

BrokerCheck Report

RUSSELL PAUL GREEN

CRD# 1391627

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.

RUSSELL P. GREEN

CRD# 1391627

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

- B

CABOT LODGE SECURITIES LLC

30 Berry Hill Road
Syosset, NY 11791
CRD# 159712
Registered with this firm since: 09/28/2018
- IA

CL WEALTH MANAGEMENT LLC

6800 Jericho Turnpike
Syosset, NY 11791
CRD# 134922
Registered with this firm since: 12/06/2018

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
- 8 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA

B RILEY WEALTH MANAGEMENT

CRD# 2543
MEMPHIS, TN
01/2012 - 10/2018
- B

B. RILEY WEALTH MANAGEMENT

CRD# 2543
GREAT NECK, NY
03/2005 - 10/2018
- B

HD BROUS & CO., INC.

CRD# 22062
GREAT NECK, NY
02/2000 - 03/2005

Disclosure Events

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

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	6



Broker Qualifications

Registrations

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

This individual is currently registered with 1 SRO and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **CABOT LODGE SECURITIES LLC**

Main Office Address: **425 N MARTINGALE RD
SUITE 1220
SCHAUMBURG, IL 60173**

Firm CRD#: **159712**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/28/2018
B	FINRA	General Securities Representative	Approved	09/28/2018
B	FINRA	General Securities Sales Supervisor	Approved	09/28/2018
B	FINRA	Municipal Securities Principal	Approved	09/28/2018
B	FINRA	Municipal Securities Representative	Approved	09/28/2018
B	FINRA	Registered Options Principal	Approved	09/28/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/13/2023
B	Colorado	Agent	Approved	02/26/2019
B	Connecticut	Agent	Approved	10/15/2018
B	Florida	Agent	Approved	10/01/2018
B	Michigan	Agent	Approved	10/04/2018
B	New Jersey	Agent	Approved	12/04/2018
B	New York	Agent	Approved	10/11/2018



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	01/09/2019

Branch Office Locations

CABOT LODGE SECURITIES LLC

30 Berry Hill Road
Syosset, NY 11791

Employment 2 of 2

Firm Name: **CL WEALTH MANAGEMENT LLC**

Main Office Address: **425 N. MARTINGALE RD.
SUITE 1220
SCHAUMBURG, IL 60173**

Firm CRD#: **134922**

	U.S. State/ Territory	Category	Status	Date
IA	Connecticut	Investment Adviser Representative	Approved	06/14/2021
IA	Florida	Investment Adviser Representative	Approved	05/18/2021
IA	New York	Investment Adviser Representative	Approved	03/22/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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.

This individual has passed 6 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B Registered Options Principal Examination	Series 4	10/29/1999
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/02/1998
B General Securities Principal Examination	Series 24	06/23/1997
B Municipal Securities Principal Examination	Series 53	07/22/1996

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	11/04/1985
B General Securities Representative Examination	Series 7	07/20/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/21/2021
B Uniform Securities Agent State Law Examination	Series 63	07/23/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at

Broker Qualifications



Industry Exams this Broker has Passed, continued

www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 01/2012 - 10/2018	B RILEY WEALTH MANAGEMENT	2543	GREAT NECK, NY
B 03/2005 - 10/2018	B. RILEY WEALTH MANAGEMENT	2543	GREAT NECK, NY
B 02/2000 - 03/2005	HD BROUS & CO., INC.	22062	GREAT NECK, NY
B 08/1999 - 02/2000	NORTHRIDGE CAPITAL CORPORATION	16467	MELVILLE, NY
B 04/1996 - 09/1999	G.F.B. SECURITIES, INC.	36381	EAST MEADOW, NY
B 07/1993 - 02/1996	SMITH BARNEY INC.	7059	NEW YORK, NY
B 11/1985 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 07/1985 - 11/1985	NORBAY SECURITIES INC.	5431	

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
09/2018 - Present	CL Wealth Management LLC	Registered Investment Advisor	Y	New York, NY, United States
09/2018 - Present	Cabot Lodge Securities LLC	Registered Representative	Y	New York, NY, United States
09/2018 - Present	RPG WEALTH MANAGEMENT, INC.	President	Y	Syosset, NY, United States
03/2005 - 09/2018	WUNDERLICH SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States



Registration and Employment History

Other Business Activities

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

1)RUTH WILKENS TRUST FBO MICHAEL WILKENS; INVESTMENT RELATED; SYOSSET, NY 11791; TRUST; TRUSTEE; 10-2007; 1 HOUR PER MONTH WILL BE DEVOTED TO THIS ACTIVITY; ZERO HOURS DURING TRADING HOURS; OVERSEE TRUST AND MAKE DISTRIBUTIONS.

