



November 07, 2006

Steven Wood Collins
8345 NW 66th Street
6026
Miami, FL 33166

Dear Steven Wood Collins:

Attached is the Snapshot Report that you requested on . Please be advised that the attached records are from the Legacy CRD system, which is no longer the system of record for NASD. Legacy CRD records may not be current because the Legacy CRD system was not updated after July 31, 1999. On August 16, 1999, NASD implemented Web CRD[®], the Internet-based Central Registration Depository system, as its system of record. Please disregard the numbering on the pages; it is for internal use only. If you are planning to forward this report, please retain a copy for your records.

For future Snapshot Report requests, you may choose one of the following options:

- Contact the licensing or compliance department of your firm if you are a currently registered individual.
- Complete and submit the Snapshot Report Request Form available on the NASD Web Site at: <http://www.nasd.com/snapshot>.
- Complete and submit the Snapshot Report Request Form enclosed for your convenience.

Snapshot Reports for currently registered individuals will be mailed to the residential address of record in Web CRD. However, Snapshot Reports for formerly registered individuals will be mailed to either the residential address of record in Web CRD or other residential address provided by you with written authorization.

Additional information and the Snapshot Report Request Form are available on the NASD Web Site at <http://www.nasd.com/snapshot>. If you need additional assistance, you may contact the Gateway Call Center at 301.590.6500.

Sincerely,

A handwritten signature in black ink, appearing to read "Paraskevoula Hays". The signature is fluid and cursive, with a long horizontal stroke at the end.

Paraskevoula Hays
Senior Manager, Customer Response
Registration and Disclosure Department

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by the NASD, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of NASD. Neither the NASD nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

NASD operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

NASD operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

Reportable Information: Information that is required to be reported on the current version of the uniform registration forms.

Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Composite Information:

Full Legal Name: COLLINS, STEVEN WOOD

Date of Birth: 04/22/1952

State of Residence: CA

<<No Current Active Employments for this Individual.>>

Reportable Disclosures?

The specified individual has no disclosure that qualifies for reporting under this section (i.e., disclosure required to be reported on Form U-4 or Form U-5). Regulatory and Broker/Dealer Users: Please note that there are three types of disclosure in Web CRD: Reportable, Legacy and Archive disclosure. An individual with no reportable disclosure may or may not have Legacy or Archive disclosure. Investment Adviser Users: Please note that IARD does not include Legacy disclosure. Information reported on previous form filings through IARD is available under Filing History.

Statutorily Disqualification? CLEAR

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Registrations with Previous Employer(s):

From 05/05/1988 To 01/01/1999 CHARLES SCHWAB & CO., INC.(5393)

Reason for Termination: Voluntary

Termination Comment:

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AK	AG	12/31/1992	TERMED	02/03/1987
AL	AG	12/31/1992	TERMED	02/03/1987
AMEX	BM	01/20/1999	TERMED	05/01/1992
AMEX	GS	01/20/1999	TERMED	04/03/1988
AR	AG	12/31/1992	TERMED	02/04/1987
AZ	AG	12/31/1992	TERMED	02/05/1987

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	01/20/1999	TERMED	02/03/1987
CBOE	GS	01/20/1999	TERMED	03/03/1991
CBOE	SU	01/20/1999	TERMED	05/01/1992
CO	AG	12/31/1992	TERMED	02/03/1987
CT	AG	12/31/1992	TERMED	02/04/1987
DC	AG	12/31/1992	TERMED	02/18/1987
DE	AG	12/31/1992	TERMED	02/03/1987
FL	AG	12/31/1992	TERMED	02/06/1987
GA	AG	12/31/1993	TERMED	02/03/1987
HI	AG	12/31/1992	TERMED	05/26/1988
IA	AG	12/31/1992	TERMED	02/06/1987
ID	AG	12/31/1992	TERMED	02/04/1987
IL	AG	12/31/1992	TERMED	02/03/1987
IN	AG	12/31/1992	TERMED	02/03/1987
KS	AG	12/31/1992	TERMED	02/03/1987
KY	AG	12/31/1992	TERMED	02/05/1987
LA	AG	12/31/1992	TERMED	02/04/1987
MA	AG	12/31/1992	TERMED	02/03/1987
MD	AG	12/31/1992	TERMED	02/03/1987
ME	AG	12/31/1992	TERMED	02/06/1987
MI	AG	12/31/1992	TERMED	02/04/1987
MN	AG	12/31/1992	TERMED	02/04/1987
MO	AG	12/31/1992	TERMED	02/04/1987
MS	AG	12/31/1992	TERMED	02/12/1987
MT	AG	12/31/1992	TERMED	02/04/1987
NASD	GS	01/20/1999	TERMED	02/03/1987
NASD	SU	01/20/1999	TERMED	05/01/1992
NC	AG	12/31/1993	TERMED	03/06/1987
ND	AG	12/31/1992	TERMED	02/05/1987
NE	AG	12/31/1992	TERMED	02/03/1987
NH	AG	12/31/1992	TERMED	02/03/1987
NJ	AG	12/31/1992	TERMED	02/04/1987
NM	AG	12/31/1992	TERMED	02/03/1987

