

## BrokerCheck Report

**WILLIAM LAWRENCE CHAMBERS**

CRD# 1158898

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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).



**WILLIAM L. CHAMBERS**  
CRD# 1158898

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

- IA HUNTLEIGH ADVISORS, INC.**  
7800 Forsyth Blvd - 5th Floor  
St. Louis, MO 63105  
CRD# 113412  
Registered with this firm since: 10/15/2024
- B HUNTLEIGH SECURITIES CORPORATION**  
7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105  
CRD# 7456  
Registered with this firm since: 10/01/2007

**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
- 34 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):

- B ROBERT W. BAIRD & CO. INCORPORATED**  
CRD# 8158  
ST. LOUIS, MO  
05/2000 - 10/2007
- IA ROBERT W. BAIRD & CO. INCORPORATED**  
CRD# 8158  
MILWAUKEE, WI  
08/2000 - 07/2005
- B CIBC WORLD MARKETS CORP.**  
CRD# 630  
NEW YORK, NY  
02/1994 - 05/2000

**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	4



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 34 U.S. states and territories through his or her employer.**

Employment 1 of 2

Firm Name: HUNTLEIGH ADVISORS, INC.  
Main Office Address: 7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105  
Firm CRD#: 113412

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	10/24/2024
IA	Missouri	Investment Adviser Representative	Approved	10/15/2024
IA	North Carolina	Investment Adviser Representative	Approved	10/16/2024

Branch Office Locations

7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105

7800 Forsyth Blvd - 5th Floor  
St. Louis, MO 63105

Employment 2 of 2

Firm Name: HUNTLEIGH SECURITIES CORPORATION  
Main Office Address: 7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105  
Firm CRD#: 7456



## Broker Qualifications

### Employment 2 of 2, continued

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	10/01/2007
<b>B</b> FINRA	General Securities Sales Supervisor	Approved	10/01/2007

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	08/19/2015
<b>B</b> Arkansas	Agent	Approved	11/16/2007
<b>B</b> California	Agent	Approved	07/24/2008
<b>B</b> Colorado	Agent	Approved	01/11/2011
<b>B</b> Delaware	Agent	Approved	08/28/2017
<b>B</b> Florida	Agent	Approved	10/01/2007
<b>B</b> Georgia	Agent	Approved	10/12/2021
<b>B</b> Idaho	Agent	Approved	09/10/2014
<b>B</b> Illinois	Agent	Approved	10/01/2007
<b>B</b> Indiana	Agent	Approved	10/04/2007
<b>B</b> Iowa	Agent	Approved	10/08/2007
<b>B</b> Kansas	Agent	Approved	10/01/2007
<b>B</b> Kentucky	Agent	Approved	01/11/2011
<b>B</b> Maryland	Agent	Approved	10/29/2018
<b>B</b> Michigan	Agent	Approved	10/14/2021
<b>B</b> Minnesota	Agent	Approved	12/24/2024
<b>B</b> Missouri	Agent	Approved	10/04/2007
<b>B</b> Nebraska	Agent	Approved	09/10/2019



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	10/01/2007
B	New Jersey	Agent	Approved	10/01/2007
B	New York	Agent	Approved	10/01/2007
B	North Carolina	Agent	Approved	01/12/2011
B	Ohio	Agent	Approved	10/01/2007
B	Oklahoma	Agent	Approved	01/18/2012
B	Oregon	Agent	Approved	10/01/2007
B	Pennsylvania	Agent	Approved	10/30/2018
B	South Carolina	Agent	Approved	10/03/2007
B	South Dakota	Agent	Approved	03/03/2025
B	Tennessee	Agent	Approved	06/14/2016
B	Texas	Agent	Approved	10/01/2007
B	Utah	Agent	Approved	10/01/2007
B	Virginia	Agent	Approved	10/01/2007
B	Washington	Agent	Approved	10/01/2007
B	Wisconsin	Agent	Approved	10/03/2019

### Branch Office Locations

#### HUNTLEIGH SECURITIES CORPORATION

7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105



## 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	04/01/2005
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	03/01/2005

### 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	08/29/1983
<b>B</b> General Securities Representative Examination	Series 7	07/16/1983

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	07/22/2024
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/25/1983

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> 05/2000 - 10/2007	ROBERT W. BAIRD & CO. INCORPORATED	8158	ST. LOUIS, MO
<b>IA</b> 08/2000 - 07/2005	ROBERT W. BAIRD & CO. INCORPORATED	8158	ST. LOUIS, MO
<b>B</b> 02/1994 - 05/2000	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
<b>B</b> 08/1988 - 01/1994	DEAN WITTER REYNOLDS INC.	7556	
<b>B</b> 07/1988 - 01/1994	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
<b>B</b> 04/1988 - 07/1988	SHEARSON LEHMAN HUTTON INC.	7506	
<b>B</b> 07/1983 - 04/1988	E. F. HUTTON & COMPANY INC	235	

### 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
09/2024 - Present	HUNTLEIGH ADVISORS, INC.	Investment Advisor Representative	Y	ST. LOUIS, MO, United States
10/2007 - Present	HUNTLEIGH SECURITIES CORPORATION	SALES MANAGER	Y	ST. LOUIS, MO, 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.

