

## BrokerCheck Report

**WILLIAM FRED CORNETT JR**

CRD# 1188591

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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 F. CORNETT JR**

CRD# 1188591

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

**IA MORGAN STANLEY**  
 3801 PGA Boulevard  
 Suite 700  
 Palm Beach Gardens, FL 33410  
 CRD# 149777  
 Registered with this firm since: 06/01/2009

**B MORGAN STANLEY**  
 3801 PGA Boulevard  
 Suite 700  
 Palm Beach Gardens, FL 33410  
 CRD# 149777  
 Registered with this firm since: 06/01/2009

**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
- 36 U.S. states and territories

**This broker has passed:**

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

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

- IA MORGAN STANLEY & CO. INCORPORATED**  
 CRD# 8209  
 NEW YORK, NY  
 04/2007 - 06/2009
- B MORGAN STANLEY & CO. INCORPORATED**  
 CRD# 8209  
 NORTH PALM BEACH, FL  
 04/2007 - 06/2009
- IA MORGAN STANLEY**  
 CRD# 7556  
 PURCHASE, NY  
 01/2000 - 04/2007

**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	3



## 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 36 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	06/01/2009
B	NYSE American LLC	General Securities Representative	Approved	06/17/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/01/2009
B	New York Stock Exchange	General Securities Representative	Approved	06/01/2009

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/28/2011
B	Arizona	Agent	Approved	06/01/2009
B	California	Agent	Approved	06/01/2009
B	Colorado	Agent	Approved	06/01/2009
B	Connecticut	Agent	Approved	06/01/2009
B	Delaware	Agent	Approved	11/07/2017
B	District of Columbia	Agent	Approved	06/02/2025
B	Florida	Agent	Approved	06/01/2009
IA	Florida	Investment Adviser Representative	Approved	06/01/2009

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	06/01/2009
B	Hawaii	Agent	Approved	09/12/2025
B	Idaho	Agent	Approved	08/17/2022
B	Illinois	Agent	Approved	06/01/2009
B	Kentucky	Agent	Approved	06/01/2009
B	Maine	Agent	Approved	06/01/2009
B	Maryland	Agent	Approved	06/01/2009
B	Massachusetts	Agent	Approved	06/01/2009
B	Michigan	Agent	Approved	06/01/2009
B	Minnesota	Agent	Approved	06/16/2021
B	Missouri	Agent	Approved	04/20/2016
B	Montana	Agent	Approved	06/12/2025
B	Nevada	Agent	Approved	04/30/2021
B	New Hampshire	Agent	Approved	06/03/2025
B	New Jersey	Agent	Approved	06/01/2009
B	New York	Agent	Approved	06/01/2009
B	North Carolina	Agent	Approved	06/01/2009
B	Ohio	Agent	Approved	06/01/2009
B	Oregon	Agent	Approved	10/07/2019
B	Pennsylvania	Agent	Approved	06/01/2009
B	Rhode Island	Agent	Approved	06/01/2009



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	06/01/2009
B	Tennessee	Agent	Approved	06/27/2014
B	Texas	Agent	Approved	06/01/2009
IA	Texas	Investment Adviser Representative	Restricted Approval	06/01/2009
B	Utah	Agent	Approved	05/07/2019
B	Vermont	Agent	Approved	06/02/2025
B	Virginia	Agent	Approved	06/01/2009
B	Washington	Agent	Approved	11/21/2014

### Branch Office Locations

#### MORGAN STANLEY

3801 PGA Boulevard  
Suite 700  
Palm Beach Gardens, FL 33410



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

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	09/17/1983

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/26/1998
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/06/1983

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> 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NORTH PALM BEACH, FL
<b>IA</b> 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	NORTH PALM BEACH, FL
<b>IA</b> 01/2000 - 04/2007	MORGAN STANLEY	7556	NORTH PALM BEACH, FL
<b>B</b> 12/1999 - 04/2007	MORGAN STANLEY DW INC.	7556	NORTH PALM BEACH, FL
<b>B</b> 09/1986 - 12/1999	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 10/1983 - 09/1986	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
<b>B</b> 08/1986 - 09/1986	PRUDENTIAL-BACHE SECURITIES INC.	7471	

### 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	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - Present	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	NORTH PALM BEACH, FL, United States
04/2007 - Present	MORGAN STANLEY & CO., INCORPORATED	MASS TRANSFER	Y	NORTH PALM BEACH, FL, 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

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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
Regulatory Event	0	1	0
Customer Dispute	0	3	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:** FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECTION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/23/1996

**Docket/Case Number:** 2251-S-10/95

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** ON FEBRUARY 23, 1996, THE FLORIDA DEPARTMENT OF BANKING AND FINANCE ISSUED AN ADMINISTRATIVE COMPLAINT FOR THE ENTRY OF AN ORDER TO CEASE AND DESIST AND IMPOSITION OF PENALTIES WITH NOTICES OF RIGHTS AGAINST RESPONDENT WILLIAM FRED CORNETT, JR. THE ADMINISTRATIVE COMPLAINT ALLEGES VIOLATIONS OF CHAPTER 517, F.S., THE ADMINISTRATIVE RULES PROMULGATED THEREUNDER, AND THE NASD RULES OF FAIR PRACTICE: IN



THAT RESPONDENT CORNETT RECOMMENDED UNSUITABLE  
TRANSACTIONS AND  
TRADED EXCESSIVELY IN REGARDS TO THE COMPLAINANT ACCOUNT.

