca	1	5	1	1				1				
Nov	2002	nj	1	5	1	2		1						
Nov	2002	Tenn					1				1			
Nov	2002	Ill					1				1			1

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Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Nov	2002	fl	1	45	1	9				1				
Nov	2002	Miss					1			1			1	
Nov	2002	ny			1	12				1				
Nov	2002	Nev	1	5	1	2						1		
Nov	2002	ny					1				1		1	
Nov	2002	Kan					1			1				
Nov	2002	pa	1	5	1	4						1		
Nov	2002	pa					1			1				
Nov	2002	Wash	1	10	1	1		1						
Nov	2002	ny	1	10	1	6				1		1		
Nov	2002	ny	1	15	1	1						1		
Nov	2002	OH	1	25	1	24				1				
Nov	2002	ny					1				1			
Nov	2002	ca	1	5	1	24				1				
Nov	2002	Ind					1	1					1	
Nov	2002	nj					1				1			
Nov	2002	ca	1	5	1	1				1				
Nov	2002	ca	1	5	1	0.66								
TOTAL			63	35	10800	39	7.16	24	17	27	21	11	7	2
Oct	2002	pa	1	5	1	0.333				1		1		
Oct	2002	Ill			1	6								1
Oct	2002	Ga	1	5	1	6				1		1		
Oct	2002	Az					1					1		
Oct	2002	ny			1	9				1		1		
Oct	2002	tx	1	7.5	1	24		1						
Oct	2002	Ill					1					1		1
Oct	2002	Fl					1	1		1		1		1
Oct	2002	ny					1			1		1		
Oct	2002	mary					1							1
Oct	2002	NJ					1	1		1		1		1
Oct	2002	tx					1						1	1
Oct	2002	ny					1				1			
Oct	2002	ny	1	5	1	6				1				
Oct	2002	ca					1	1						1
Oct	2002	ark	1	5	1	0.15						1		
Oct	2002	fl					1	1						1
Oct	2002	fl					1				1			
Oct	2002	ca	1	25	1	1		1						
Oct	2002	oh					1				1			1
Oct	2002	fl	1	5	1	1		1						
Oct	2002	Wash					1				1			
Oct	2002	ny					1			1		1		1
Oct	2002	mary					1			1				1
Oct	2002	fl	1	21.5			1			1			1	
Oct	2002	pa	1	2.5	1	0.333		1		1		1		
Oct	2002	oh					1					1		
Oct	2002	nev	1	10	1	9				1				
Oct	2002	mich					1			1				
Oct	2002	Ala					1	1			1			1
Oct	2002	tx	1	2.5	1	1				1				

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Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Oct	2002	Oreg					1			1		1		
Oct	2002	mass					1			1				
Oct	2002	ca					1	1				1		
Oct	2002	mass					1			1				
Oct	2002	pa	1	2.5	1	0.333				1		1		
Oct	2002	Ca					1			1				
Oct	2002	Pa			1	3						1		
Oct	2002	Oh					1			1				
Oct	2002	ca	1	50			1			1		1		
Oct	2002	tx			1	0.5		1						
Oct	2002	ny	1	20	1	8		1		1				
Oct	2002	nj	1	5	1	0.333						1		
Oct	2002	mass	1	5	1	3				1				
Oct	2002	fl					1						1	
Oct	2002	tn					1					1		
Oct	2002	Ill					1			1		1		
Oct	2002	ny	1	2.5	1	0.333					1			
Oct	2002	ny					1	1						
Oct	2002	pa					1					1	1	
Oct	2002	ca					1			1				
Oct	2002	fl	1	10	1	12							1	
Oct	2002	Del					1				1			
Oct	2002	fl					1			1				
Oct	2002	ca					1			1			1	
Oct	2002	ill	1	5	1	0.166					1			
Oct	2002	az	1	25	1	6				1				
Oct	2002	minn					1				1			
Oct	2002	ill	1	5				1						
Oct	2002	ill	1	2.5	1	0.5				1				
Oct	2002	mich					1	1		1		1		
Oct	2002	Oct	1	12.5				1						
TOTAL			62	23	\$10,391.30	23	4.26	37	16	30	28	12	17	0
