

BrokerCheck Report

ROBERT JAMES BAPTIST JR

CRD# 1576889

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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.

**ROBERT J. BAPTIST JR**

CRD# 1576889

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

IA LPL FINANCIAL LLC
 25 OLD KINGS HIGHWAY NORTH
 DARIEN, CT 06820
 CRD# 6413
 Registered with this firm since: 08/17/2022

B LPL FINANCIAL LLC
 371 POST ROAD EAST
 WESTPORT, CT 06880
 CRD# 6413
 Registered with this firm since: 08/17/2022

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
- 20 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):**

- IA PEOPLE'S UNITED ADVISORS, INC.**
 CRD# 292454
 WILMINGTON, DE
 05/2018 - 08/2022
- B PEOPLE'S SECURITIES, INC.**
 CRD# 13704
 WESTPORT, CT
 03/1996 - 08/2022
- IA PEOPLE'S SECURITIES, INC.**
 CRD# 13704
 BRIDGEPORT, CT
 01/2002 - 03/2020

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
Criminal	1
Customer Dispute	3
Termination	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 20 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/17/2022
B	FINRA	General Securities Representative	Approved	08/17/2022

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/19/2022
B	California	Agent	Approved	09/12/2022
B	Colorado	Agent	Approved	12/07/2022
B	Connecticut	Agent	Approved	08/17/2022
IA	Connecticut	Investment Adviser Representative	Approved	08/17/2022
B	Delaware	Agent	Approved	07/18/2023
B	Florida	Agent	Approved	05/30/2023
B	Georgia	Agent	Approved	09/15/2022
B	Illinois	Agent	Approved	09/22/2022
B	Maryland	Agent	Approved	09/13/2022
B	Minnesota	Agent	Approved	09/13/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	09/28/2022
B	New Jersey	Agent	Approved	04/10/2023
B	New Mexico	Agent	Approved	08/29/2025
B	New York	Agent	Approved	08/17/2022
B	North Carolina	Agent	Approved	09/13/2022
B	Ohio	Agent	Approved	09/13/2022
B	South Carolina	Agent	Approved	09/14/2022
B	Vermont	Agent	Approved	04/26/2023
B	Washington	Agent	Approved	09/12/2022
B	Wyoming	Agent	Approved	09/16/2022

Branch Office Locations

LPL FINANCIAL LLC
371 POST ROAD EAST
WESTPORT, CT 06880

LPL FINANCIAL LLC
11 BELDEN AVENUE
NORWALK, CT 06850

LPL FINANCIAL LLC
72 EDGERTON STREET
DARIEN, CT 06820

LPL FINANCIAL LLC
361 POST ROAD WEST
WESTPORT, CT 06880

LPL FINANCIAL LLC
SOUTHPORT, CT

Broker Qualifications



Employment 1 of 1, continued

LPL FINANCIAL LLC

25 OLD KINGS HIGHWAY NORTH

DARIEN, CT 06820



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 General Securities Principal Examination	Series 24	01/02/2023

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/19/1987
B National Commodity Futures Examination	Series 3	08/17/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/11/1998
B Uniform Securities Agent State Law Examination	Series 63	07/20/1987

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
IA 05/2018 - 08/2022	PEOPLE'S UNITED ADVISORS, INC.	292454	Westport, CT
B 03/1996 - 08/2022	PEOPLE'S SECURITIES, INC.	13704	WESTPORT, CT
IA 01/2002 - 03/2020	PEOPLE'S SECURITIES, INC.	13704	WESTPORT, CT
B 07/1993 - 08/1995	SMITH BARNEY INC.	7059	NEW YORK, NY
B 11/1992 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 05/1989 - 11/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	NEW YORK, NY
B 09/1987 - 05/1989	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

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
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WESTPORT, CT, United States
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WESTPORT, CT, United States
05/2018 - Present	People's United Advisors, Inc.	Financial Advisor	Y	Bridgeport, CT, United States
01/1996 - Present	PEOPLE'S SECURITIES, INC.	NOT PROVIDED	Y	NORWALK, CT, 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. 08/18/2022 - Wilmington Advisors at M&T - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Advisor - Start Date - 08/18/2022 - 160 Hours Per Month/160 Hours During Securities Trading.

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.
 -
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
Criminal	0	1	0
Customer Dispute	0	3	N/A
Termination	N/A	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.