**Current Status:**

Final

**Resolution:**

Stipulation and Consent

**Resolution Date:**

08/09/1996

**Sanctions Ordered:**

Disgorgement/Restitution

**Other Sanctions Ordered:**

**Sanction Details:**

ON AUGUST 9, 1996, THE FLORIDA DEPARTMENT OF  
BANKING AND FINANCE ISSUED A FINAL ORDER ENTERING INTO A  
STIPULATION AND CONSENT AGREEMENT REGARDING RESPONDENT  
WILLIAM  
FRED CORNETT. THE FINAL ORDER INCORPORATED THE STIPULATIONS  
AND  
CONSENT AGREEMENT DATED JULY 23, 1996. PURSUANT TO THE  
STIPULATION AGREEMENT RESPONDENT CORNETT NEITHER ADMITS NOR  
DENIES THE VIOLATIONS IN THE ADMINISTRATIVE COMPLAINT, DATED  
8/23/96, OR THAT ANY GROUNDS EXIST FOR AN ADMINISTRATIVE  
PROCEEDING. IN ACCORDANCE WITH THE STIPULATION AGREEMENT THE  
RESPONDENT CORNETT AGREES: TO ATTEND THE REGULATORY  
ELEMENT OF  
THE NASD'S CONTINUING EDUCATION COURSE WITH SIX MONTHS; TO  
PROVIDE RESTITUTION TO THE COMPLAINANT IN THE AMOUNT OF \$9,500;  
AND TO ENTER A REGISTRATION AGREEMENT WITH DEPARTMENT FOR A  
PERIOD OF TWO YEARS, EFFECTIVE 8/9/96. THE TERMS OF THE  
REGISTRATION AGREEMENT PROVIDE, BUT ARE NOT LIMITED TO THE  
FOLLOWING: CORNETT AGREES NOT TO EXERCISE DISCRETIONARY  
AUTHORITY IN ANY ACCOUNT OF ANY PERSON DOMICILED IN THE STATE  
OF FLORIDA; AGREES NOT TO ACT IN ANY PRINCIPAL, SUPERVISORY, OR  
MANAGERIAL CAPACITY IN CONNECTION WITH HIS EMPLOYMENT IN THE  
SECURITIES INDUSTRY, WITH RESPECT TO THE ACCOUNTS OF ANY  
PERSONS DOMICILED IN THE STATE OF FLORIDA; AND AGREES NOT TO  
ENGAGE IN ANY PROHIBITED BUSINESS PRACTICES, AS DEFINED BY THE  
FLORIDA ADMINISTRATIVE CODE. SUCH CONDITION WILL REMAIN IN  
EFFECT FOR TWO YEARS FROM THE DATE OF THE FINAL ORDER, ISSUED  
8/9/96.

**Regulator Statement**

CONTACT: BILL REILLY (904) 488-9805

**Reporting Source:**

Broker



**Regulatory Action Initiated By:** STATE OF FLORIDA-BASED ON CUSTOMER COMPLAINT BY CUSTOMER

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/23/1996

**Docket/Case Number:** 2251-S-10/95

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** STATE OF FLORIDA ALLEGED THAT MR. CORNETT MADE UNSUITABLE RECOMMENDATIONS AND ENGAGED IN EXCESSIVE TRADING IN CUSTOMER'S ACCOUNT RESULTING IN TRADING LOSSES OF \$1,600.00 AND SOUGHT RECOVERY OF COMMISSIONS EARNED BY THE FIRM AND BY MR. CORNETT OF APPROXIMATELY \$10,000.00

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 08/09/1996

**Sanctions Ordered:** Disgorgement/Restitution

**Other Sanctions Ordered:**

**Sanction Details:** CUSTOMER AGREED TO ACCEPT RESTITUTION OF \$9,500.00 IN EXCHANGE FOR A GENERAL RELEASE MR. CORNETT WITHOUT ADMITTING THE ALLEGATIONS CONTAINED IN THE ADMINISTRATIVE ACTION CONSENTED TO THE ENTRY OF AN ORDER TO PAY RESTITUTION OF \$9,500.00 TO CUSTOMER; TO ATTEND THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION COURSE; AND TO ENTER INTO A TWO YEAR REGISTRATION AGREEMENT FOR CLOSER SUPERVISION. THE \$9,500.00 WAS PAID BY THE FIRM AND MR. CORNETT WAS NOT ASKED TO CONTRIBUTE.

**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 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY & CO. INC.
<b>Allegations:</b>	THIS COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.
<b>Product Type:</b>	Debt-Asset Backed
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNSPECIFIED
<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>	02/29/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/02/2009
<b>Settlement Amount:</b>	\$175,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE





MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

#### Disclosure 2 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MSDW
<b>Allegations:</b>	THE CUSTOMER ALLEGES THE FA MADE AN UNSUITABLE ACCOUNT RECOMMENDATION
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	CHOICE ACCOUNT
<b>Alleged Damages:</b>	\$7,577.00

#### Customer Complaint Information

<b>Date Complaint Received:</b>	05/23/2006
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/05/2006
<b>Settlement Amount:</b>	\$3,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY & CO. INCORPORATED
<b>Allegations:</b>	IT IS CLAIMED THAT FINANCIAL ADVISOR ALLEGEDLY FAILED TO FOLLOW CUSTOMER'S INSTRUCTIONS TO LIQUIDATE SECURITIES ON AUGUST 13, 2008.
<b>Product Type:</b>	Mutual Fund Other: OPEN-END
<b>Alleged Damages:</b>	\$9,500.00
<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>	04/14/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	05/14/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

## End of Report



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