Alabama Securities Commission
770 Washington Avenue, Suite 570
Montgomery, AL 36130-4700
(334) 242-2984
1-800-222-1253
(334) 242-0240 – FAX

FACSIMILE TRANSMITTAL

To: Mr. Steve Kirsch
Fax: 408-716-2495

From: David Kirke
Date: 8/27/04

RE: Thomas H. Heyse
Pages: 9

CC: ____________________________

_ Urgent _ For Review _ Please Comment _ Please Review

Note: C R D R E P O R T A S R E Q U E S T E D

____________________________________

____________________________________

____________________________________

____________________________________

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Composite Information:

Full Legal Name: HEYSEK, THOMAS MILTON

Year of Birth: 1947
State of Residence: CA

<No Current Active Employments for this Individual.>

Reportable Disclosures? Yes
Statutorily Disqualification? CLEAR
Registered With Multiple Firms? No
Material Difference in Disclosure? No

Registrations with Previous Employer(s):

From 12/07/2000 To 03/06/2001
Reason for Termination: * Discharge
Termination Comment: MR. HEYSEK WAS TERMINATED ON MARCH 6, 2001 FOR VIOLATING FIRM POLICY REGARDING SELLING AWAY AND IMPROPER HANDLING OF CUSTOMER FUNDS.

<table>
<thead>
<tr>
<th>Regulator</th>
<th>Registration Status Category</th>
<th>Date</th>
<th>Registration Status</th>
<th>Approval Date</th>
<th>Registration Status Note</th>
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<tbody>
<tr>
<td>CA</td>
<td>AG</td>
<td>03/26/2001</td>
<td>T_NOREG</td>
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From 02/01/1999 To 07/15/1999
Reason for Termination: Voluntary
Termination Comment: Voluntary

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<td>T_NOREG</td>
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CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.
Registrations with Previous Employer(s) (cont):

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<th>Date</th>
<th>Registration Status</th>
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<th>Status Note</th>
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<tr>
<td>NASD</td>
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From 03/02/1998 To 08/21/1998
Reason for Termination: * Discharge
Termination Comment: DIS: SEE DRP

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<th>Status Note</th>
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</thead>
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<td>TERMED</td>
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<td>AG</td>
<td>02/11/1994</td>
<td>TERMED</td>
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Professional Designations:
<< None found for this individual: HEYSEK, THOMAS MILTON >>
<table>
<thead>
<tr>
<th>From</th>
<th>To</th>
<th>Name</th>
<th>Location</th>
<th>Position</th>
<th>Investment Related</th>
</tr>
</thead>
<tbody>
<tr>
<td>12/2000 To Present</td>
<td></td>
<td>WESTPARK CAPITAL, INC.</td>
<td>LOS ANGELES, CA USA</td>
<td>ANALYST</td>
<td>Yes</td>
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<tr>
<td>01/1996 To 08/2000</td>
<td></td>
<td>HEYSEK HOLDINGS</td>
<td>MILL VALLEY, CA</td>
<td>OTHER - MANAGING DIRECTOR</td>
<td>No</td>
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<tr>
<td>03/1999 To 07/1999</td>
<td></td>
<td>SECURITY CAPITAL TRADING, INC.</td>
<td>NEW YORK, NY</td>
<td>UNKNCONV</td>
<td>Yes</td>
</tr>
<tr>
<td>03/1998 To 08/1998</td>
<td></td>
<td>DAKIN SECURITIES CORPORATION</td>
<td>SAN FRANCISCO, CA</td>
<td>UNKNCONV</td>
<td>Yes</td>
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<td>07/1994 To 12/1997</td>
<td></td>
<td>SECURITIES RESEARCH &amp; ANALYSIS</td>
<td>MILL VALLEY, CA</td>
<td>OTHER - PRINCIPAL SHAREHOLDER</td>
<td>No</td>
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<td>07/1995 To 12/1995</td>
<td></td>
<td>NUTMEG SECURITIES, LTD.</td>
<td>WESTPORT, CT</td>
<td>UNKNCONV</td>
<td>Yes</td>
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<td>01/1995 To 12/1995</td>
<td></td>
<td>NUTMEG SECURITIES</td>
<td>WESTPORT, CT</td>
<td>OTHER - REGISTERED REP</td>
<td>No</td>
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<tr>
<td>01/1994 To 12/1995</td>
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<td>RAY DIRKS ADVISORY</td>
<td>GREENWICH, CT</td>
<td>OTHER - VP</td>
<td>No</td>
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Employment History (cont.):

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<td>07/1994</td>
<td>INTERFUNDING CAPITAL</td>
<td>PALM HARBOR, FL</td>
<td>OTHER - PRINCIPAL SHAREHOLDER</td>
<td>No</td>
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<td>02/1993</td>
<td>07/1994</td>
<td>RAY DIRKS ADVISORY</td>
<td>GREENWICH, CT</td>
<td>CONSULTANT - CONSULTANT</td>
<td>No</td>
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<tr>
<td>02/1993</td>
<td>01/1994</td>
<td>NAS SECURITIES CORP.</td>
<td>NEW YORK, NY</td>
<td>UNKNCONV</td>
<td>Yes</td>
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<td>03/1989</td>
<td>02/1993</td>
<td>FINANCIAL SERVICES INTERNATIONAL</td>
<td>TAMPA, FL</td>
<td>OTHER - PRESIDENT &amp; MAJOR STOCKHOLDER</td>
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Office of Employment History:

<table>
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<tr>
<th>From</th>
<th>To</th>
<th>Name</th>
<th>Location</th>
<th>Position</th>
<th>Investment Related</th>
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</thead>
<tbody>
<tr>
<td>12/2000</td>
<td>03/2001</td>
<td>WESTPARK CAPITAL, INC.</td>
<td>2049 CENTURY PARK EAST, SUITE 3310 LOS ANGELES, CA USA 90067</td>
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<tr>
<td>02/1999</td>
<td>07/1999</td>
<td>SECURITY CAPITAL TRADING, INC.</td>
<td>520 MADISON AVENUE - 10TH FLOOR NEW YORK, NY 10022</td>
<td></td>
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<tr>
<td>03/1998</td>
<td>08/1998</td>
<td>DAKIN SECURITIES CORPORATION</td>
<td>505 SANSOME ST 8TH FL SAN FRANCISCO, CA 94111-3106</td>
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<td>07/1995</td>
<td>12/1995</td>
<td>NUTMEG SECURITIES, LTD.</td>
<td>1599 POST ROAD EAST WESTFORD, CT 06880</td>
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Office of Employment History (cont.):

From 02/1993 To 01/1994  Name:  RAS SECURITIES CORP.
                  Location:  2 BROADWAY 20TH FLOOR
                               NEW YORK, NY   10004-2801

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

Examination Information:

<table>
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<tr>
<th>Exam</th>
<th>Status</th>
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<th>Exam Date</th>
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<tr>
<td>S63</td>
<td>WITHDRAW</td>
<td>03/26/2001</td>
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<td>S63</td>
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<td>S63</td>
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<td>PASSED</td>
<td>70</td>
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</table>

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

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>
Number of Reportable Events:
Bankruptcy: 0
Bond: 0
Civil Judicial: 0
Criminal: 0
Customer Complaint: 0
Internal Review: 3
Investigation: 0
Judgment/Lien: 0
Regulatory Action: 0
Termination: 0

Occurrence: 978338
Disclosure Type: Internal Review
NASD Public Disclosable: N
Reportable: Y
Material Difference in Disclosure: N

Rev. Form U-5 (08/1999)
Form: U-5
Source: Organization CRD# 6142
Questions: 15
Received: 12/13/2000

Internal Review DRP Content

Part I

1. Notice received from: DAKIN SECURITIES CORPORATION
2. Date initiated/Explanation: 08/18/1998
3. Details:
   HE HAD ENTERED INTO A WRITTEN CONTRACT WITH THE CLIENT FOR
   INVESTMENT ADVISORY SERVICES, AND COLLECTED A $2400.00 FEE. THIS
   WAS UNKNOWN TO US AND UNAUTHORIZED BY US.
4. Date concluded/Explanation: 08/26/1998

Part II

Summary:

Occurrence: 990244
Disclosure Type: Internal Review
NASD Public Disclosable: N
Reportable: Y
Material Difference in Disclosure: N

Rev. Form U-5 (08/1999)
Form: U-5
Received: 02/12/2001

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.
CRD© or IARD(SM) System - Current As Of 08/26/2004 11:40 PM
Snapshot - Individual
CRD© or IARD(SM) System Report provided to: Alabama
Request Submitted: 08/27/2004
Individual: 2375660 - HEYSEK, THOMAS MILTON
Reportable Events:

Source: Organization CRD# 6142
Questions: 15

Internal Review DRP Content

Part I

1. Notice received from: RAS SECURITIES CORP.
2. Date initiated/Explanation: 12/01/1993
   DATE GIVEN WAS 12/1993
3. Details:
   UNSATISFACTORY SALES PRACTICES - BELIEF THAT RR WAS PUTTING STOCK
   IN ACCOUNTS WITHOUT THEIR PERMISSION OR KNOWLEDGE - STOCK NOT
   PLACED WELL ALSO RR DID NOT TELL TRUTH WHEN DISCUSSING WITH MNCT.
   EMPLOYEE TERMINATED.
4. Date concluded/Explanation: 01/11/1994

Part II

Summary:

Occurrence: 999588 Disclosure Type: Internal Review
NASD Public Disclosable: N Reportable: Y
Material Difference in Disclosure: N

Rev. Form U-5 (08/1999)
Form: U-5
Source: Organization CRD# 39914
Questions: 15

Internal Review DRP Content

Part I

1. Notice received from: WESTPARK CAPITAL, INC.
2. Date initiated/Explanation: 03/01/2001
3. Details:
   MR. HEYSEK WASS UNDER REVIEW FOR VIOLATING THE FIRM’S POLICY
   REGARDING SELLING AWAY AND MISHANDLING OF CUSTOMER FUNDS.
4. Date concluded/Explanation: 03/06/2001

Part II

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