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Registrations with Previous Employer(s) (cont):

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NV	AG	12/31/1994	TERMED	02/03/1987
NY	AG	12/31/1992	TERMED	02/03/1987
NYSE	BM	01/20/1999	TERMED	05/01/1992
NYSE	GS	01/20/1999	TERMED	02/03/1987
OH	AG	12/31/1992	TERMED	02/04/1987
OK	AG	12/31/1992	TERMED	02/04/1987
OR	AG	12/31/1992	TERMED	02/03/1987
PA	AG	12/31/1992	TERMED	02/03/1987
PCX	GS	01/20/1999	TERMED	10/11/1992
PCX	SU	01/20/1999	TERMED	10/11/1992
PHLX	GS	01/20/1999	TERMED	10/16/1993
PR	AG	12/31/1992	TERMED	02/03/1987
RI	AG	12/31/1992	TERMED	02/06/1987
SC	AG	12/31/1993	TERMED	02/04/1987
SD	AG	12/31/1992	TERMED	02/04/1987
TN	AG	05/28/1992	TERMED	02/04/1987
TX	AG	12/31/1992	TERMED	02/04/1987
UT	AG	12/31/1992	TERMED	02/04/1987
VA	AG	12/31/1992	TERMED	02/04/1987
VT	AG	12/31/1992	TERMED	02/04/1987
WA	AG	12/31/1994	TERMED	02/09/1987
WI	AG	12/31/1992	TERMED	02/04/1987
WV	AG	12/31/1992	TERMED	02/05/1987
WY	AG	12/31/1992	TERMED	02/04/1987

Legacy Registrations:

Firm Name: CHARLES SCHWAB & CO., INC.(5393)

Regulator	Registration Category	Filing Date	Status Date	Legacy Registration Status	Deficiencies
AK	AG	05/24/1988	12/31/1992	TERMED	
AL	AG	05/24/1988	12/31/1992	TERMED	
AR	AG	05/25/1988	12/31/1992	TERMED	
ASE	BM	05/01/1992	01/20/1999	TERMED	
ASE	GS	05/24/1988	01/20/1999	TERMED	
AZ	AG	05/26/1988	12/31/1992	TERMED	

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

CA	AG	09/28/1993	01/20/1999	TERMED
CA	AG	05/24/1988	12/31/1992	TERMED
CBOE	GS	03/03/1991	01/20/1999	TERMED
CBOE	SU	05/01/1992	01/20/1999	TERMED
CO	AG	05/24/1988	12/31/1992	TERMED
CT	AG	05/27/1988	12/31/1992	TERMED
DC	AG	06/22/1988	12/31/1992	TERMED
DE	AG	05/24/1988	12/31/1992	TERMED
FL	AG	06/07/1988	12/31/1992	TERMED
GA	AG	05/24/1988	12/31/1993	TERMED
HI	AG	05/26/1988	12/31/1992	TERMED
IA	AG	05/25/1988	12/31/1992	TERMED
ID	AG	05/27/1988	12/31/1992	TERMED
IL	AG	05/24/1988	12/31/1992	TERMED
IN	AG	05/24/1988	12/31/1992	TERMED
KS	AG	05/24/1988	12/31/1992	TERMED
KY	AG	05/27/1988	12/31/1992	TERMED
LA	AG	05/26/1988	12/31/1992	TERMED
MA	AG	05/24/1988	12/31/1992	TERMED
MD	AG	05/24/1988	12/31/1992	TERMED
ME	AG	05/30/1988	12/31/1992	TERMED
MI	AG	05/31/1988	12/31/1992	TERMED
MN	AG	05/25/1988	12/31/1992	TERMED
MO	AG	05/27/1988	12/31/1992	TERMED
MS	AG	06/01/1988	12/31/1992	TERMED
MT	AG	05/25/1988	12/31/1992	TERMED
NASD	GS	05/24/1988	01/20/1999	TERMED
NASD	SU	05/01/1992	01/20/1999	TERMED
NC	AG	05/31/1988	12/31/1993	TERMED
ND	AG	06/10/1988	12/31/1992	TERMED
NE	AG	05/26/1988	12/31/1992	TERMED
NH	AG	05/24/1988	12/31/1992	TERMED
NJ	AG	05/25/1988	12/31/1992	TERMED
NM	AG	05/24/1988	12/31/1992	TERMED
NV	AG	12/07/1993	12/31/1994	TERMED
NV	AG	05/24/1988	12/31/1992	TERMED
NY	AG	05/24/1988	12/31/1992	TERMED
NYSE	BM	05/01/1992	01/20/1999	TERMED
NYSE	GS	05/24/1988	01/20/1999	TERMED
OH	AG	05/26/1988	12/31/1992	TERMED
OK	AG	05/24/1988	12/31/1992	TERMED
OR	AG	05/24/1988	12/31/1992	TERMED
PA	AG	05/24/1988	12/31/1992	TERMED
PHLX	GS	10/16/1993	01/20/1999	TERMED

