

BrokerCheck Report

GLENN WARD LEBOEUF

CRD# 1003078

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

GLENN W. LEBOEUF

CRD# 1003078

Currently employed by and registered with the following Firm(s):

IA GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC
 328 NEWMAN SPRINGS ROAD
 RED BANK, NJ 07701
 CRD# 133088
 Registered with this firm since: 03/18/2015

B GARDEN STATE SECURITIES, INC.
 328 NEWMAN SPRINGS ROAD
 RED BANK, NJ 07701
 CRD# 10083
 Registered with this firm since: 01/08/2015

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 12 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- IA ROYAL ALLIANCE ASSOCIATES, INC.**
 CRD# 23131
 SCOTTSDALE, AZ
 03/2009 - 01/2015
- B ROYAL ALLIANCE ASSOCIATES, INC.**
 CRD# 23131
 COLTS NECK, NJ
 02/2009 - 01/2015
- IA CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 10/2002 - 03/2009

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes****The following types of disclosures have been reported:**

Type	Count
Regulatory Event	1
Customer Dispute	6



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 12 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC**
 Main Office Address: **328 NEWMAN SPRINGS ROAD**
RED BANK, NJ 07701
 Firm CRD#: **133088**

	U.S. State/ Territory	Category	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	03/18/2015

Branch Office Locations

328 NEWMAN SPRINGS ROAD
 RED BANK, NJ 07701

Employment 2 of 2

Firm Name: **GARDEN STATE SECURITIES, INC.**
 Main Office Address: **328 NEWMAN SPRINGS ROAD**
RED BANK, NJ 07701
 Firm CRD#: **10083**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/08/2015

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/09/2015
B	District of Columbia	Agent	Approved	01/08/2015

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	01/20/2015
B	Georgia	Agent	Approved	01/05/2021
B	Maine	Agent	Approved	03/24/2015
B	Maryland	Agent	Approved	01/08/2015
B	New Hampshire	Agent	Approved	02/27/2024
B	New Jersey	Agent	Approved	01/15/2015
B	New York	Agent	Approved	01/08/2015
B	Pennsylvania	Agent	Approved	01/08/2015
B	Vermont	Agent	Approved	09/18/2020
B	Virginia	Agent	Approved	01/08/2015

Branch Office Locations

GARDEN STATE SECURITIES, INC.
 328 NEWMAN SPRINGS ROAD
 RED BANK, NJ 07701



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Interest Rate Options Examination	Series 5	10/15/1981
B General Securities Representative Examination	Series 7	08/15/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/02/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2009 - 01/2015	ROYAL ALLIANCE ASSOCIATES, INC.	23131	COLTS NECK, NJ
B 02/2009 - 01/2015	ROYAL ALLIANCE ASSOCIATES, INC.	23131	COLTS NECK, NJ
IA 10/2002 - 03/2009	CITIGROUP GLOBAL MARKETS INC.	7059	RED BANK, NJ
B 07/1993 - 03/2009	CITIGROUP GLOBAL MARKETS INC.	7059	RED BANK, NJ
B 05/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	
B 10/1983 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 08/1981 - 10/1983	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
01/2015 - Present	GARDEN STATE SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	RED BANK, NJ, United States
02/2009 - Present	FREEDOM CAPITAL MANAGEMENT	SENIOR VICE PRESIDENT	Y	LINCROFT, NJ, United States
02/2009 - Present	ROYAL ALLIANCE ASSOCIATES, INC.	REGISTERED REPRESENTATIVES	Y	NEW YORK, NY, United States
02/2004 - Present	LET HISTORY LIVE	HISTORICAL SPEAKER	N	RED BANK, NJ, United States

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1) GLENN LE BOEUF; INVESTMENT RELATED; 328 NEWMAN SPRINGS ROAD, RED BANK, NJ 07701; STATUTORY AGENT; STARTED 02/09/2009; 10 HRS/MTH; 2 HRS/MTH DURING MARKET HOURS; SALE OF INSURANCE PRODUCTS.

2) GLENN LE BOEUF; HISTORY WORTH REMEMBERING; NOT INVESTMENT RELATED; OWNER; LINCROFT, NJ; STARTED 1984; 6 HRS/MTH; 0 HRS/MTH DURING MARKET HOURS; PUBLIC SPEAKING REGARDING HISTORICAL SUBJECTS.

