

BrokerCheck Report

CHARLES EDWARD WHITE II

CRD# 1345688

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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



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.

CHARLES E. WHITE II

CRD# 1345688

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B BARRETT & COMPANY**
CRD# 1175
PROVIDENCE, RI
05/1992 - 11/2020
- B AMERICAN SECURITIES & RESEARCH CORPORATION**
CRD# 19404
05/1987 - 05/1992
- B COMMONWEALTH EQUITY SERVICES, INC.**
CRD# 8032
09/1986 - 05/1987

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
Investigation	1
Customer Dispute	7

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 broker is not currently registered.



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	03/05/1987

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Corporate Securities Limited Representative Examination	Series 62	10/21/1988
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/07/1985

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/29/1985

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
B 05/1992 - 11/2020	BARRETT & COMPANY	1175	PROVIDENCE, RI
B 05/1987 - 05/1992	AMERICAN SECURITIES & RESEARCH CORPORATION	19404	
B 09/1986 - 05/1987	COMMONWEALTH EQUITY SERVICES, INC.	8032	
B 10/1985 - 08/1986	INVESTMENT BROKERS OF AMERICA	14607	
B 03/1985 - 11/1985	WADDELL & REED, INC.	866	

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
04/1992 - Present	BARRETT & COMPANY	REGISTERED REPRESENTATIVE	Y	PROVIDENCE, RI, 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.

ATW COMPANIES, NON-INVESTMENT RELATED, METAL FABRICATORS, DIRECTOR, 3/1/2012, 1 HR PER MONTH.

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.
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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	7	N/A
Investigation	1	N/A	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:	MASSACHUSETTS
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	07/14/1987
Docket/Case Number:	E-87-117
Employing firm when activity occurred which led to the regulatory action:	COMMONWEALTH EQUITY SERVICES, INC
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	CHARLES EDWARD WHITE, WHILE REGISTERED WITH MEMBER FIRM, FROM NOVEMBER 28, 1986 TO MAY 14, 1987 ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS BY PARTICIPATING AS AN AGENT IN A SCHEME TO RECEIVE COMMISSIONS ON SECURITIES TRANSACTIONS EFFECTED THROUGH AN UNAFFILIATED BROKER-DEALER'S REGISTERED REPRESENTATIVE. FURTHERMORE, ON VARIOUS DATES FROM OCTOBER 1985 TO THE PRESENT, MR. WHITE HAS OFFERED AND/OR SOLD SECURITIES TO RESIDENTS OF THE COMMONWEALTH OF



MASSACHUSETTS WHEN HE WAS NOT REGISTERED TO TRANSACT BUSINESS AS AN AGENT OF AN UNREGISTERED BROKER-DEALER IN THE COMMONWEALTH; AND AT A TIME WHEN THE SECURITIES WERE NOT REGISTERED UNDER SECTION 301 OF THE MASSACHUSETTS SECURITIES ACT.

Current Status: Final

Resolution: Consent

Resolution Date: 07/14/1987

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: PURSUANT TO STATUTORY OBLIGATION TO PROTECT THE PUBLIC INTEREST, AND HAVING NOTED PRIOR VIOLATIONS OF THE MASSACHUSETTS SECURITIES ACT, THE MASS. SECURITIES DIVISION DIRECTED TO RESPONDENT CHARLES EDWARD WHITE, II, A NOTICE TO SHOW CAUSE WHY BROKER-DEALER REGISTRATION SHOULD NOT BE DENIED. HE HAS SINCE AGREED TO WITHDRAW HIS APPLICATION FOR REGISTRATION, WITH THE UNDERSTANDING THAT HE WILL NOT SELL SECURITIES IN MASS UNTIL HE IS DULY REGISTERED. THE SECURITIES DIVISION SUBSEQUENTLY REQUESTED THAT THE PROCEEDINGS BE SUSPENDED.

Regulator Statement ADDITIONAL DETAILS REGARDING THE "PRIOR VIOLATIONS" AS FOLLOWS: CHARLES EDWARD WHITE, WHILE REGISTERED WITH MEMBER FIRM, FROM NOVEMBER 28, 1986 TO MAY 14, 1987 ENGAGED IN DISHONEST OR UNETHICAL PRACTICES IN THE SECURITIES BUSINESS BY PARTICIPATING AS AN AGENT IN A SCHEME TO RECEIVE COMMISSIONS ON SECURITIES TRANSACTIONS EFFECTED THROUGH AN UNAFFILIATED BROKER-DEALER'S REGISTERED REPRESENTATIVE. FURTHERMORE, ON VARIOUS DATES FROM OCTOBER 1985 TO THE PRESENT, MR. WHITE HAS OFFERED AND/OR SOLD SECURITIES TO RESIDENTS OF THE COMMONWEALTH OF MASSACHUSETTS WHEN HE WAS NOT REGISTERED TO TRANSACT BUSINESS AS AN AGENT OF AN UNREGISTERED BROKER-DEALER IN THE COMMONWEALTH; AND AT A TIME WHEN THE SECURITIES WERE NOT REGISTERED UNDER SECTION 301 OF THE MASSACHUSETTS SECURITIES ACT.