## 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	4	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 - 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 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** CIBC WORLD MARKETS CORP.

**Allegations:** [CUSTOMER] AS TRUSTEE OF [CUSTOMER] FAMILY IRREVOCABLE TRUST, ALLEGES THAT MR. CHAMBERS RECOMMENDED TWO INCOME FUNDS, THE EATON VANCE CLASSIC SENIOR FLOATING RATE FUND AND THE VAN KAMPEN AMERICAN CAPITAL SENIOR INCOME TRUST, THAT WERE NOT SUITABLE DUE TO THEIR LIQUIDATION COSTS. [CUSTOMER] FURTHER ALLEGES THAT MR. CHAMBERS SWITCHED THEM FROM THE EATON VANCE FUND TO THE VAN KAMPEN FUND WITHOUT THEIR AUTHORIZATION AND THAT THEIR SALE OF THE VAN KAMPEN FUND CAUSED THEM LOSSES OF \$384,042.16.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$384,042.16

### Customer Complaint Information

**Date Complaint Received:** 03/01/2001

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/16/2001

**Settlement Amount:**

**Individual Contribution**



**Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD #01-03561

**Date Notice/Process Served:** 07/16/2001

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/27/2002

**Monetary Compensation Amount:** \$232,500.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CIBS OPPENHEIMER CORP. A/K/A CIBC WORLD MARKETS

**Allegations:** THE TRUSTEE OF [CUSTOMER]S FAMILY IRREVOCABLE TRUST ALLEGES THAT INVESTMENTS IN TWO INCOME FUNDS, THE EATON VANCE CLASSIC SENIOR FUND AND THE VAN KAMPEN AMERICAN CAPITAL SENIOR INCOME TRUST, WERE UNSUITABLE AND THAT THE EXCHANGE FROM THE EATON VANCE FUND TO THE VAN KAMPEN FUND WAS UNAUTHORIZED. IN ADDITION THE TRUSTEE ALLEGES THE SALE OF THE VAN KAMPEN FUND CAUSED A LOSS OF \$384,042.16. HOWEVER, THE TRANSACTIONS WERE AUTHORIZED BY ANOTHER TRUSTEE WHO WAS IN PLACE AT THE TIME.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$384,042.16

### Customer Complaint Information

**Date Complaint Received:** 07/13/2001

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 08/01/2001

**Settlement Amount:**



**Individual Contribution  
Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** NASD-DR CASE NUMBER 01-03561

**Date Notice/Process Served:** 07/13/2001

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/27/2002

**Monetary Compensation  
Amount:** \$232,500.00

**Individual Contribution  
Amount:** \$0.00

**Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** SHEARSON LEHMAN HUTTON INC.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$300,000.00

**Customer Complaint Information**

**Date Complaint Received:** 03/01/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$15,000.00

**Individual Contribution  
Amount:** \$0.00

**Firm Statement** HUTTON SOUGHT TO RECOVER A DEBIT OF \$26,327. IN THE ACCOUNT OF



[CUSTOMER]. THERE WAS TWO OTHER RELATED ACCOUNTS, BOTH ESTATE ACCOUNTS WITH [OTHER CUSTOMER NAMED] AS EXECUTOR. HUTTON CONTENDED THAT THE DEBIT AROSE BECAUSE [OTHER CUSTOMER NAMED] ORDERED STOCK TO BE TRANSFERRED BETWEEN ACCOUNTS AND TO BE SOLD, BUT DID NOT SIGN THE NECESSARY DOCUMENTS AFTER PROMISING TO DO SO, AND THE STOCK HAD TO BE BOUGHT BACK AND THEN SOLD AGAIN. HUTTON BROUGHT SUIT IN STATE COURT. [CUSTOMER]'S ATTORNEY CONTENDED THAT THE TRANSFERS OF STOCK WERE MADE WITHOUT APPROPRIATE AUTHORIZATION AND WITHOUT PROPER DOCUMENTATION, AND HE THREATENED TO SUE HUTTON AND THE BROKER, WILLIAM F. CHAMBERS IN FEDERAL COURT. LARGELY TO AVOID THE TIME AND EXPENSES OF BEING INVOLVED IN TWO CIVIL LAWSUITS, HUTTON DECIDED TO SETTLE THE DISPUTE BY PAYING THE CUSTOMER \$15,000. OF THE \$16,327. DEBIT BALANCE, APPROXIMATELY \$17,000 WAS RECOVERED AND \$9,000. WAS WRITTEN OFF.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN HUTTON INC.