Sept.	2002	ill	1	15						1				
Sept.	2002	mary						1					1	
Sept.	2002	fl	1	2	1	12						1		
Sept.	2002	ny	1	5	1	2				1				
Sept.	2002	ny	1	17.5	1	6		1		1				
Sept.	2002	tx	1	5	1	6					1			
Sept.	2002	ca	1	5	1	2					1			
Sept.	2002	oh	1	10	1	1						1		
Sept.	2002	nj			1			1		1				
Sept.	2002	Miss	1	5	1	3		1						
Sept.	2002	fl					1	1						
Sept.	2002	La					1	1						
Sept.	2002	Tx	1	15	1	0.5				1				
Sept.	2002	Wash					1	1				1		
Sept.	2002	NC	1	7.5	1	2		1						
Sept.	2002	Cal	1	30	1	24				1				
Sept.	2002	Ala			1	1					1			
Sept.	2002	nj						1	1					

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			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other		
Sept.	2002	Ga	1	30	1	0.5		1	1						
Sept.	2002	Az	1	45	1	9						1			
Sept.	2002	ny	1	27.5	1	24		1	1						
Sept.	2002	Ill	1	5	1	6			1						
Sept.	2002	Fl					1					1	1		
Sept.	2002	ny	1	15	1	3		1	1						
Sept.	2002	ny	1	25	1	1		1	1						
Sept.	2002	Ind					1			1				1	
Sept.	2002	Miss					1			1		1			
Sept.	2002	Ill	1	5	1	0.333				1					
Sept.	2002	Missouri					1			1		1		1	
Sept.	2002	tx	1	7.5	1	2		1							
Sept.	2002	Fl					1					1			
Sept.	2002	ny			1	3						1			
Sept.	2002	Nev	1	116	1	6						1			
Sept.	2002	ny	1	2.5	1	9				1					
Sept.	2002	fl					1					1		1	
Sept.	2002	fl	1	5	1	0.5		1							
Sept.	2002	oh						1				1		1	
Sept.	2002	fl	1	37								1			
Sept.	2002	ny						1			1	1		1	
Sept.	2002	ny	1	7.5	1	4				1					
Sept.	2002	CT					1					1			
Sept.	2002	Ark	1	7.5	1	4				1				1	
Sept.	2002	La					1					1			
TOTAL			43	25	18100	25	5.27	16	13	19	11	9	7	0	
Aug	2002	ca						1			1				
Aug	2002	fl	1	3.5		0.166			1		1				
Aug	2002	NC						1				1			
Aug	2002	mich				0.75								1	
Aug	2002	ca						1			1	1			
Aug	2002	ca						1			1				
Aug	2002	CA	1	30		12								1	
Aug	2002	wa						1				1			
Aug	2002	Tn						1				1			
Aug	2002	nc						1				1			
Aug	2002	fl	1	5		3			1		1				
Aug	2002	Color						1			1				
Aug	2002	ca						1					1		
Aug	2002	Mass						1			1	1	1		
Aug	2002	ny						1				1			
Aug	2002	ny						1	1						
Aug	2002	pa						1				1		1	
Aug	2002	ca	1	7.5		3			1			1			
Aug	2002	ca	1	10				1	1						
Aug	2002	nj	1	5		12			1						
Aug	2002	Ut						1				1			
Aug	2002	ny					4					1			
Aug	2002	Va						1	1			1			
Aug	2002	La						1				1			

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Month	Year	State	Types of Punishment						Types of Violations					
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Aug	2002	Ca	1	5		0.1666				1				
Aug	2002	Fl				18			1					
Aug	2002	Wa	1	25						1				
Aug	2002	ND				9							1	
Aug	2002	nj	1	20		12							1	
Aug	2002	Mich						1			1			
Aug	2002	Ill	1	96				1				1		1
Aug	2002	Mich						1			1		1	
Aug	2002	ny	1	7.5		0.67						1		
Aug	2002	nj	1	5		6							1	