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

PR	AG	05/24/1988	12/31/1992	TERMED
PSE	GS	10/11/1992	01/20/1999	TERMED
PSE	SU	10/11/1992	01/20/1999	TERMED
RI	AG	05/26/1988	12/31/1992	TERMED
SC	AG	05/25/1988	12/31/1993	TERMED
SD	AG	05/26/1988	12/31/1992	TERMED
TN	AG	05/25/1988	05/28/1992	TERMED
TX	AG	05/26/1988	12/31/1992	TERMED
UT	AG	06/02/1988	12/31/1992	TERMED
VA	AG	05/26/1988	12/31/1992	TERMED
VT	AG	05/24/1988	12/31/1992	TERMED
WA	AG	12/07/1993	12/31/1994	TERMED
WA	AG	05/24/1988	12/31/1992	TERMED
WI	AG	05/31/1988	12/31/1992	TERMED
WV	AG	06/01/1988	12/31/1992	TERMED
WY	AG	06/02/1988	12/31/1992	TERMED

Firm Name: DEAN WITTER REYNOLDS INC. (7556)

Regulator	Registration Category	Filing Date	Status Date	Legacy Registration Status	Deficiencies
CA	AG	10/19/1984	08/19/1985	TERMED	
NASD	GS	11/23/1984	08/19/1985	TERMED	
NYSE	GS	05/03/1985	08/19/1985	TERMED	

Professional Designations:

<< None found for this Individual: COLLINS, STEVEN WOOD >>

Employment History:

From 05/1988 To 01/1999
Name: CHARLES SCHWAB & CO., INC.
Location: SAN FRANCISCO, CA
Position: NOT PROVIDED
Investment Related: Yes

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Office of Employment History:

From 05/1988 To 01/1999

Name: CHARLES SCHWAB & CO., INC. (5393)
Independent Contractor: No

Office of Employment Address:

Table with columns: CRD Branch #, NYSE Branch Code Number, Firm Code, Billing Code, Address Start Date, Address End Date, Address, Registered Location?, Type of Office.

Legacy Employment History:

From 05/1988 To 01/1999: Name: CHARLES SCHWAB & CO., INC.(5393) Location: SAN FRANCISCO CA Position:
From 01/1988 To 04/1988: Name: SELF-EMPLOYED Location: COLORADO SPRINGS CO Position: BUILDER AND CONTRACTOR
From 01/1987 To 12/1987: Name: CHARLES SCHWAB & CO., INC.(5393) Location: SAN FRANCISCO CA Position:
From 07/1986 To 01/1987: Name: SELF EMPLOYED Location: BENICIA CA Position: CONSULTANT
From 03/1986 To 07/1986: Name: WORLD SAVINGS & LOAN Location: WALNUT CREEK CA Position: CALLER

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Legacy Employment History: (cont):

From 08/1985 To 03/1986: **Name:** SELF EMPLOYED
 Location: BENICIA CA
 Position: CONSULTANT

From 08/1984 To 08/1985: **Name:** DEAN WITTER REYNOLDS INC.(7556)
 Location: FAIRFIELD CA
 Position: AE TRAINEE

