

## BrokerCheck Report

**VINCENT WOO**

CRD# 1014737

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**VINCENT WOO**

CRD# 1014737

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

**IA MORGAN STANLEY**  
 609 Deep Valley Drive  
 Suite 400  
 Rolling Hills Estates, CA 90274  
 CRD# 149777  
 Registered with this firm since: 03/28/2025

**B MORGAN STANLEY**  
 609 Deep Valley Drive  
 Suite 400  
 Rolling Hills Estates, CA 90274  
 CRD# 149777  
 Registered with this firm since: 03/28/2025

**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:**

- 4 Self-Regulatory Organizations
- 32 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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

- IA RBC CAPITAL MARKETS, LLC**  
 CRD# 31194  
 NEW YORK, NY  
 04/2011 - 04/2025
- B RBC CAPITAL MARKETS, LLC**  
 CRD# 31194  
 Rolling Hills, CA  
 04/2011 - 04/2025
- B OPPENHEIMER & CO. INC.**  
 CRD# 249  
 LOS ANGELES, CA  
 07/2004 - 04/2011

**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
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 4 SROs and is licensed in 32 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **MORGAN STANLEY**

Main Office Address: **2000 WESTCHESTER AVENUE  
PURCHASE, NY 10577-2530**

Firm CRD#: **149777**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/28/2025
B	FINRA	General Securities Sales Supervisor	Approved	03/28/2025
B	NYSE American LLC	General Securities Representative	Approved	03/28/2025
B	NYSE American LLC	General Securities Sales Supervisor	Approved	03/28/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	03/28/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/28/2025
B	New York Stock Exchange	General Securities Representative	Approved	03/28/2025
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	03/28/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/28/2025
B	Alaska	Agent	Approved	04/03/2025
B	Arizona	Agent	Approved	03/28/2025
B	California	Agent	Approved	03/28/2025
IA	California	Investment Adviser Representative	Approved	04/01/2025

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	03/28/2025
B	Connecticut	Agent	Approved	03/28/2025
B	Delaware	Agent	Approved	03/28/2025
B	Florida	Agent	Approved	03/28/2025
B	Hawaii	Agent	Approved	03/31/2025
B	Idaho	Agent	Approved	03/28/2025
B	Illinois	Agent	Approved	04/03/2025
B	Indiana	Agent	Approved	04/01/2025
B	Louisiana	Agent	Approved	03/28/2025
B	Maryland	Agent	Approved	03/28/2025
B	Massachusetts	Agent	Approved	04/01/2025
B	Michigan	Agent	Approved	03/28/2025
B	Mississippi	Agent	Approved	04/25/2025
B	Nevada	Agent	Approved	03/28/2025
B	New Jersey	Agent	Approved	03/28/2025
B	New York	Agent	Approved	03/28/2025
B	North Carolina	Agent	Approved	03/28/2025
B	Ohio	Agent	Approved	03/28/2025
B	Oklahoma	Agent	Approved	03/31/2025
B	Oregon	Agent	Approved	03/28/2025
B	Pennsylvania	Agent	Approved	03/28/2025



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Puerto Rico	Agent	Approved	03/28/2025
B	Rhode Island	Agent	Approved	04/15/2025
B	Tennessee	Agent	Approved	03/28/2025
B	Texas	Agent	Approved	03/28/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/28/2025
B	Virginia	Agent	Approved	03/28/2025
B	Washington	Agent	Approved	04/14/2025
B	Wisconsin	Agent	Approved	03/28/2025

### Branch Office Locations

#### MORGAN STANLEY

609 Deep Valley Drive  
Suite 400  
Rolling Hills Estates, CA 90274



## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	05/04/2011
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	04/27/2011

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	10/10/2011
<b>B</b> General Securities Representative Examination	Series 7	10/17/1981

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/30/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/05/1982

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/](http://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
<b>B</b> 04/2011 - 04/2025	RBC CAPITAL MARKETS, LLC	31194	Rolling Hills, CA
<b>IA</b> 04/2011 - 04/2025	RBC CAPITAL MARKETS, LLC	31194	Rolling Hills, CA
<b>B</b> 07/2004 - 04/2011	OPPENHEIMER & CO. INC.	249	LOS ANGELES, CA
<b>IA</b> 07/2004 - 04/2011	OPPENHEIMER & CO. INC.	249	LOS ANGELES, CA
<b>IA</b> 07/1997 - 07/2004	CITIGROUP GLOBAL MARKETS INC.	7059	LOS ANGELES, CA
<b>B</b> 10/1994 - 07/2004	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
<b>B</b> 11/1981 - 11/1994	KIDDER, PEABODY & CO. INCORPORATED	7613	NEW YORK, NY

### 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
04/2025 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
03/2025 - Present	MORGAN STANLEY SMITH BARNEY LLC	FINANCIAL ADVISOR	Y	ROLLING HILLS ESTATES, CA, United States
09/2017 - 03/2025	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	CENTURY CITY, CA, United States
04/2011 - 03/2025	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	CENTURY CITY, CA, United States

### 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.

No information reported.

**Registration and Employment History**



**Other Business Activities, continued**

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## 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
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.

### Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY REGARDING THE PURCHASE OF AUCTION RATE SECURITIES.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$253,000,000.00

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	<a href="#">09-00878</a>
<b>Date Notice/Process Served:</b>	03/05/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award to Customer
<b>Disposition Date:</b>	03/13/2013
<b>Monetary Compensation Amount:</b>	\$30,000,000.00
<b>Individual Contribution Amount:</b>	\$0.00

**Firm Statement**

MR. WOO'S LIABILITY WAS JOINT AND SEVERAL, BUT LIMITED BY THE ARBITRATORS, NOT TO EXCEED THE DOLLAR AMOUNT OF HIS COMMISSIONS GENERATED BY CERTAIN TRANSACTIONS.

