

## BrokerCheck Report

**MICHAEL EDWARD CAMFERDAM**

CRD# 1402345

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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).

**MICHAEL E. CAMFERDAM**

CRD# 1402345

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

**IA OSAIC WEALTH, INC.**  
 6108 VILLAGE OAKS DR  
 PENSACOLA, FL 32504  
 CRD# 23131  
 Registered with this firm since: 08/13/2013

**B OSAIC WEALTH, INC.**  
 6108 VILLAGE OAKS DR  
 PENSACOLA, FL 32504  
 CRD# 23131  
 Registered with this firm since: 05/03/2013

**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
- 9 U.S. states and territories

**This broker has passed:**

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

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

- B RAYMOND JAMES & ASSOCIATES, INC.**  
 CRD# 705  
 PENSACOLA, FL  
 02/2013 - 04/2013
- IA RAYMOND JAMES & ASSOCIATES, INC.**  
 CRD# 705  
 ST. PETERSBURG, FL  
 02/2013 - 04/2013
- B MORGAN KEEGAN & COMPANY, INC.**  
 CRD# 4161  
 PENSACOLA, FL  
 04/2001 - 02/2013

**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	27
Financial	1



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

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/03/2013
B	FINRA	General Securities Representative	Approved	05/03/2013

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/09/2013
B	Florida	Agent	Approved	08/09/2013
IA	Florida	Investment Adviser Representative	Approved	09/25/2013
B	Georgia	Agent	Approved	05/21/2013
IA	Georgia	Investment Adviser Representative	Approved	08/13/2013
B	Louisiana	Agent	Approved	10/03/2019
B	Mississippi	Agent	Approved	03/22/2016
IA	Mississippi	Investment Adviser Representative	Approved	10/07/2019
B	North Carolina	Agent	Approved	07/21/2022
B	Tennessee	Agent	Approved	05/17/2023
B	Texas	Agent	Approved	03/09/2015

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
B	Virginia	Agent	Approved	11/26/2019

Branch Office Locations

OSAIC WEALTH, INC.  
6108 VILLAGE OAKS DR  
PENSACOLA, FL 32504

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## 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 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/04/1993

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	10/28/1985
<b>B</b> General Securities Representative Examination	Series 7	09/21/1985

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	11/17/1998
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/11/1985

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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> 02/2013 - 04/2013	RAYMOND JAMES & ASSOCIATES, INC.	705	PENSACOLA, FL
<b>IA</b> 02/2013 - 04/2013	RAYMOND JAMES & ASSOCIATES, INC.	705	PENSACOLA, FL
<b>B</b> 04/2001 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	PENSACOLA, FL
<b>IA</b> 04/2001 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	PENSACOLA, FL
<b>B</b> 01/1992 - 04/2001	REGIONS INVESTMENT COMPANY, INC.	17618	BIRMINGHAM, AL
<b>B</b> 06/1990 - 09/1991	EDEN FINANCIAL FUNDS GROUP, INC.	13066	
<b>B</b> 11/1988 - 07/1991	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	14229	NORTHRIDGE, CA
<b>B</b> 07/1987 - 12/1988	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
<b>B</b> 01/1987 - 08/1987	SHEARSON LEHMAN BROTHERS INC.	7506	
<b>B</b> 09/1985 - 02/1987	THE ROBINSON-HUMPHREY COMPANY INC.	723	

### 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
04/2013 - Present	ROYAL ALLIANCE	REGISTERED REP	Y	PENSACOLA, FL, 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) ROYAL ALLIANCE; YES; 6108 VILLAGE OAKS DR, PENSACOLA FL 32504; IAR; 04/2013; 40; 40; INVESTMENT ADVISORY SERVICES.

2) MIKE & DEE CAMFERDAM; POSITION: OWNER; NATURE: SOLE PROPRIETORSHIP; INVESTMENT RELATED: NO; NUMBER OF HOURS: 25; SECURITIES TRADING HOURS: 0; START DATE: 01/01/2008; ADDRESS: 1087 COUNTY RD 113, SAFFORD AL 36773; DESCRIPTION: CROP PLANTING AND HARVESTING.