From 12/1983 To 01/1984: **Name:** NORTHWEST GOLD COINS
 Location: SAUSALITO CA
 Position: CONSULTANT ACCOUNT EXECUTIVE

From 09/1983 To 08/1984: **Name:** RENAISSANCE PRESS
 Location: BOULDER CO
 Position: CONSULTANT

From 06/1983 To 09/1983: **Name:** SELF EMPLOYED
 Location: BENICIA CA
 Position: CONSULTANT

From 06/1979 To 06/1983: **Name:** THE CONDE NAST PUBLICATIONS
 Location: NEW YORK NY
 Position: REGINAL MARKETING MANAGER

From 05/1979 To 07/1983: **Name:** THE CONDE NAST PUBLICATIONS INC
 Location: NEW YORK NY
 Position: MKT MANAGER

From 03/1976 To 06/1979: **Name:** WARNER PUBLISHER SERVICES
 Location: NEW YORK NY
 Position: DISTRICT SALES MANAGER

From 10/1975 To 03/1976: **Name:** UNEMPLOYED
 Location: NOT GIVEN
 Position: NOT GIVEN

From 07/1975 To 10/1975: **Name:** SCOTTSDALE HILTON HOTEL
 Location: SCOTTSDALE AZ
 Position: FRNT DSK MGR

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Legacy Employment History: (cont):

From 06/1973 To 08/1973: **Name:** ARNOLD PALMER GOLF ACADEMY
 Location: SHINGLE SPRINS CA
 Position: RECREATION COUNSELOR

Other Business:

<<No Other Business found for this Individual.>>

Examination Information:

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S63	OFFICIAL_RESULT	11/30/1984	11/30/1984	PASSED	78	-
S7	OFFICIAL_RESULT	11/17/1984	11/17/1984	PASSED	87	-
S8	OFFICIAL_RESULT	04/24/1992	04/24/1992	PASSED	83	-

CE Regulatory Element Status:

Current CE Status: NOCESTATUS

CE Base Date:

Current CE
<<No Current CE Session Found >>

Next CE
<<No Next CE Found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

From 03/23/1999 To Present

Previous CE Requirement Status

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Requirement Type	Status	Previous Window	Session	Status Date	Result
Anniversary	CEINACTIVE	11/23/1998-03/22/1999	201	03/23/1999	03/23/1999-

Filing History:

Filing Date	Form Type	Filing Type	Source
07/05/1999	U4	CONVERSION	Org CRD# 5393 CHARLES SCHWAB & CO., INC.
07/05/1999	U5	CONVERSION	Org CRD# 5393 CHARLES SCHWAB & CO., INC.

Legacy Filing History:

Received Date	Filing Date	Form Type	Filing Type	Electronic Filing	Firm Name	Questions
01/20/1999	01/20/1999	U5	FULL	Y	CHARLES SCHWAB & CO., INC.	
12/13/1994	12/13/1994	U5	PARTIAL	N	CHARLES SCHWAB & CO., INC.	
11/11/1994	11/16/1994	U4	PAGE 2 ONLY	N	CHARLES SCHWAB & CO., INC.	
12/10/1993	12/11/1993	U5	PARTIAL	N	CHARLES SCHWAB & CO., INC.	
12/07/1993	12/07/1993	U4	PAGE 1 ONLY	Y	CHARLES SCHWAB & CO., INC.	
	10/16/1993	U4	CONVERSION U4	N	CHARLES SCHWAB & CO., INC.	
09/28/1993	09/28/1993	U4	PAGE 1 PAGE 2	Y	CHARLES SCHWAB & CO., INC.	
12/07/1992	12/10/1992	U4	PAGE 2 ONLY	N	CHARLES SCHWAB & CO., INC.	
12/07/1992	12/07/1992	U5	PARTIAL	N	CHARLES SCHWAB & CO., INC.	
	10/11/1992	U4	CONVERSION U4	N	CHARLES SCHWAB & CO., INC.	

