



Alabama Securities Commission
770 Washington Avenue, Suite 570
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(334) 242-0240 - FAX

FACSIMILE TRANSMITTAL

To: MR. STEVE KIRSCH Fax: 408-716-2493
From: DAVID KIRKE Date: 8/27/04
RE: THOMAS H. HEYSEK Pages: 9
CC: _____

Urgent For Review Please Comment Please Review

Note: CRD REPORT AS REQUESTED

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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

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Individual: 2375660 - HEYSEK, THOMAS MILTON

Administrative Information:

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 WESTPARK CAPITAL, INC.(39914)

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.

Regulator	Registration Category	Status Date	Registration Status	Approval Date	Registration Status Note
CA	AG	03/26/2001	T_NOREG		No
NASD	GS	03/26/2001	T_NOREG		No

From 02/01/1999 To 07/15/1999 SECURITY CAPITAL TRADING, INC.(35909)

Reason for Termination: Voluntary

Termination Comment: Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	07/22/1999	T_NOREG		No
NY	AG	07/22/1999	T_NOREG		No

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Individual: 2375660 - HEYSEK, THOMAS MILTON

Administrative Information:

Registrations with Previous Employer(s) (cont):

From 03/02/1998 To 08/21/1998 DAKIN SECURITIES CORPORATION(6142)
Reason for Termination: * Discharge
Termination Comment: DIS; SEE DRP

Regulator	Registration Category	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	09/02/1998	T_NOREG		No

From 07/01/1995 To 12/20/1995 NUTMEG SECURITIES, LTD.(18975)
Reason for Termination: Voluntary
Termination Comment: Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date	Registration Status Note
CT	AG	10/17/1995	T_NOREG		No
NASD	GS	01/03/1996	TERMED	08/15/1995	No

From 02/10/1993 To 01/11/1994 RAS SECURITIES CORP.(28212)
Reason for Termination: * Discharge
Termination Comment: DIS; UNSATISFACTORY SALES PRACTICES

Regulator	Registration Category	Status Date	Registration Status	Approval Date	Registration Status Note
NASD	GS	02/11/1994	TERMED	08/23/1993	No
NY	AG	02/11/1994	TERMED	01/12/1994	No

Professional Designations:

<< None found for this Individual: HEYSEK, THOMAS MILTON >>

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Individual: 2375660 - HEYSEK, THOMAS MILTON

Administrative Information:

Employment History:

From 12/2000 To Present:	Name: WESTPARK CAPITAL, INC. Location: LOS ANGELES, CA USA Position: ANALYST Investment Related: Yes
From 01/1996 To 08/2000	Name: HEYSEK HOLDINGS Location: MILL VALLEY, CA Position: OTHER - MANAGING DIRECTOR Investment Related: No
From 02/1999 To 07/1999	Name: SECURITY CAPITAL TRADING, INC. Location: NEW YORK, NY Position: UNKNCONV Investment Related: Yes
From 03/1998 To 08/1998	Name: DAKIN SECURITIES CORPORATION Location: SAN FRANCISCO, CA Position: UNKNCONV Investment Related: Yes
From 07/1994 To 12/1997	Name: SECURITIES RESEARCH & ANALYSIS Location: MILL VALLEY, CA Position: OTHER - PRINCIPAL SHAREHOLDER Investment Related: No
From 07/1995 To 12/1995	Name: NUTMEG SECURITIES, LTD. Location: WESTPORT, CT Position: UNKNCONV Investment Related: Yes
From 01/1995 To 12/1995	Name: NUTMEG SECURITIES Location: WESTPORT, CT Position: OTHER - REGISTERED REP Investment Related: No
From 01/1994 To 12/1995	Name: RAY DIRKS ADVISORY Location: GREENWICH, CT Position: OTHER - VP Investment Related: No

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Individual: 2375660 - HEYSER, THOMAS MILTON

Administrative Information:

Employment History (cont) :

From 02/1994 To 07/1994	Name:	INTERFUNDING CAPITAL
	Location:	PALM HARBOR, FL
	Position:	OTHER - PRINCIPAL SHAREHOLDER
	Investment Related:	No
From 02/1993 To 07/1994	Name:	RAY DIRKS ADVISORY
	Location:	GREENWICH, CT
	Position:	CONSULTANT - CONSULTANT
	Investment Related:	No
From 02/1993 To 01/1994	Name:	RAS SECURITIES CORP.
	Location:	NEW YORK, NY
	Position:	UNKNCONV
	Investment Related:	Yes
From 03/1989 To 02/1993	Name:	FINANCIAL SERVICES INTERNATIONAL
	Location:	TAMPA, FL
	Position:	OTHER - PRESIDENT & MAJOR STOCKHOLDER
	Investment Related:	No

Office of Employment History:

From 12/2000 To 03/2001	Name:	WESTPARK CAPITAL, INC.
	Location:	2049 CENTURY PARK EAST, SUITE 3310 LOS ANGELES, CA USA 90067
From 02/1999 To 07/1999	Name:	SECURITY CAPITAL TRADING, INC.
	Location:	520 MADISON AVENUE - 10TH FLOOR NEW YORK, NY 10022
From 03/1998 To 08/1998	Name:	DAKIN SECURITIES CORPORATION
	Location:	505 SANSOME ST 8TH FL SAN FRANCISCO, CA 94111-3106
From 07/1995 To 12/1995	Name:	NUTMEG SECURITIES, LTD.
	Location:	1599 POST ROAD EAST WESTPORT, CT 06880

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Individual: 2375660 - HEYSEK, THOMAS MILTON

Administrative Information:

Inactive CE History Dates

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

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

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Individual: 2375660 - BEYER, THOMAS MILTON

Reportable Events:

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

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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 MNGT.
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

Received: 03/26/2001

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 WAS 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.