3) ACME MARKETS, 20 HRS/WEEK, NOT DURING MARKET HOURS.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Customer Dispute	0	6	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CONNECTICUT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/11/1989
Docket/Case Number:	UNKNOWN
Employing firm when activity occurred which led to the regulatory action:	SHEARSON LEHMAN HUTTON, INC
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	THE SECURITIES AND BUSINESS INVESTMENTS DIVISION, DEPARTMENT OF BANKING, ALLEGED THAT GLENN W. LEBOEUF VIOLATED SECTION 36-474(A) OF THE CONNECTICUT UNIFORM SECURITIES ACT FROM APRIL 1988 THROUGH JUNE 1988, IN THAT MR. LEBOEUF, WHILE EMPLOYED AS AGENT OF A FIRM EFFECTED SECURITY TRANSACTIONS PRIOR TO COMPLETING AGENT REGISTRATION IN CONNECTICUT.
Current Status:	Final



Resolution: Stipulation and Consent

Resolution Date: 01/11/1989

Sanctions Ordered: Monetary/Fine \$100.00

Other Sanctions Ordered: AGREEMENT TO REVIEW AND ABIDE BY THE INTERNAL POLICIES AND PROCEDURES OF ANY CONNECTICUT BROKER-DEALER AND [2] AGREED TO FAMILIARIZE WITH CONNECTICUT'S ACT AND REGULATIONS TO INSURE COMPLIANCE WITH THIS STATES SECURITY LAWS.

Sanction Details: ON JANUARY 11, 1989, MR. LEBOEUF ENTERED INTO A STIPULATION AGREEMENT WITH THE CONNECTICUT SECURITIES DIVISION IN WHICH MR. LEBOEUF STIPULATED TO THE FOLLOWING: [1] LEBOEUF CONSENTED TO REVIEW AND ABIDE BY THE INTERNAL POLICIES AND PROCEDURES OF ANY CONNECTICUT BROKER-DEALER HE MAY BECOME ASSOCIATED WITH IN THE FUTURE. [2] LEBOEUF AGREED TO FAMILIARIZE HIMSELF WITH CONNECTICUT'S ACT AND REGULATIONS TO INSURE COMPLIANCE WITH THIS STATES SECURITY LAWS. [3] LEBOEUF AGREED TO PAY A FINE IN THE AMOUNT OF \$100.00.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF CONNECTICUT. (TO MY KNOWLEDGE)

Sanction(s) Sought: Monetary Penalty other than Fines

Date Initiated: 01/11/1989

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action: SHEARSON LEHMAN HUTTON, INC.

Product Type: Other: UNKNOWN TYPE OF SECURITIES

Allegations: I WAS FINE \$100.00 FOR PLACING A TRADES WITH TWO REPRESENTATIVES, BEFORE ACTUALLY APPROVED IN THE STATE. I WAS NEVER RESTRICTED FROM DOING BUSINESS WITH THE STATE OF CT.

Current Status: Final

Resolution: Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/11/1989
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$100.00
Portion Levied against individual:	\$100.00
Payment Plan:	1 PAYMENT
Is Payment Plan Current:	Yes
Date Paid by individual:	01/11/1989
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	NOT PROVIDED



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	CLAIMANT ALLEGE UNSUITABLE, UNAUTHORIZED INVESTMENTS, RISKY SECURITIES, AND RISKY OPTIONS. CLAIMANT ALSO ALLEGE BREACH OF FIDUCIARY DUTY, FALSE REPRESENTATION, CHURNING, FRAUD, NEGLIGENCE, AND BREACH OF CONTRACT. 2000-2001.
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY-LISTED
Alleged Damages:	\$127,000.00

Customer Complaint Information

Date Complaint Received:	03/13/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/31/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD# 02-03521
Date Notice/Process Served:	07/31/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/22/2003



Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN

Allegations: CLIENT CLAIMED THAT I DID NOT EXECUTE A TRADE AS INSTRUCTED BY THE CLIENT RESULTING IN A MARKET OPPORTUNITY LOSS OF ABOUT \$11,000.00

Product Type:

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 10/01/1989

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$11,000.00

Individual Contribution Amount:

Broker Statement

SHEARSON LEHMAN SETTLED FOR ABOUT 11,000 IN COMPENSATION EQUAL TO THE AMOUNT OF PROFIT THAT WOULD'VE HAPPENED HAD THE OEX OPTIONS BEEN SOLD "AT THE OPEN". THE OEX OPTIONS OPENED 45 MINUTES EARLY DUE TO THE PREVIOUS FRIDAYS 100 PT. PLUS PLUNGE. I DID NOT REALIZE THIS AND ENTERED THE ORDER 3/4 HOUR INTO TRADING THEREBY MISSING THE CLIENTS BEST PRICE. I SPOKE TO MR EDWARD REITZ CONCERNING SELLING HIS OEX PUT OPTIONS AT A SUBSTANTIAL PROFIT "AT THE OPEN" MONDAY MORNING FOLLOWING A NEAR PANIC DROP IN THE MAARKET THE PREVIOUS FRIDAY. UNKNOWN TO ME THE C.B.O.E. DECIDED, OVER THE WEEKEND, TO OPEN THE OEX PVT OPTIONS 45 MINUTES EARLIER THAN NORMAL. I



ENTERED THE ORDER AT 9:15 AM "5 OR BETTER" WITH OPENING INDICATIONS AT 11. BY THE TIME I WAS ABLE TO GET STRAIGHT ANSWERS FROM THE WIRE ROOM THE OPTION WAS AT 3 1/2. I SOLD IT AT 15/16 AND NEEDLESS TO SAY THE CLIENT WAS LIVID.