3) FIRST CHARTER INVESTMENTS; POSITION: PRESIDENT; NATURE: CORPORATION; INVESTMENT RELATED: YES; NUMBER OF HOURS: 5; SECURITIES TRADING HOURS: 5; START DATE: 01/03/2014; ADDRESS: 1960 WHALEY AVE, PENSACOLA FL 32503; DESCRIPTION: THIS ENTITY ALLOWS ME TO PAY CERTAIN BUSINESS EXPENSES, PAYROLL, ETC. ON BEHALF OF MY SECURITIES PRACTICE.

4) MICHAEL E. CAMFERDAM  
POSITION: OWNER - NATURE: SOLE PROPRIETORSHIP - INVESTMENT RELATED: YES NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 01/01/1985  
ADDRESS: 6108 VILLAGE OAKS DR.PENSACOLA, FL. 32504, PENSACOLA FL 32504  
DESCRIPTION: TO PROVIDE CLIENTS WITH INFORMATION ON FIXED ANNUITIES AND LIFE INSURANCE PRODUCTS.

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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.
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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
Customer Dispute	0	27	N/A
Financial	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Customer Dispute - Award / Judgment

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

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT AND NEGLIGENCE; FRAUD
<b>Product Type:</b>	Other: FUNDS
<b>Alleged Damages:</b>	\$572,540.00

#### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #09-03285](#)

**Date Notice/Process Served:** 06/02/2009

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 11/03/2010

**Disposition Detail:** THE FIRM IS LIABLE ON THE CLAIMS OF VIOLATION OF CHAPTER 517 OF THE FLORIDA STATUTES ON CLAIMS RELATING TO PURCHASES AFTER MARCH 2004; BREACH OF FIDUCIARY DUTY; UNSUITABILITY AND FAILURE TO SUPERVISE; VIOLATION OF THE TENNESSEE CONSUMER PROTECTION ACT ON CLAIMS RELATING TO PURCHASES AFTER MARCH 2004; AND FRAUD. CAMFERDAM WAS A SUBJECT OF THE CUSTOMER'S STATEMENT



OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE ALONG WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATION(S). ACCORDINGLY, CAMFERDAM'S MEMBER FIRM IS LIABLE FOR COMPENSATORY DAMAGES IN THE AMOUNT OF \$444,978, INCLUSIVE OF PRE-JUDGMENT INTEREST.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNAUTHORIZED TRADING, MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 3/04 AND 1/06.

**Product Type:** Mutual Fund

**Alleged Damages:** \$458,043.50

**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

**Docket/Case #:** 09-03285

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/03/2009

### Customer Complaint Information

**Date Complaint Received:** 07/13/2009

**Complaint Pending?** No

**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:** 11/03/2010

**Settlement Amount:** \$444,978.00

**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 22

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$104,524.93
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	12-02651
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/13/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/31/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/17/2013
<b>Settlement Amount:</b>	\$40,000.00
<b>Individual Contribution Amount:</b>	\$0.00

<b>Reporting Source:</b>	Broker
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<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$104,524.93
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	12-02651
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/13/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/31/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/17/2013
<b>Settlement Amount:</b>	\$40,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 22

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS



PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.

**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

**Docket/Case #:** 12-01236

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/28/2012

### Customer Complaint Information

**Date Complaint Received:** 04/16/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/30/2014

**Settlement Amount:** \$95,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund



<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	12-01236
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/28/2012

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/16/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	01/30/2014
<b>Settlement Amount:</b>	\$95,000.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 3 of 22

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$25,000.00





**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  
**Docket/Case #:** 11-01844  
**Filing date of arbitration/CFTC reparation or civil litigation:** 05/06/2011

### Customer Complaint Information

**Date Complaint Received:** 05/23/2011  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 05/04/2012  
**Settlement Amount:** \$80,000.00  
**Individual Contribution Amount:** \$0.00

### Disclosure 4 of 22

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.  
**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$98,000.00  
**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