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/16/1996
Docket/Case Number:	C10960109
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/07/1997
Sanctions Ordered:	Censure Monetary/Fine \$15,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMPLAINT NO. C10960109 FILED AUGUST 16, 1996 BY DISTRICT NO. 10 AGAINST ROBERT JAMES BAPTIST, JR. ALLEGING VIOLATIONS OF NASD RULE 2110 (FORMERLY ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE) IN THAT RESPONDENT BAPTIST CAUSED SHARES OF COMMON STOCKS TO BE PURCHASED IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT THEIR PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT.

ON MARCH 7, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT BAPTIST WAS ISSUED; THEREFORE, HE IS CENSURED, FINED \$15,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS.

SUSPENSION WILL BEGIN MAY 19, 1997 AND CONCLUDE JUNE 16, 1997

\$15,000.00 PAID ON 4/3/97, INVOICE #97-10-236

Reporting Source:

Broker

Regulatory Action Initiated By:

REGULATOR- NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

08/16/1996

Docket/Case Number:

C10960109

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

Product Type:

Other Product Type(s):

Allegations:

1) UNAUTHORIZED TRANSACTION - CUSTOMER BEDELL (JAN 6, 1996)



2) UNAUTHORIZED TRANSACTION - CUSTOMER OSIECKI (MAY 4, 1995)
3) UNAUTHROIZED TRANSACTION CUSTOMER MCGRAW (JUNE 2, 1995)
OCCURED WHILE EMPLOYED BY SMITH BARNEY. NO DAMAGES WERE
SPECFIED

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

Resolution Date:

03/07/1997

Sanctions Ordered:

Censure
Monetary/Fine \$15,000.00
Suspension

Other Sanctions Ordered:
Sanction Details:

1) CENSURE
2) \$15,000 FINE TO BE PAID BY MR. BAPTIST
3) 20 BUSINESS DAY SUSPENSION FROM ASSOCIATING WITH ANY
MEMBER FIRM. SUSPENSION TO BEGIN ON MAY 19, 1997

Broker Statement

MR BAPTIST CONSENTED FOR THE PURPOSE OF THIS
PROCEEDING ONLY, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS
OF THE COMPLAINT.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	Not Provided NONE
Charge Date:	09/28/1985
Charge Details:	CHARGE OF PETTY LARCENY; CHARGES WERE DROPPED
Felony?	
Current Status:	Final
Status Date:	10/17/1985
Disposition Details:	ROBERT BAPTIST WAS CHARGED WITH PETTY LARCENY ON 9/28/85 AS A RESULT OF A FRATERNITY PRANK INVOLVING THE TAKING OF ONE DOMINO'S PIZZA. DOMINO'S WAS REFUNDED FOR THE COST OF THE PIZZA AND SUBSEQUENTLY THE CHARGES WERE DROPPED IN COURT WHEN DOMINO'S CHOSE NOT TO SEND A REPRESENTATIVE
Broker Statement	Not Provided



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PEOPLE'S SECURITIES, INC.
Allegations:	CLIENT PURCHASED ADDITIONAL SHARES OF AN EXISTING MUTUAL FUND POSITION IN THE AMOUNT OF \$100,000 ON JANUARY 19, 2022. CLIENT SENT A WRITTEN COMPLAINT THREE AND A HALF MONTHS LATER ON JUNE 3, 2022 REGARDING HIS PEOPLE'S SECURITIES REGISTERED REPRESENTATIVE ROBERT BAPTIST, IN WHICH HE CLAIMED THAT THE REFERENCED TRADE WAS UNSUITABLE AND PLACED BY MR. BAPTIST WITHOUT AUTHORIZATION, WITHOUT PROVIDING A PROSPECTUS AND WITHOUT DESCRIBING THE RISKS OF INVESTMENT.
Product Type:	Mutual Fund
Alleged Damages:	\$15,320.04
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:	06/03/2022
Complaint Pending?	No
Status:	Settled
Status Date:	06/24/2022
Settlement Amount:	\$15,320.04
Individual Contribution Amount:	\$0.00
Broker Statement	PSI BELEIVES THAT THE REFERENCED SUBSEQUENT MUTUAL FUND TRADE WAS SUITABLE BASED ON A RETROSPECTIVE REVIEW AND BASED ON A CUSTOMARY SUITABILITY REVIEW THAT OCCURED AT THE TIME OF THE TRANSACTION. THE OTHER CLAIMS OF THE CLIENT APPEAR TO BE