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Legacy Filing History(cont.):

Received Date	Filing Date	Form Type	Filing Type	Electronic Filing	Firm Name	Questions
05/28/1992	05/28/1992	U5	DRP	Y	CHARLES SCHWAB & CO., INC.	
05/06/1992	05/06/1992	U4	PAGE 1 ONLY	Y	CHARLES SCHWAB & CO., INC.	
05/05/1992	05/05/1992	U4	PAGE 2 ONLY	Y	CHARLES SCHWAB & CO., INC.	
05/01/1992	05/01/1992	U4	PAGE 1 ONLY	Y	CHARLES SCHWAB & CO., INC.	
04/29/1992	04/29/1992	U4	PAGE 1 PAGE 2	Y	CHARLES SCHWAB & CO., INC.	
	03/23/1992	U4	EXAM SCHEDULE (FROM EXAMREQ)	N	CHARLES SCHWAB & CO., INC.	
01/16/1992	01/16/1992	U4	PAGE 1 ONLY	Y	CHARLES SCHWAB & CO., INC.	
	03/03/1991	U4	CONVERSION U4	N	CHARLES SCHWAB & CO., INC.	
07/24/1989	07/26/1989	U4	PAGE 2 ONLY	N	CHARLES SCHWAB & CO., INC.	
05/18/1988	05/24/1988	U4	FULL	N	CHARLES SCHWAB & CO., INC.	
	04/03/1988	U4	CONVERSION U4	N	CHARLES SCHWAB & CO., INC.	
01/14/1988	01/14/1988	U5	FULL	N	CHARLES SCHWAB & CO., INC.	
12/17/1987	12/17/1987	U5	DRP	N	CHARLES SCHWAB & CO., INC.	
01/27/1987	02/02/1987	U4	FULL	N	CHARLES SCHWAB & CO., INC.	
08/19/1985	08/19/1985	U5	FULL	N	DEAN WITTER REYNOLDS INC.	
	05/03/1985	U4	CONVERSION U4	N	DEAN WITTER REYNOLDS INC.	
10/11/1984	10/18/1984	U4	AMEND	N	DEAN WITTER REYNOLDS INC.	

Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Legacy Filing History(cont.):

Received Date	Filing Date	Form Type	Filing Type	Electronic Filing	Firm Name	Questions
	09/26/1984	U4	EXAMREQ	N	DEAN WITTER REYNOLDS INC.	

CRD® or IARD(SM) System - Current As Of 11/05/2006 06:00 PM

Snapshot - NASD Individual Database Extract

CRD® or IARD(SM) System Report provided to: NASD

Request Submitted: 11/06/2006

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Individual: 1309516 - COLLINS, STEVEN WOOD

Administrative Information:

Number of Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

CRD® or IARD(SM) System - Current As Of 11/05/2006 06:00 PM

Snapshot - NASD Individual Database Extract

CRD® or IARD(SM) System Report provided to: NASD

Request Submitted: 11/06/2006

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Individual: 1309516 - COLLINS, STEVEN WOOD

Reportable Events:

<<No Reportable Events found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

Individual: 1309516 - COLLINS, STEVEN WOOD

Legacy Disclosure:

Incident: 2

Incident Sequence: 1

Last Filing Source: CA

Action Date: 05/05/1988

Details:

4-8-95-DOJ REPORT REC'D JDS #118-08095 ARRESTED OR RECEIVED 5/5/88
AGENCY -POLICE DEPARTMENT SAN FRANCISCO CA CHARGE -BATTERY ON PERSON
DISPOSITION: CHARGE 647F PC-M PROSECUTOR REJECT

Incident: 1

Incident Sequence: 1

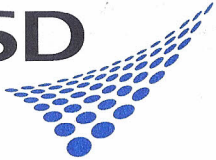
Last Filing Source: NV

Action Date: 07/30/1980

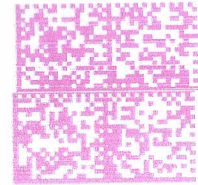
Details:

FBI REPORT REC'D 11/16/84. CHARGE: DRIVING UNDER THE INFLUENCE.
DISPOSITION: CONVICTED, FINE \$300. **CHARGE: RECKLESS. DISPOSITION: NO
FORMAL CHARGE, DISMISSED.

NASD



9509 Key West Avenue
Rockville, MD
20850



HASLER

\$1.11

NOV 07 2006

US POSTAGE

FIRST CLASS

MAILED FROM 20850

011A0413004394

Steven Wood Collins
8345 NW 66th Street
6026
Miami, FL 33166

USAbx.com - 11/10/2006 11:44:29 AM



993000 -lu83

32 #35

00.20lb

6026

Registrations

Employer: CHARLES SCHWAB & CO., INC.