**Docket/Case #:** 10-04347

**Filing date of arbitration/CFTC reparation or civil litigation:** 09/27/2010

### Customer Complaint Information

**Date Complaint Received:** 11/08/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$39,953.29

**Individual Contribution Amount:** \$0.00

### Disclosure 5 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2005.

**Product Type:** Mutual Fund

**Alleged Damages:** \$160,500.37

**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:** FIRNA

**Docket/Case #:** 10-03680



**Filing date of arbitration/CFTC reparation or civil litigation:** 08/16/2010

### Customer Complaint Information

**Date Complaint Received:** 08/27/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$55,244.08

**Individual Contribution Amount:** \$0.00

### Disclosure 6 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$176,000.00

**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

**Docket/Case #:** 10-03016

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/29/2010

### Customer Complaint Information



**Date Complaint Received:** 07/12/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$45,126.32

**Individual Contribution Amount:** \$0.00

#### Disclosure 7 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$54,500.00

**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

**Docket/Case #:** 10-02551

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/28/2010

#### Customer Complaint Information

**Date Complaint Received:** 06/14/2010

**Complaint Pending?** No

**Status:** Settled



<b>Status Date:</b>	05/31/2011
<b>Settlement Amount:</b>	\$9,876.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	***AS OF 5/28/2012 THIS ITEM IS NO LONGER REPORTABLE.***

#### Disclosure 8 of 22

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	10-01821
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	04/14/2010

#### Customer Complaint Information

<b>Date Complaint Received:</b>	06/21/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled



**Status Date:** 12/29/2011

**Settlement Amount:** \$19,000.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 9 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$122,000.00

**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

**Docket/Case #:** 09-06145

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/26/2009

#### Customer Complaint Information

**Date Complaint Received:** 11/06/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/08/2010

**Settlement Amount:** \$84,000.00

**Individual Contribution Amount:** \$0.00



#### Disclosure 10 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$175,556.00

**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

**Docket/Case #:** 09-03141

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 08/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/03/2011

**Settlement Amount:** \$67,500.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 11 of 22

**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2002 AND 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$182,000.00

**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

**Docket/Case #:** 09-03148

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

### Customer Complaint Information

**Date Complaint Received:** 08/10/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$33,093.02

**Individual Contribution Amount:** \$0.00

### Disclosure 12 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD





TO MUTUAL FUNDS PURCHASED IN 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$28,000.00

**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

**Docket/Case #:** 09-03639

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/03/2009

### Customer Complaint Information

**Date Complaint Received:** 08/18/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/20/2011

**Settlement Amount:** \$9,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 13 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 11/02 AND 1/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$132,872.00

**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

**Docket/Case #:** 09-03134

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/03/2009

### Customer Complaint Information

**Date Complaint Received:** 07/13/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/29/2010

**Settlement Amount:** \$35,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 14 of 22

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$202,573.00

**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

**Docket/Case #:** 09-03415

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 06/08/2009

### Customer Complaint Information

**Date Complaint Received:** 07/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/27/2010

**Settlement Amount:** \$87,500.00

**Individual Contribution  
Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$202,573.00

**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

**Docket/Case #:** 09-03415



**Filing date of arbitration/CFTC reparation or civil litigation:** 06/08/2009

### Customer Complaint Information

**Date Complaint Received:** 07/20/2009  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 07/27/2010  
**Settlement Amount:** \$87,500.00  
**Individual Contribution Amount:** \$0.00

### Disclosure 15 of 22

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.  
**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 7/03 AND 11/06.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$68,967.85  
**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  
**Docket/Case #:** 09-03409  
**Filing date of arbitration/CFTC reparation or civil litigation:** 07/16/2009

### Customer Complaint Information



**Date Complaint Received:** 07/27/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$20,752.38

**Individual Contribution Amount:** \$0.00

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#### Disclosure 16 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 10/06 AND 3/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$48,687.29

**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

**Docket/Case #:** 09-03140

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 07/06/2009

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 02/22/2011

**Settlement Amount:** \$16,545.14

**Individual Contribution Amount:** \$0.00

#### Disclosure 17 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 11/04-02/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$102,851.00

**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

**Docket/Case #:** 09-03159

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 06/23/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/17/2010

**Settlement Amount:** \$50,000.00

**Individual Contribution Amount:** \$0.00



#### Disclosure 18 of 22

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATION WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 02/06-09/06.