Aug	2002	Tenn						1				1	1	
Aug	2002	Ca						1				1		
Aug	2002	NC	1	30		3			1					
Aug	2002	Neb						1						
Aug	2002	Ut				36						1		
Aug	2002	Wash						1	1		1			
Aug	2002	ny	1	5.2		0.333			1					
Aug	2002	Ind	1	5		3							1	
Aug	2002	Ca	1	9.1		0.333							1	
TOTAL			43	16	16800	19	6.55	24	11	13	19	9	4	0
July	2002	ny				1			1					
July	2002	La						1				1		
July	2002	Pa	1	10		2							1	
July	2002	Fl	1	7.5		6			1					
July	2002	ny	1	15		24			1					
July	2002	mich						1			1			1
July	2002	tx						1			1			1
July	2002	ca	1	10		6							1	
July	2002	fl	1	10		8							1	
July	2002	ny						1			1			
July	2002	fl	1	15		0.333								1
July	2002	Neb	1	5		0.3333						1		
July	2002	fl	1	5		1								1
July	2002	Pa						1				1		1
July	2002	fl	1	5		0.333								1
July	2002	nj	1	7.5		0.333						1		
July	2002	Ind	1	31.6		12							1	
July	2002	nj	1	25		24			1		1			
July	2002	fl				8							1	
July	2002	Ga	1	5		1							1	
July	2002	ny	1	5		1								1
July	2002	nj	1	5		1						1		
July	2002	ny	1	82.5		6					1			
July	2002	ny						1			1			1
July	2002	Tenn						1				1		1
July	2002	ny	1	222				1	1		1			
July	2002	Tx	1	5		6					1			
July	2002	Ill						1	1				1	1
July	2002	RI	1	5		1							1	
July	2002	Az						1			1			

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Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
July	2002	SC					1					1		
July	2002	fl	1	5		12				1				
July	2002	nj					1				1			1
July	2002	Ill					1			1				1
July	2002	ny	1	17			1					1		1
July	2002	mich					1				1			
July	2002	ny					1	1		1		1		
July	2002	Ohio	1	10		12				1				
July	2002	Nev					1	1						
July	2002	nj					1							1
July	2002	Fl	1	56			1	1		1				
July	2002	nj					1				1			
July	2002	Ill	1	10			1					1		
July	2002	Ill	1	5		0.3333							1	
July	2002	ky					1						1	
July	2002	ny	1	2.5		3							1	
July	2002	mich	1	2.5		1								1
July	2002	nj	1	25		12		1		1				
July	2002	ny	1	25		1		1		1				
July	2002	ny	1	15		0.67		1						
July	2002	nc					1						1	
July	2002	ny					1				1			
July	2002	ut				0.33		1						
July	2002	fl	1	5		1		1						
July	2002	Ohio	1	90		12						1		
July	2002	ny	1	10		1		1		1				
July	2002	fl	1	15		36								1
July	2002	ny					1					1		1
July	2002	ca	1	10		6				1				1
July	2002	Ohio					1			1				1
July	2002	Mich					1			1				
July	2002	La	1	10		1		1			1			
July	2002	Fl					1				1			
July	2002	Az	1	34		24						1		
July	2002	Okla	1	5		0.166						1		
July	2002	Fl	1	15		9						1		
July	2002	Ca	1	12.9		2						1		
July	2002	Tx	1	2.5		6								1
July	2002	La	1	10		12						1		
TOTAL			69	42	\$20,678.57	42	6.26	27	16	20	16	24	14	6
June	2002	La	1	80		24						1		
June	2002	ny					1				1			
June	2002	nj	1	15		24						1		
June	2002	nj				3						1		
June	2002	Wisc					1			1				
June	2002	ny				24		1		1				