2)RUTH WILKENS TRUST; SYOSSET, NY; INVESTMENT RELATED; TRUST; TRUSTEE, 2/2013; 1 HOUR PER MONTH; ZERO HOURS DURING TRADING HOURS; I AM THE REQUIRED FAMILY TRUSTEE ALONG WITH JP MORGAN. JP MORGAN MAKES ALL THE INVESTMENT DECISIONS AND I AM ASKED TO SIGN OFF ON PROPOSALS BEFORE THEY ARE INSTITUTED. I HAVE NO ACTIVE ROLE IN THE MANAGEMENT OF THIS TRUST.

3)RUSSELL'S HOUSE OF COLLECTIBLES, NOT INVESTMENT RELATED, SYOSSET, NY, EBAY STORE SELLING HOUSEHOLD GOODS, OWNER/OPERATOR, STARTED 1/2019, 5 HOURS DEVOTED PER MONTH, 0 HRS DURING TRADING, I BUY AND SELL HOUSEHOLD AND OTHER MISCELLANEOUS ITEMS IN MY EBAY STORE.

4)THE JUDITH LEV. 2001 FAMILY TRUST; INVESTMENT RELATED; FLORAL PARK, NY, 11005; PURCHASE INSURANCE TO FUND ESTATE TAX LIABILITIES; TRUSTEE, 3/2001; 0 HOURS DEVOTED TO ACTIVITY DURING THE MONTH; 0 HOURS ; I AM A TRUSTEE FOR THIS TRUST, BUT HAVE NO ACTIVE ROLE IN ITS OVERSIGHT.

5)RPG WEALTH MANAGEMENT, INC. (DBA), SUB-CHAPTER S CORP., INVESTMENT RELATED, SYOSSET, NY, PRESIDENT, 9/2018, 160 HOURS PER MONTH, 6.5 HOURS PER DAY DURING TRADING HOURS, CORPORATE ENTITY FOR EMPLOYMENT.

6) SYOSSET WOODBURY CHAMBER OF COMMERCE, NOT INVESTMENT RELATED, SYOSSET, NY, CIVIC ORGANIZATION OF LOCAL BUSINESSES, PRESIDENT, 1/2021, 10 HOURS PER MONTH, 5 HOURS DURING TRADING HOURS, ORGANIZE EVENTS ON BEHALF OF THE CHANGE, HOST ZOOM MEETINGS, GRAND OPENINGS, ATTEND OTHER LOCAL CIVIC EVENTS AS THE CHIEF REPRESENTATIVE OF THE CHAMBER..

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	1	5	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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/25/2014
Docket/Case Number:	2010025122403
Employing firm when activity occurred which led to the regulatory action:	WUNDERLICH SECURITIES, INC.
Product Type:	Other: UNSPECIFIED CONTROL OR RESTRICTED STOCK
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, GREEN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO ENSURE THAT ALL NECESSARY INFORMATION HAD BEEN OBTAINED FROM A CUSTOMER IN CONNECTION WITH THE DEPOSIT AND SALE OF A POSSIBLE CONTROL OR RESTRICTED STOCK. THE FINDINGS STATED THAT GREEN SERVED AS THE BRANCH OFFICE MANAGER OF HIS MEMBER FIRM'S BRANCH OFFICE. UNDER THE FIRM'S WRITTEN SUPERVISORY PROCEDURES IN EFFECT AT THE TIME, BRANCH MANAGERS WERE RESPONSIBLE FOR DAILY REVIEW OF ALL TRADES. ALSO, IN CASES INVOLVING THE SALE OF A CONTROL OR RESTRICTED STOCK, BRANCH MANAGERS WERE REQUIRED TO DETERMINE THE SELLER'S STATUS