Jurisdiction/SRO	Category	Status	Status As Of Date
ASE	Branch Office Manager (NYSE)	APPROVED	05/01/1992
	General Securities Representative	APPROVED	05/24/1988
CA	Agent	APPROVED	09/28/1993
CBOE	General Securities Representative	APPROVED	03/03/1991
	General Securities Sales Supervisor	APPROVED	05/01/1992
NASD	General Securities Representative	APPROVED	05/24/1988
	General Securities Sales Supervisor	APPROVED	05/01/1992
NYSE	Branch Office Manager (NYSE)	APPROVED	05/01/1992
	General Securities Representative	APPROVED	05/24/1988
PHLX	General Securities Representative	APPROVED	10/16/1993
PSE	General Securities Representative	APPROVED	10/11/1992
	General Securities Sales Supervisor	APPROVED	10/11/1992

Document Title

File for:





CRD# 1309516

STEVEN WOOD COLLINS

<http://pdp4.nasdr.com/pdpi/display.asp?...=1309516&SubjectType=I&DisclosureType=19>
Data Current as of: 09/23/1998

Disclosure Events

No disclosure information exists for this individual.

-  [Current \(1\)](#)
-  [Previous \(0\)](#)
-  [Registrations \(12\)](#)
-  [Disclosure Events:](#)

[View Description of Broker Category](#)

NASD Broker Search **Broker that meets your search criteria.**

http://pdpi4.nasdr.com/pdpi/broker_match.asp

Click on the name of the Broker to review the File.

Broker's Personal Information	Currently Approved Registrations with:	Current Employment with NASD Member Firm(s)
<u>STEVEN WOOD COLLINS</u> CRD #1309516	ASE, CA, CBOE, NASD, NYSE, PHLX, PSE	CHARLES SCHWAB & CO., INC. SAN FRANCISCO , California

TRANSCRIPTS AS OF 6-25-90

branch/dept code:066
branch/dept:AFTER HOURS BASE
name:Steven Collins
ss#:524-78-1771
active/terminate:A

COURSE CODE AND NAME	STATUS	GRADE	DATE	AS OF
CBT33 FIX (FIXED INCOME PRODUCT REVIEW)	FINISHED	093	06-15-89	03-09-90
CBT31 GETTING STARTED ON BETA (BETA)	FINISHED	90%	01-22-87	
CBT08 ORDER ENTRY (ODAENT)	FINISHED	96%	02-18-87	
CBT04 NEW ACCOUNTS JUNIOR (ACCTJR)	FINISHED	75%	02-18-87	
CBT05 CERTIFICATED OF DEPOSIT (CEEDEE)	FINISHED	82%	02-18-87	
CBT02 LEADS PROCESSING (LEADS)	FINISHED	93	06-28-07	
CBT10 LEDGER (THE CUSTOMER LEDGER SCREENS)	FINISHED	92	08-28-87	
CBT25 FALLBK (THE HOST FALLBACK SYSTEM)	FINISHED	090	01-11-89	01-31-89
CBT26 TRADES PROGRAM	FINISHED	097	07-13-89	09-22-89
CBT09 S1 (SCHWAB ONE REDESIGN)	FINISHED	069	09-23-87	12-01-88
CBT28 TOA (TRANSFER OF ACCOUNTS)	FINISHED	092	01-11-89	01-31-89
CBT26 TRADES PROGRAM	FINISHED	097	01-23-89	01-31-89
CBT39 QSERVE (QUOTE SERVICE)	FINISHED	081	09-19-89	12-27-89
CBT38 CALLBK (MAKING CALLBACKS)	FINISHED	089	07-02-89	11-02-89
CBT44 MNYLNK (SCHWAB MONEYLINK TRANSFER)	FINISHED	093	03-04-90	03-09-90
CBT35 NWREQ (REQUEST FUNDS - INITIATION)	FINISHED	094	03-21-90	06-28-90

ADDING YOUR OWN RECORDS

When you finish a CBT course always print out a copy of your transcript. To do this, sign on to the system and load your data. Request "List of Courses" and the "Cumulative Performance Report". You will need to write the course number, date, and grade. Please print this hard copy of your transcript each course as a reference to check against your transcript.

GRADE POLICY

The main "header" each line of the report before recording credits for completion. If you receive a grade of 70% or higher, a passing score, you will receive credit for the course. If you receive a grade of 60% or lower, you will not receive credit. If you receive a grade of 60% or lower, you will not receive credit. If you receive a grade of 60% or lower, you will not receive credit. If you receive a grade of 60% or lower, you will not receive credit.

CORRECTIONS

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