June	2002	Fl					1			1				
June	2002	Wva					1				1			
June	2002	Ill					1			1		1		
June	2002	Ind					1							1

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			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
June	2002	ny	1	30			1			1	1			
June	2002	ny					1			1	1			
June	2002	Ar					1				1			
June	2002	oh	1	5		6						1		
June	2002	Fl	1	5		0.333				1				
June	2002	ny				3						1		
June	2002	ca	1	3.6		0.333					1			
June	2002	Tx	1	5		1					1			
June	2002	OH	1	5		1						1		
June	2002	Color						1			1			
June	2002	Fl				6								1
June	2002	Wisc	1	27		6						1		
June	2002	Oreg	1	15		1.3			1		1			
June	2002	nj						1			1			1
June	2002	NH	1	5		0.3333					1			
June	2002	Pa						1						1
June	2002	Az				18						1		
June	2002	Missouri				6					1			
June	2002	Mass						1						1
June	2002	Conn	1	2.5		1				1				1
June	2002	Fl	1	20				1	1	1				
June	2002	Oh	1	10				1		1	1			1
June	2002	NM	1	7		12				1				
June	2002	NC						1		1	1			
June	2002	Az	1	5.3		0.333					1			
June	2002	ny	1	10		12								1
June	2002	Missouri	1	5		6						1		
June	2002	ny	1	7.5		12					1			
June	2002	Mass				1						1		
June	2002	ny	1	8.2				1	1	1				
June	2002	Wash						1				1		
June	2002	La	1	5		4				1				
June	2002	nj				18				1	1			
June	2002	Tn	1	15		0.333			1	1				
June	2002	Ala	1	5		0.333				1				
June	2002	Fl						1						1
June	2002	ny						1			1			
June	2002	Minn	1	2.5		0.333			1			1		
June	2002	Ca				3				1				
TOTAL			49	24	\$12,441.67	29	6.71	20	6	18	18	13	9	0
May	2002	Pa	1	5		6				1				
May	2002	nj	1	5		6				1				
May	2002	Tx	1	5		6				1				
May	2002	Fl						1		1	1			
May	2002	nj	1	5		2						1		
May	2002	fl						1				1		
May	2002	nj	1	5		1						1		
May	2002	ny	1	5		0.333			1					
May	2002	Va	1	5		3				1				
May	2002	Sc						1			1			

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Month	Year	State	Types of Punishment						Types of Violations					
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
May	2002	ny	1	2.5			1							1
May	2002	ny	1	5.6			6		1		1			
May	2002	ny						1	1		1			
May	2002	oh						1					1	
May	2002	Fl	1	2.5			1					1		
May	2002	Ca					0.333		1					1
May	2002	nj	1	5			1			1				
May	2002	Ga	1	5			1			1				
May	2002	Mass	1	96				1					1	
May	2002	Tx	1	5			2						1	
May	2002	nj	1	9.6			12			1				
May	2002	Mich	1	6.1									1	
May	2002	ca						1				1		
May	2002	Ga	1	3			6						1	
May	2002	ny						1	1		1			
May	2002	fl	1	10			3				1			
May	2002	fl	1	5			0.333					1		
May	2002	Conn	1	6			6						1	
May	2002	fl						1				1		
May	2002	nj	1	0.6				1				1		
May	2002	Wisc	1	5			18						1	
May	2002	Ca	1	191.6				1				1	1	
May	2002	Ca						1			1			
May	2002	Ca	1	25			0.4		1					
May	2002	ny	1	30			24			1		1		1
May	2002	nj	1	10			6		1					
May	2002	fl	1	5			0.333					1		