**Allegations:** \$300,000 FOR FINANCIAL AND EMOTIONAL STRESS.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$300,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/01/1987

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/15/1987

**Settlement Amount:** \$15,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** IN ORDER TO AVOID THE TIME AND EXPENSE OF LITIGATION SHEARSON SETTLED WITH THE CLIENT FOR \$15,000. I DID NOT



CONTRIBUTE TO THE SETTLEMENT. THE DEBIT BALANCE IN MS. [CUSTOMER]'S ACCOUNT WAS SOLELY THE RESULT OF HER SON, [OTHER CUSTOMER NAMED] (EXECUTOR OF PARENTS' ESTATE). FAILING TO PROVIDE THE REQUIRED LEGAL DOCUMENTATION TO SELL THE STOCK CERTIFICATES. THE FIRM HAD TO BUY BACK THE STOCK AND RE-SELL AT A LOWER MARKET PRICE. IN DISCUSSING THE MATTER WITH ME, SHE BLAMED HER SON'S IRRESPONSIBILITY.

NOT CONTRIBUTE TO THE SETTLEMENT.

THE DEBIT BALANCE IN [CUSTOMER]'S ACCOUNT WAS SOLELY THE RESULT OF HER SON, [OTHER CUSTOMER NAMED] (EXECUTOR OF HER PARENTS' ESTATE), FAILING TO PROVIDE THE REQUIRED LEGAL DOCUMENTATION TO SELL THE STOCK CERTIFICATES. THE FIRM HAD TO BUY BACK THE STOCK AND RE-SELL AT A LOWER MARKET PRICE. IN DISCUSSING THE MATTER WITH ME, SHE BLAMED HER SON'S IRRESPONSIBILITY.



## 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 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	HUNTLEIGH SECURITIES CORPORATION
<b>Allegations:</b>	CLIENT FILED A COMPLAINT WITH THE ILLINOIS DEPARTMENT OF INSURANCE, CLAIMING SHE WAS NOT FULLY INFORMED ABOUT THE SURRENDER CHARGES ON A VARIABLE ANNUITY SHE PURCHASED IN NOVEMBER 2010. PAPERWORK SIGNED BY THE CLIENT AT THE TIME OF SALE, AS WELL AS A STATEMENT BY THE RR CONFIRM SHE WAS AWARE OF THE SURRENDER CHARGES.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$15,500.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	APPROXIMATE AMOUNT OF THE SURRENDER CHARGES WHICH WOULD BE INCURRED IF CONTRACT WAS LIQUIDATED.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/23/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	02/23/2017
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



**Broker Statement**

THE INFORMATION AND DOCUMENTATION AVAILABLE CONFIRM THE CONTRACT WAS SUITABLE AT THE TIME OF SALE AND THAT THE CLIENT WAS AWARE OF THE CONTRACT'S SURRENDER CHARGES. NO FURTHER ACTION WAS TAKEN - COMPLAINT HAS BEEN CLOSED.

**Disclosure 2 of 2****Reporting Source:**

Firm

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

CIBC WORLD MARKETS CORP.

**Allegations:**

THE CUSTOMER COMPLAINT ALLEGES THAT MR. CHAMBERS MISREPRESENTED MATERIAL FACTS REGARDING THE ANNUITIES HE RECOMMENDED TO CUSTOMER. THE CUSTOMER SEEKS RECOVERY OF DAMAGES IN EXCESS OF \$5,000.00.

**Product Type:**

Debt - Corporate

**Other Product Type(s):**

ANNUITIES

**Alleged Damages:**

\$5,000.00

**Customer Complaint Information****Date Complaint Received:**

02/26/2001

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

04/04/2001

**Settlement Amount:****Individual Contribution Amount:****Reporting Source:**

Broker

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

CBIC WORLD MARKETS CORP

**Allegations:**

THE CUSTOMER COMPLAINT ALLEGES THAT MR CHAMBERS MISREPRESENTED MATERIAL FACTS REGARDING THE ANNUITIES HE RECOMMENDED TO CUSTOMER. THE CUSTOMER SEEKS RECOVERY OF DAMAGES IN EXCESS OF \$5,000.00.



**Product Type:** Annuity(ies) - Fixed

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

### **Customer Complaint Information**

**Date Complaint Received:** 02/26/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/04/2001

**Settlement Amount:**

**Individual Contribution  
Amount:**

## End of Report



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