(AFFILIATE OR NON-AFFILIATE), DETERMINE THE ELIGIBILITY FOR SALE IN TERMS OF THE NUMBER OF SHARES AND THE TIMING OF THE SALE AND ASSIST THE CUSTOMER IN PREPARATION OF REQUIRED FORMS.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/25/2014
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: FINE PAID IN FULL ON JULY 9, 2014.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	A PRINCIPAL CAPACITY
Duration:	10 BUSINESS DAYS
Start Date:	07/21/2014
End Date:	08/01/2014

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:** Yes**Date Paid by individual:** 07/09/2014**Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Other: N/A**Date Initiated:** 06/25/2014**Docket/Case Number:** [2010025122403](#)**Employing firm when activity occurred which led to the regulatory action:** WUNDERLICH SECURITIES INC**Product Type:** Other: UNSPECIFIED CONTROL OR RESTRICTED STOCK

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, GREEN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO ENSURE THAT ALL NECESSARY INFORMATION HAD BEEN OBTAINED FROM A CUSTOMER IN CONNECTION WITH THE DEPOSIT AND SALE OF A POSSIBLE CONTROL OR RESTRICTED STOCK. THE FINDINGS STATED THAT GREEN SERVED AS THE BRANCH OFFICE MANAGER OF HIS MEMBER FIRM'S BRANCH OFFICE. UNDER THE FIRM'S WRITTEN SUPERVISORY PROCEDURES IN EFFECT AT THE TIME, BRANCH MANAGERS WERE RESPONSIBLE FOR DAILY REVIEW OF ALL TRADES. ALSO, IN CASES INVOLVING THE SALE OF A CONTROL OR RESTRICTED STOCK, BRANCH MANAGERS WERE REQUIRED TO DETERMINE THE SELLER'S STATUS (AFFILIATE OR NON-AFFILIATE), DETERMINE THE ELIGIBILITY FOR SALE IN



TERMS OF THE NUMBER OF SHARES AND THE TIMING OF THE SALE AND ASSIST THE CUSTOMER IN PREPARATION OF REQUIRED FORMS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/25/2014

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: A PRINCIPAL CAPACITY

Duration: 10 BUSINESS DAYS

Start Date: 07/21/2014

End Date: 08/01/2014

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



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

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN HUTTON, INC.
Allegations:	CHURNING; SUITABILITY; EXECUTIONS-FAILURE TO EXECUTE; MISREPRESENTATION
Product Type:	
Alleged Damages:	\$75,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-02526
Date Notice/Process Served:	08/02/1993
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	06/21/1994
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$16,824.49 JOINTLY AND SEVERALLY; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$16,825.49 JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF REQUEST HAS BEEN DENIED IN FULL; ATTORNEY'S FEES, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN HUTTON, INC.
Allegations:	CHURNING, SUITABILITY, UNAUTHORIZED TRADING ALLEGING \$75,000 IN DAMAGES.



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$75,000.00

Customer Complaint Information

Date Complaint Received: 06/01/1992

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/01/1993

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 93-02526](#)

Date Notice/Process Served: 08/02/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/21/1994

Monetary Compensation Amount: \$18,266.80

Individual Contribution Amount: \$0.00

Broker Statement

AN AWARD WAS RENDERED FOR \$18,266.80.
 CONTACT: ALEJANDRO SCHWED (212) 464-7625
 PANEL RENDERED AN AWARD MUCH LOWER THAN THE
 LOSSES, APPARENTLY REJECTING CLAIMANT'S ALLEGATION OF
 UNAUTHORIZED TRADING AND CHURNING. THEY APPARENTLY FOCUSED
 ON
 TWO TRADES IN WHICH THEY FELT THE STOCKS SHOULD HAVE BEEN
 SOLD
 SOONER. BUT THEY REJECTED THE MAJORITY OF CLAIMANT'S CASE.
 PLEASE NOTE THAT THE AWARD INCLUDES A \$5,000 AWARD AGAINST
 CLAIMANT -- PANEL APPARENTLY WAS UPSET AT CLAIMANT'S
 CONTINUOUS
 MISTATEMENTS.