May	2002	ny	1	5			12			1				
May	2002	nj	1	25			24						1	
May	2002	nj						1			1			
May	2002	ca	1	2.5			3				1			
May	2002	Mich	1	6.3			1		1				1	
May	2002	ca						1					1	
May	2002	ny						1						1
May	2002	Utah	1	12.5			18				1			
May	2002	Ca	1	2.5			3			1				
May	2002	Fl	1	47			24						1	
May	2002	Az						1					1	
May	2002	Miss						1				1		
May	2002	Ca						1				1		
May	2002	ny	1	5			0.1666		1					
May	2002	ny	1	5			1		1					
May	2002	Wva						1			1			
May	2002	Ca	1	5			0.1666				1			
May	2002	Colo						1			1			
May	2002	Ind	1	2.5			0.333				1			
May	2002	ny	1	10			0.5		1					
May	2002	Ky	1	10			6						1	
May	2002	Ill						1				1		
May	2002	Okla						1			1			1
May	2002	ny						1		1				

2002 NASD Disciplinary Actions															
INDIVIDUALS															
Month	Year	State	Types of Punishment					Types of Violations							
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other		
May	2002	La	1	10			12				1				
May	2002	Az						1			1			1	
May	2002	nj	1	20				1			1			1	
May	2002	Ca						1			1			1	
May	2002	Colo					24				1				
May	2002	Wash											1		
May	2002	Ill						1					1	1	
May	2002	Ore						1	1			1			
May	2002	ny	1	10							1				
May	2002	Utah	1	25					1						
TOTAL			71	44	\$15,154.55		39	6.20	28	13	32	14	20	8	2
April	2002	nj					2								
April	2002	Color	1	10				1					1	1	
April	2002	Cal	1	5				1			1				
April	2002	Ga	1	2.5			0.1666		1						1
April	2002	Ga						1				1			
April	2002	Ind	1	2			24					1			
April	2002	ny	1	5			6		1		1				
April	2002	tx						1			1				
April	2002	ny	1	5			2						1		
April	2002	Ind						1					1		
April	2002	Ore					3					1			
April	2002	Miss						1			1	1		1	
April	2002	ny	1	5			0.833								1
April	2002	Iowa	1	2.5			0.333		1						
April	2002	ny						1					1		
April	2002	Cal						1			1				
April	2002	nj	1	5			18						1		
April	2002	Cal	1	7.5			3		1						
April	2002	Miss	1	15			3		1		1				
April	2002	cal	1	5			1						1		
April	2002	ny						1				1			
April	2002	missour	1	5			24						1		
April	2002	RI	1	75				1					1		
April	2002	cal	1	147			12						1		
April	2002	Missouri						1			1	1			
April	2002	La					4						1		
April	2002	Fl	1	25			24		1		1		1		
April	2002	ny	1	18			2						1		
April	2002	Fl	1	5			3				1				
April	2002	Miss						1				1			
April	2002	Pa	1	30			2		1						
April	2002	Conn						1				1			
April	2002	Wash	1	5			0.5		1						
April	2002	Wash	1	5			0.5					1			
April	2002	ny						1			1				
April	2002	nj	1	2.5			12				1				
April	2002	Ohio						1					1		
April	2002	ny					3		1		1				
April	2002	nj						1			1	1			

2002 NASD Disciplinary Actions														
INDIVIDUALS														
Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
April	2002	ny					1			1			1	
April	2002	nj	1	5		3						1		
April	2002	nj	1	5		3						1		
