

## REGULATORY INFORMATION REGARDING HARRIS WILLIAMS & CO.

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As an aid to the education and protection of the investing public, the NASD operates a toll-free information hotline and an Internet Website to disseminate information regarding the disciplinary history of NASD members and their associated persons. Clients who wish to obtain a brochure which describes the NASD Broker Check Program should contact the NASD through the hotline or via the Internet.

- Call the **Broker Check Hotline** at 1-800-289-9999. The hotline is open Monday through Friday, 8:00 am to midnight, and Saturday 8:00 am to 5:00 pm (all times Eastern).
- Write to Broker Check, NASD, PO Box 9401, Gaithersburg, MD 20898. Fax: 301-212-8137.
- Visit the Website: The **Broker Check Program** can be accessed through the Internet at [www.nasd.com](http://www.nasd.com) .