Disclosure 3 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN

Allegations: THAT PVT OPTIONS REPRESENTED TOO MUCH RISK THAT WAS NOT ADEQUATELY EXPLAINED BY THE BROKER OR FIRM. AND THAT "STOP LOSS" ORDERS WERE NOT ADEQUATELY EXPLAINED TO THE CLIENT. ESPECIALLY REGARDING NOT GUARANTEEING A STOP LOSS IF THE STOCK STOPS TRADING AND OPENS LOWER.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/20/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$37,000.00

Individual Contribution Amount:

Broker Statement ROUGHLY 37,000 WAS PLACED IN [CUSTOMERS] ACCOUNT DUE TO LOSSES INCURRED AFTER BEING ASSIGNED MERCK 1000 SHARES AT 185 AND HAVING THEM BE "STOPPED OUT" AT 164 WITH A FINAL SAVE OF 148 (THE STOCK STOPPED TRADING AND RE-OPENED AT 148 WHERE IT SOLD. HIS LOSS OF 37,000 WAS PAID BY THE FIRM. SINCE I AM NO LONGER IN THE REDBANK BRANCH PHOTO COPIES OF STATEMENTS CAN BE PROVIDED IF ENOUGH TIME IS GRANTED TO OBTAIN THEM.



Disclosure 4 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON

Allegations:

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/21/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$12,311.68

Individual Contribution Amount:

Broker Statement STATEMENT REGARDING A SETTLEMENT WITH HIS CLIENT BY SHEARSON: "\$12,000.00 SETTLEMENT WAS MADE WITH [CUSTOMER] RESULTING FROM A MISUNDERSTANDING OF THE LOSS POTENTIAL OF A STOP LOSS ORDER. SETTLEMENT WAS MADE JANUARY 1988." ON OCTOBER 21, 1987 [CUSTOMER] COMPLAINED TO GLENN LEBOEUF IN A PHONE CONVERSATION. A SETTLEMENT OF \$12,311.68 WAS MADE ON 1/8/88.

Disclosure 5 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON

Allegations:

Product Type:

Alleged Damages:



Customer Complaint Information

Date Complaint Received: 10/16/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$17,675.00

**Individual Contribution
Amount:**

Broker Statement

GLENN LEBOEUF DISCLOSES THE FOLLOWING STATEMENT REGARDING A SETTLEMENT MADE WITH HIS CLIENT BY SHEARSON: "17,250.00 SETTLEMENT WAS MADE WITH [CUSTOMER] ON OCTOBER 16, 1987. [CUSTOMER] ISSUED INSTRUCTIONS FOR SEVERAL BUY AND SELL ORDERS. ONE ORDER WAS INADVERTENTLY OMITTED FROM ENTRY. THE ERROR WAS CORRECTED ON OCTOBER 20, 1987. SETTLEMENT WAS MADE JANUARY 1988." [CUSTOMER] COMPLAINED IN WRITING ON OCTOBER 16, 1987. A CREDIT WAS MADE FOR AN ORDER THAT LEBOEUF FAILED TO CLOSE OUT ON FRIDAY OCTOBER 16, 1987. BY THE TIME LEBOEUF REALIZED THE ORDER WAS NOT FILLED, IT LOST AND ADDITIONAL \$11,000.00. SETTLEMENT WAS MADE BY THE BRANCH ON 2/22/88 FOR \$17,675.00.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	CLIENT ALLEGES THAT STOCKS PURCHASED IN HIS AND HIS WIFE'S ACCOUNTS WERE UNSUITABLE AND THAT A STOCK PURCHASED IN HIS ACCOUNT WAS UNAUTHORIZED. 2000-2001
Product Type:	Equity - OTC
Other Product Type(s):	EQUITY-LISTED
Alleged Damages:	\$148,605.00

Customer Complaint Information

Date Complaint Received:	03/13/2002
Complaint Pending?	No
Status:	Denied
Status Date:	07/08/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT'S CLAIM WAS DENIED.

End of Report



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