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WUNDERLICH SECURITIES/BRILEY WEALTH MGMT
Allegations:	CLAIM ALLEGES EXCESSIVE TRADING AND UNSUITABLE RECOMMENDATIONS. ALLEGED ACTIVITY OCCURRED 2009-2017.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$1,250,000.00
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 #:	17-02258
Filing date of arbitration/CFTC reparation or civil litigation:	08/23/2017

Customer Complaint Information

Date Complaint Received:	08/30/2017
Complaint Pending?	No
Status:	Settled
Status Date:	10/31/2018
Settlement Amount:	\$250,000.00
Individual Contribution Amount:	\$0.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WUNDERLICH SECURITIES

Allegations: Claim alleges excessive trading and unsuitable recommendations. Alleged activity occurred 2009-2017.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Options

Alleged Damages: \$1,250,000.00

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 #: 17-02258

Filing date of arbitration/CFTC reparation or civil litigation: 08/23/2017

Customer Complaint Information

Date Complaint Received: 08/30/2017

Complaint Pending? No

Status: Settled

Status Date: 10/31/2018

Settlement Amount: \$250,000.00

Individual Contribution Amount: \$0.00

Broker Statement I believe the allegations are baseless. This was settled with no contribution on my part.



Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	ALLEGING UNSUITABLE TRANSACTIONS, UNSUITABLE AND UNAUTHORIZED USE OF MARGIN, EXCESSIVE TRADING AND MISREPRESENTATIONS
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	02/14/1994
Complaint Pending?	No
Status:	Settled
Status Date:	03/01/1995
Settlement Amount:	\$27,668.25
Individual Contribution Amount:	\$0.00
Broker Statement	THIS MATTER WAS SETTLED FOR \$27,668.25. FC, MR. GREEN, DID NOT CONTRIBUTE TO THIS SETTLEMENT. CONTACT: ERIC LARSON (212) 418-3167 NOT PROVIDED

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SHEARSON
Allegations:	UNAUTHORIZED TRANSACTIONS IN THE ACCOUNT OF [CUSTOMER]. ALLEGED DAMAGES- \$120,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$120,000.00

Customer Complaint Information



Date Complaint Received:	08/25/1991
Complaint Pending?	No
Status:	Settled
Status Date:	09/01/1991
Settlement Amount:	\$81,277.00
Individual Contribution Amount:	\$0.00
Broker Statement	PAYMENT OF \$81,277.00. SUSPENSION SHEARSON PAID TOTAL SETTLEMENT NOT PROVIDED



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

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WUNDERLICH SECURITIES
Allegations:	CLIENT SAID THAT HE WANTED TO BE INVESTED ONLY IN CONSERVATIVE, HIGH QUALITY MUNICIPAL BONDS DUE TO HIS RISK TOLERANCE AND AGE. AFTER REVIEW OF HIS ACCOUNTS WITH WUNDERLICH SECURITIES IT WAS DETERMINED THAT ALL MUNICIPAL BONDS IN HIS ACCOUNT AT THE TIME OF PURCHASE WERE RATED INVESTMENT GRADE OR BETTER BY AT LEAST ONE OF THE TWO RATING COMPANIES. NO BOND IN THIS PORTFOLIO HAVE DEFAULTED OR MISSED A PAYMENT. WHILE THE VALUE OF SEVERAL OF HIS BOND HOLDINGS HAS DECLINED THAT IS INDICATIVE OF THE MUNICIPAL BOND MARKET AS A WHOLE. IN HIS IRA ACCOUNT HE SAID IT WAS NOT DIVERSIFIED. ACCORDING TO THE REP THIS ACCOUNT IS JUST A PORTION OF HIS ENTIRE IRA HOLDINGS AND THAT HE OPENED THIS ACCOUNT SOLELY FOR THE PURPOSE OF WRITING COVERED CALLS ON THE POSITIONS.
Product Type:	Debt-Municipal
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES WERE ALLEGED.
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:	10/24/2008
Complaint Pending?	No
Status:	Closed/No Action



Status Date: 11/26/2008

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement REGISTERED REP REFUSED TO SIGN



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CABOT LODGE SECURITIES LLC
Allegations:	Claimant alleges Violations of the Pennsylvania Unfair Trade Practices and Consumer Protection Law, Violations of the Pennsylvania Securities Act, Common Law Fraud, Breach of Fiduciary Duties, Violations of FINRA Rules 2010, 2011, and 2360, Breach of Implied Contractual Duties, Professional Negligence, Failure to Supervise, and Respondeat Superior and Vicarious Liabilities due to the alleged "mishandling" of his account from Feb 2019 through Dec 2023
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$410,000.00
Alleged Damages Amount Explanation (if amount not exact):	plus punitive damages

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-00637
Date Notice/Process Served:	03/21/2024
Arbitration Pending?	Yes

End of Report



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