April	2002	ny					1	1		1				1
April	2002	cal	1	10		0.333		1				1		
April	2002	ny				9						1		
April	2002	ny	1	11.25				1						
April	2002	cal	1	10						1				
TOTAL			45	27	\$15,861.11	27	6.14	18	12	16	10	17	4	2
March	2002	FL	1	40		24					1		1	
March	2002	Fl	1	5				1			1			
March	2002	nj					1	1		1			1	
March	2002	Tx	1	15		18		1			1			1
March	2002	nj				1						1		
March	2002	nj	1	54			1					1		
March	2002	Fl					1						1	
March	2002	NC					1				1			
March	2002	nj				12				1				1
March	2002	nj	1	27		6					1			
March	2002	Az	1	10		12				1				
March	2002	ny	1	7.6		0.666					1			
March	2002	ny	1	25		6						1		
March	2002	ill				0.5					1			
March	2002	tx	1	5		6				1				
March	2002	Az					1	1		1				
March	2002	ny	1	10		1		1						
March	2002	Wva	1	80		6						1		
March	2002	Ill	1	50			1					1		
March	2002	ind	1	2.5		18					1			
March	2002	Ga	1	90		12				1				
March	2002	pa	1	5		1				1				
March	2002	nj					1	1						
March	2002	ca	1	5			1				1			
March	2002	nj	1	5		0.1666		1						
March	2002	Ut	1	5		0.333				1				
March	2002	oh	1	5		1						1		
March	2002	Ill					1			1			1	
March	2002	Fl					1				1			
March	2002	Az	1	10		1		1						
March	2002	minn					1			1			1	
March	2002	conn	1	5		3				1				
March	2002	nj					1					1		
March	2002	nj	1	5		12				1				
March	2002	NC					1				1			
TOTAL			35	22	\$21,186.36	21	6.75	14	7	12	11	7	5	2
Feb	2002	ny	1	5		3				1				
Feb	2002	ny						1		1				
Feb	2002	nj	1	5		15						1		
Feb	2002	RI				3		1						

2002 NASD Disciplinary Actions														
INDIVIDUALS														
Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Feb	2002	Tx					1					1	1	
Feb	2002	NY					1						1	
Feb	2002	ny	1	5		3				1				
Feb	2002	PA					1		1					1
Feb	2002	nj					1		1		1			
Feb	2002	Ca	1	7.5		0.333			1		1			
Feb	2002	NC				5							1	
Feb	2002	NY					1				1			
Feb	2002	ill	1	10		0.333							1	
Feb	2002	Wash					1		1					
Feb	2002	Pa	1	64			1						1	
Feb	2002	Conn	1	2.5		0.1666								1
Feb	2002	Ca					6				1			
Feb	2002	Ca	1	11.7			1		1					
Feb	2002	Ca					1				1			
Feb	2002	ny	1	2.5		0.166				1				
Feb	2002	fl					1						1	
Feb	2002	nc					1				1			
Feb	2002	Tx	1	10		2				1				
Feb	2002	Tx					1					1		
Feb	2002	NC					1						1	
Feb	2002	Ill	1	5		0.333				1				
Feb	2002	Ca					1				1			
Feb	2002	Puerto Rico					1							1
Feb	2002	fl					1			1			1	
Feb	2002	Wva	1	5		24							1	
Feb	2002	Ca				24					1			
Feb	2002	Tx					1			1		1		
Feb	2002	Tx	1	10		6			1					
Feb	2002	NY	1	484			1				1	1		
Feb	2002	nj					1		1			1		
Feb	2002	Pa					1					1	1	
Feb	2002	FL	1	300			1		1		1			
Feb	2002	FL	1	250			1		1		1			
Feb	2002	Okla	1	10		6						1	1	
Feb	2002	Pa	1	356			1				1			
Feb	2002	ky	1	5		2							1	
Feb	2002	Oh	1	14.5		1				1				
Feb	2002	Colo	1	32			1						1	
Feb	2002	Ill	1	5		6				1				