**Product Type:** Mutual Fund

**Alleged Damages:** \$76,383.00

**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

**Docket/Case #:** 09-03137

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 06/15/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 03/25/2010

**Settlement Amount:** \$49,800.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 19 of 22

**Reporting Source:** Broker



<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATIONS WITH REGARD TO A MUTUAL FUND PURCHASE 1/4/07. DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/22/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	12/22/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	08-04761
<b>Date Notice/Process Served:</b>	12/22/2008
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	06/25/2010
<b>Monetary Compensation Amount:</b>	\$37,500.00
<b>Individual Contribution Amount:</b>	\$0.00





## Disclosure 20 of 22

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY AND THE EXERCISE OF UNAUTHORIZED DISCRETION WITH REGARD TO THE PURCHASE OF MUTUAL FUNDS AND TAXABLE UNIT TRUSTS BETWEEN 11/06 AND 5/07.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$305,814.73

## Customer Complaint Information

<b>Date Complaint Received:</b>	10/03/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	03/17/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	09-00143
<b>Date Notice/Process Served:</b>	03/17/2009
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/01/2011
<b>Monetary Compensation Amount:</b>	\$150,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## Disclosure 21 of 22

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 12/02 AND 06/07.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$550,000.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	04/11/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	06/05/2008
<b>Settlement Amount:</b>	

## Individual Contribution Amount:

## Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	08-01316
<b>Date Notice/Process Served:</b>	06/05/2008
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/30/2009
<b>Monetary Compensation Amount:</b>	\$325,000.00
<b>Individual Contribution Amount:</b>	\$0.00

**Broker Statement**

UNDER INVESTIGATION.\*\*\*ANSWER DUE 06/25/2008\*\*\*

**Disclosure 22 of 22**

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY REGARDING MUTUAL FUND AND CLOSED-END FUND INVESTMENTS.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<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>	01/15/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	09/18/2008
<b>Settlement Amount:</b>	\$12,992.85
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	INVESTIGATION UNDERWAY.



## 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 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES MISREPRESENTATION OF VARIABLE ANNUITY PURCHASED 1/98. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF \$5000.00)
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<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>	03/02/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/14/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	***AS OF 03/02/2010 THIS ITEM IS NO LONGER REPORTABLE.***



#### Disclosure 2 of 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY REGARDING CLOSED-END AND MUTUAL FUND INVESTMENTS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF \$5,000.00)
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<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>	01/07/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	07/01/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	UNDER INVESTIGATION***AS OF JULY 1, 2008, THIS ITEM HAS BEEN CLOSED WITH NO ACTION***AS OF JANUARY 7, 2010 THIS ITEM IS NO LONGER REPORTABLE.***

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Broker
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<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES MISREPRESENTATION WITH REGARD TO A MUTUAL FUND PURCHASE.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<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>	12/07/2007
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	09/29/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	INVESTIGATION UNDERWAY.***AS OF 12/07/2009 THIS ITEM IS NO LONGER REPORTABLE.***

### Disclosure 4 of 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	COMPLAINT ALLEGES UNSUITABILITY OF CLOSED-END FUND AND MUTUAL FUND INVESTMENTS.



**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:** 11/30/2007

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 09/29/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** UNDER INVESTIGATION.\*\*\*AS OF 11/30/2009 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*

**Financial - Final**

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

**Disclosure 1 of 1**

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	02/27/2018
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	UNITED STATES BANKRUPTCY COURT, NORTHERN DISTRICT OF FLORIDA
<b>Location of Court:</b>	PENSACOLA, FLORIDA
<b>Docket/Case #:</b>	18-30160
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	01/02/2020



## End of Report



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