Reporting Source: Broker

Regulatory Action Initiated By: MASSACHUSETTS

Sanction(s) Sought:


Other Sanction(s) Sought:

Date Initiated: 07/14/1987

Docket/Case Number: E-87-117

Employing firm when activity occurred which led to the regulatory action: COMMONWEALTH EQUITY SERVICES, INC

Product Type:

Other Product Type(s):

Allegations: THAT I SOLD UNREGISTERED SECURITIES AS A REPRESENTATIVE. THERE WERE NO ACTUAL DAMAGES OR CLAIMS.

Current Status: Final

Resolution: Consent

Resolution Date: 07/14/1987

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: MASSACHUSETTS RESTRICTED REGISTRATION UNTIL IT WAS DETERMINED I DID NOT WILLFULLY DISTRIBUTE UNREGISTERED SECURITIES IN THE STATES.

Broker Statement THE PROCEEDING WAS AGAINST NUMEROUS REPRESENTATIVE. WHEN I APPLIED FOR MASSACHUSETTS REGISTRATION THE STATE WAS NOT THROUGH WITH THEIR REVIEW PROCESS AND RESTRICTED MY REGISTRATION UNTIL THEY APPROVED ME IN THE STATE. NO ACTION WAS EVER TAKEN AGAINST ME.



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source:	Firm
Initiated By:	The Commonwealth of Massachusetts, Securities Division
Notice Date:	06/20/2019
Details:	The Enforcement Section of the Division is conducting an inquiry into the Representative in connection with the accounts of a client.
Is Investigation pending?	Yes



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 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Barrett & Company

Allegations: Charles White was named in a customer complaint that asserted the following causes of action: suitability; negligence; breach of fiduciary duty; failure to supervise; and violations of FINRA Rules 2090, 2111, and 3010.

Product Type: Other: Unspecified Securities

Alleged Damages: \$1,200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #21-02361](#)

Date Notice/Process Served: 09/17/2021

Arbitration Pending? No

Disposition: Award

Disposition Date: 12/08/2022

Disposition Detail: Respondent Charles White is jointly and severally liable for and shall pay to Claimants the sum of \$534,397.00 in compensatory damages.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: Claimants allege that Mr. White had caused the accounts of [REDACTED] to be unsuitably invested in high-risk securities in 2014 resulting in substantial losses by the year 2020.

Product Type: Other: Customized Portfolio

Alleged Damages: \$1,200,000.00



Alleged Damages Amount Explanation (if amount not exact): Claimants report damages in excess of \$1.2M resulting from negligence, breach of fiduciary duties, out of pocket loss of \$294,000, trading fees, attorney fees and arbitration fees.

Arbitration Information

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

FINRA

Docket/Case #:

[21-02361](#)

Date Notice/Process Served:

09/23/2021

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

12/08/2022

Monetary Compensation Amount:

\$534,397.00

Individual Contribution Amount:

\$267,198.50

Disclosure 2 of 3

Reporting Source:

Regulator

Employing firm when activities occurred which led to the complaint:

Barrett & Company

Allegations:

White was named in a customer complaint that asserted the following causes of action: violation of FINRA Rules 2090, 2111, and 3010; breach of fiduciary duty; and negligence.

Product Type:

Other: Unspecified Securities

Alleged Damages:

\$1,600,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:

[FINRA - CASE #21-00876](#)

Date Notice/Process Served:

04/06/2021

Arbitration Pending?

No



Disposition: Award

Disposition Date: 06/09/2022

Disposition Detail: White is jointly and severally liable for and shall pay to one Claimant the sum of \$7,000.00 in compensatory damages; and is jointly and severally liable and shall pay to the other Claimants the sum of \$290,000.00 in compensatory damages. White is also jointly and severally liable for and shall pay to Claimants the sum of \$50,000.00 in punitive damages; and is jointly and severally liable for and shall pay to Claimants \$600.00 for the non-refundable portion of the filing fee paid to FINRA Dispute Resolution Services.