Feb	2002	Ohio	1	5		6							1	
Feb	2002	Ind					1						1	1
Feb	2002	Ala	1	20		12			1		1			
Feb	2002	Cal					1			1		1		
Feb	2002	ca					1			1			1	
Feb	2002	ny	1	7.5		2					1			
Feb	2002	fl	1	25		3				1				
Feb	2002	Fl	1	10		24				1		1		
Feb	2002	NC					1					1		
Feb	2002	Ill	1	2.5		0.333							1	
Feb	2002	Tx	1	10		1				1				

2002 NASD Disciplinary Actions														
INDIVIDUALS														
Month	Year	State	Types of Punishment						Types of Violations					
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Feb	2002	ny	1	6.5			6				1			
Feb	2002	Ca	1	10			1				1			
Feb	2002	Pa	1	20				1	1		1			
Feb	2002	Oh	1	5			6			1				
TOTAL			59	33	\$52,157.58	29	5.82	30	12	21	18	18	7	2
Jan.	2002	ca						1		1	1			
Jan.	2002	oh						1				1		
Jan.	2002	Pa						1					1	
Jan.	2002	fl						1				1	1	
Jan.	2002	NC					24					1		
Jan.	2002	Iowa						1		1				
Jan.	2002	Mississippi					12				1			
Jan.	2002	ny						1		1	1		1	
Jan.	2002	Pa	1	2.5			0.3333			1				
Jan.	2002	NC					0.333			1				
Jan.	2002	nj	1	7.5			1					1		
Jan.	2002	Tx	1	5			6			1				
Jan.	2002	Iowa	1	2.5			0.333				1			
Jan.	2002	Ill	1	5.5			4					1		
Jan.	2002	Mary						1			1			
Jan.	2002	nj	1	5			1				1			
Jan.	2002	ny						1	1					1
Jan.	2002	nj						1						1
Jan.	2002	fl	1	7.5			1.5				1			1
Jan.	2002	NC	1	5			2					1		
Jan.	2002	nj	1	10			12					1		
Jan.	2002	Tx						1		1				1
Jan.	2002	Tx						1		1	1			
Jan.	2002	Pa	1	7.5			1			1				
Jan.	2002	Az	1	15			1			1				
Jan.	2002	Ca						1						1
Jan.	2002	Tenn						1				1		
Jan.	2002	Ohio						1			1		1	
Jan.	2002	Fl						1		1				1
Jan.	2002	ca	1	10			6					1		
Jan.	2002	Mass	1	2.5			3			1				
Jan.	2002	Tx	1	7.5			9			1				
Jan.	2002	Mass						1				1	1	
Jan.	2002	ny	1	13			3		1	1				
Jan.	2002	fl						1						1
Jan.	2002	Pa	1	5			6			1				
Jan.	2002	Ind	1	5			6			1				
Jan.	2002	Tx	1	8.7			0.666						1	
Jan.	2002	ny	1	7.5			0.1666				1			
Jan.	2002	ny	1	10			24			1				
Jan.	2002	ny	1	25			2		1	1				
Jan.	2002	Ca						1				1	1	
Jan.	2002	Vt						1			1			
Jan.	2002	Ohio	1	10			18					1		
Jan.	2002	Spain	1	57.7				1		1	1			1

2002 NASD Disciplinary Actions														
INDIVIDUALS														
Month	Year	State	Types of Punishment					Types of Violations						
			Fine	\$ Amount	Suspension	Duration	Barred	Rule	Misrepresentation	Misappropriation	Conflict	Failure	Other	
Jan.	2002	Mich	1	3.5			1					1		
Jan.	2002	ny						1	1	1				
Jan.	2002	ny						1	1					
Jan.	2002	Fl	1	10				1		1				
Jan.	2002	Ca	1	18			2			1	1			
Jan.	2002	Ca	1	10			24			1				
Jan.	2002	Pa	1	2.5			1					1		
Jan.	2002	oh	1	5			3				1			
Jan.	2002	ca	1	20			1	1		1				
Jan.	2002	Ill	1	2.5			1			1				
Jan.	2002	Ut	1	15			24			1				
Jan.	2002	Conn	1	41							1			
TOTAL			56	33	\$10,981.82	33	6.10	23	6	26	14	16	14	1