**Reporting Source:**

Broker

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

OPPENHEIMER & CO. INC.

**Allegations:**

CLAIM ALLEGES UNSUITABILITY REGARDING THE PURCHASE OF AUTION RATE SECURITIES

**Product Type:**

Other: AUCTION RATE SECURITIES

**Alleged Damages:**

\$253,000,000.00

**Customer Complaint Information****Date Complaint Received:****Complaint Pending?****Status:****Status Date:**

03/05/2009

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):**

FINRA

**Docket/Case #:**

[09-00878](#)

**Date Notice/Process Served:**

03/05/2009

**Arbitration Pending?**

No

**Disposition:**

Award to Customer

**Disposition Date:**

03/13/2013

**Monetary Compensation Amount:**

\$30,000,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** MR. WOO'S LIABILITY WAS JOINT AND SEVERAL, BUT LIMITED BY THE ARBITRATORS, NOT TO EXCEED THE DOLLAR AMOUNT OF HIS COMMISSIONS GENERATED BY CERTAIN TRANSACTIONS.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIMANTS ALLEGE INTER ALIA MISREPRESENTATIONS REGARDING ARS.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$65,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA, LOS ANGELES, CA
<b>Docket/Case #:</b>	12-02322
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/19/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/02/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	02/17/2014
<b>Settlement Amount:</b>	\$45,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	REGISTRANT IS NOT A NAMED RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.



<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIMANTS ALLEGE INTER ALIA MISREPRESENTATIONS REGARDING ARS.
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES
<b>Alleged Damages:</b>	\$65,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA, LOS ANGELES, CA
<b>Docket/Case #:</b>	12-02322
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/19/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/02/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	02/17/2014
<b>Settlement Amount:</b>	\$45,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	REGISTRANT IS NOT A NAMED RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

### Disclosure 2 of 5

<b>Reporting Source:</b>	Firm
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**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CUSTOMER ALLEGES, INTER ALIA, MISREPRESENTATIONS AND UNSUITABILITY OR ARS.

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$5,550,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 10-02063

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/30/2010

### Customer Complaint Information

**Date Complaint Received:** 05/17/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/09/2012

**Settlement Amount:** \$365,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** THE REGISTRANT IS NOT NAMED AS A RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.



**Allegations:** CUSTOMER ALLEGES, INTER ALIA, MISREPRESENTATIONS AND UNSUITABILITY OR ARS.

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$5,550,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 10-02063

**Filing date of arbitration/CFTC reparation or civil litigation:** 04/30/2010

### Customer Complaint Information

**Date Complaint Received:** 05/17/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/09/2012

**Settlement Amount:** \$365,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE REGISTRANT IS NOT NAMED AS A RESPONDENT AND DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM.

### Disclosure 3 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLAIMANT ALLEGES, INTER ALIA, UNSUITABILITY AND MISREPRESENTATIONS REGARDING THE SALE OF ARS



**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$3,500,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 10-05449

**Date Notice/Process Served:** 12/13/2010

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/12/2012

**Monetary Compensation Amount:** \$100,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** IN ADDITION TO MONETARY PAYMENT, THE FIRM HAS AGREED TO BUY BACK CLAIMANT'S ARS OVER TIME AT 90% OF PAR VALUE AND PAY THE DIFFERENCE UPON MATURITY.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC

**Allegations:** CLAIMANT ALLEGES, INTER ALIA, UNSUITABILITY AND MISREPRESENTATIONS REGARDING THE SALE OF ARS

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$3,500,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 10-05449



**Date Notice/Process Served:** 11/30/2010  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/12/2012  
**Monetary Compensation Amount:** \$100,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** IN ADDITION TO MONETARY PAYMENT, THE FIRM HAS AGREED TO BUY BACK CLAIMANT'S ARS OVER TIME AT 90% OF PAR VALUE AND PAY THE DIFFERENCE UPON MATURITY.

#### Disclosure 4 of 5

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.  
**Allegations:** CLAIMANT, A PUBLIC COMPANY, CLAIMS BREACH OF FIDUCIARY DUTY, UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, AND FAILURE TO SUPERVISE REGARDING ARS INVESTMENTS IN JULY 2007.  
**Product Type:** Other: AUCTION RATE SECURITIES  
**Alleged Damages:** \$14,450,000.00

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA  
**Docket/Case #:** 10-01121  
**Date Notice/Process Served:** 03/17/2010  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 03/27/2012  
**Monetary Compensation Amount:** \$3,000,000.00



**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLAIMANT, A PUBLIC COMPANY, CLAIMS BREACH OF FIDUCIARY DUTY, UNSUITABILITY, MISREPRESENTATION, NEGLIGENCE, AND FAILURE TO SUPERVISE REGARDING ARS INVESTMENTS IN JULY 2007.

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$14,450,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 10-01121

**Date Notice/Process Served:** 03/17/2010

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/27/2012

**Monetary Compensation Amount:** \$3,000,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 5 of 5

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY

**Allegations:** CORPORATE REPRESENTATIVE ALLEGED THAT THE CMO BOUGHT ON JUNE 7,2001 VIOLATED THE CORPORATION'S INVESTMENT POLICY.



DAMAGES UNSPECIFIED.

**Product Type:** Debt - Asset Backed

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 07/27/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/27/2001

**Settlement Amount:** \$8,812.00

**Individual Contribution Amount:** \$2,937.33

**Broker Statement** THE CLAIM WAS ADJUSTED; LOSS INCURRED WAS \$8,812.

## End of Report



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