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Barrett & Company

Allegations: Claimants allege that Mr. White placed them into unsuitable investments in the year 2013 which by the time of Mr. White's retirement from Barrett & Company in 2020 had lost significant value.

Product Type: Other: Customized portfolio

Alleged Damages: \$1,600,000.00

Alleged Damages Amount Explanation (if amount not exact): Damages are based on losses totaling \$636,000.00 plus potential returns that would have been expected if suitably invested.

Arbitration Information

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

FINRA

Docket/Case #: [21-00876](#)

Date Notice/Process Served: 04/12/2021

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/08/2022

Monetary Compensation Amount: \$347,600.00



Individual Contribution Amount: \$173,800.00

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Barrett & Company

Allegations: breach of fiduciary duty, negligence, and suitability.

Product Type: Other: unspecified securities

Alleged Damages: \$470,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #14-00755](#)

Date Notice/Process Served: 03/04/2014

Arbitration Pending? No

Disposition: Award

Disposition Date: 05/24/2016

Disposition Detail: Respondents are jointly and severally liable for and shall pay to Claimants compensatory damages in the amount of \$267,890.06.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: CLAIMANT FEELS FUNDS WERE PLACED IN INVESTMENTS THAT WERE NOT SUITABLE GIVEN INVESTMENT OBJECTIVES, RISK TOLERANCE, AND OTHER FACTORS. CLAIMANT ALSO ALLEGES THAT SUPERVISORS AT THE FIRM FAILED TO PROPERLY SUPERVISE THEIR REPRESENTATIVE'S ACTIVITIES.

Product Type: Other: PERSONAL INVESTMENT ACCOUNT

Alleged Damages: \$470,000.00



Arbitration Information

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

Docket/Case #: [DISPUTE ARBITRATION #14-00755](#)

Date Notice/Process Served: 04/02/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/24/2016

Monetary Compensation Amount: \$267,890.06

Individual Contribution Amount: \$0.00



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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Barrett & Company
Allegations:	Claimants allege that Mr. White and Barrett placed them into unsuitable investments in the year 2009 which by 2020 had lost significant value.
Product Type:	Other: Customized portfolio
Alleged Damages:	\$300,000.00
Alleged Damages Amount Explanation (if amount not exact):	Damages are estimated at between \$100000.00 and \$500000.00 for losses. Claimant also requests reimbursement for attorney's fees, litigation expenses and punitive damages.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/15/2021
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	04/15/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-00443



Date Notice/Process Served: 02/18/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/02/2021

Monetary Compensation Amount: \$51,000.00

Individual Contribution Amount: \$25,500.00

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: THE CLAIMANTS ALLEGE THAT THE FIRM MISREPRESENTED THE POSITION, SUPERVISION AND QUALIFICATION OF THEIR REGISTERED REPRESENTATIVE (MR. WHITE, AND THE SMALL-CAP STOCKS SOLD TO THEM IN OR AROUND JANUARY OF 2013.

Product Type: No Product

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANTS ARE SEEKING NET OF POCKET LOSSES, ALL COSTS, FEES AND INTEREST AS WELL AS PUNITIVE DAMAGES - ALL TO BE DETERMINED.

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA Dispute Resolution

Docket/Case #: 15-01682

Filing date of arbitration/CFTC reparation or civil litigation: 07/27/2015



Customer Complaint Information

Date Complaint Received: 07/27/2015
Complaint Pending? No
Status: Settled
Status Date: 07/25/2016
Settlement Amount: \$105,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY
Allegations: CLIENTS ALLEGE THAT UNSUITABLE TRADES WERE MADE IN THEIR ACCOUNTS THAT RESULTED IN LOSSES.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): NO DOLLAR AMOUNT HAS BEEN DISCUSSED
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/17/2013
Complaint Pending? No
Status: Settled
Status Date: 12/19/2013
Settlement Amount: \$55,000.00



Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: LAWYER REPRESENTING CLIENT ALLEGED UNSUITABLE INVESTMENTS. CLIENT HAD PROFIT IN IN ACCOUNT SO HARM WAS NOT PROVABLE. SETTLEMENT AMOUNT WAS DETERMINED BY ESTIMATING COST OF LITIGATION AND NUISANCE VALUE OF CLAIM.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/24/2006

Complaint Pending? No

Status: Settled

Status Date: 03/15/2006

Settlement Amount: \$9,000.00

Individual Contribution Amount: \$0.00

End of Report



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