BASELESS AS WELL: THERE IS NO INDICATION THAT ROBERT BAPTIST FAILED TO EXPLAIN THE RISKS OF INVESTMENT, PSI HAS CONFIRMED THAT THE TRADE WAS AUTHORIZED BY THE CLEINT, AND PSI HAS CONFIRMED THAT A PROSPECPETUS WAS PROVIDED BY PSI'S AUTOMATED SERVICE. HOWEVER, AS A CLIENT ACCOMODATION, PSI REIMBURSED THE CLIENT FOR THE DECLINE IN THE INVESTMENT'S VALUE WHICH TOTALED \$15,320.04.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: THE CLIENT ALLEGED UNAUTHORIZED TRADING. DAMAGES WERE UNSPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/06/1995

Complaint Pending? No

Status: Settled

Status Date: 01/13/1995

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$7,500.00

Firm Statement THE TRADE IN QUESTION WAS RESCINDED AT A COST OF \$15,000.00. THE FC CONTRIBUTED 50% (\$7,500.00) NO OPTIONS OR COMMODITIES INVOLVED. CONTACT [BROKER DEALER CONTACT PERSON] (212) 723-4121

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.



Allegations: CUSTOMER DID NOT WANT TO HONOR A TRADE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/06/1995

Complaint Pending? No

Status: Settled

Status Date: 01/13/1995

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$7,500.00

Broker Statement

CLIENT REIMBURSED FOR DIFFERENCE OF TRADE
[CUSTOMER] HAD BEEN DOING BUSINESS WITH ME FOR
NEARLY TEN YEARS. [CUSTOMER] WAS SENT A RESEARCH PIECE
ENTITLED
THE SMITH BARNEY EMERGING GROWTH FOCUS LIST ON WHICH A
COMPANY
CALLED VIEW LOGIC APPEARED. I CONTACTED [CUSTOMER] WHEN S.B.
REITERATED A FUNDAMENTAL BUY RECOMMENDATION ON VIEW LOGIC,
HE
INITIATED THE PURCHASE OF 2000 SHARES. THE COMPANY REPORTED
WEAK EARNINGS, S.B. DROPPED THE STOCK FROM ITS GROWTH FOCUS
LIST AND LOWERED ITS RATING WITHIN DAYS OF [CUSTOMER'S]
PURCHASE. [CUSTOMER] CLAIMED HE NEVER PURCHASED THE STOCK.
S.B.
MANAGEMENT FELT IF WE MADE THE CLIENT WHOLE THE DIFFERENCE
WOULD BE MADE UP IN FUTURE TRADING. THE CLIENT WAS MADE WHOLE
WITH THE AMOUNT SPLIT BETWEEN MANAGEMENT AND MYSELF. I
RECEIVED
ADDITIONAL ACCOUNTS TO MAKE UP THE COST OF THE REIMBURSEMENT.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY



Allegations: CLIENT ALLEGED THAT HE SUFFERED LOSSES
TOTALLING APPROXIMATELY \$23,000 DUE TO MR. BAPTIST'S
MISREPRESENTING CERTAIN SECURITIES (IBM SCORES) PURCHASED IN
CLIENT'S ACCOUNT.

Product Type:

Alleged Damages: \$23,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** New York Stock Exchange

Date Notice/Process Served: 12/13/1990

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/08/1991

**Monetary Compensation
Amount:** \$13,300.00

**Individual Contribution
Amount:**

Firm Statement SMITH BARNEY, FOR BUSINESS REASONS, DETERMINED
TO SETTLE THE MATTER IN FULL BY PAYMENT OF \$13,300.00 TO
CLIENT.
Not Provided

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	SMITH BARNEY
Allegations:	CLIENT ALLEGED THAT HE SUFFERED LOSSES TOTALLING APPROXIMATELY \$23,000 DUE TO MISREPRESENTATION CERTAIN SECURITIES (IBM SCORES) PURCHASED IN CLIENTS ACCOUNT.
Product Type:	
Alleged Damages:	\$23,000.00
Customer Complaint Information	
Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	New York Stock Exchange
Date Notice/Process Served:	12/13/1990
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/08/1991
Monetary Compensation Amount:	\$13,300.00
Individual Contribution Amount:	
Broker Statement	SMITH BARNEY, FOR BUSINESS REASONS, DETERMINED TO SETTLE THE MATTER IN FULL BY PAYMENT OF \$13,300 TO CLIENT ACCOUNT EXECUTIVE PAID NO DAMAGES. Not Provided



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	SALOMON SMITH BARNEY INC.
Termination Type:	Voluntary Resignation
Termination Date:	08/01/1995
Allegations:	N/A NONE-RESIGNED VOLUNTARILY FROM SMITH BARNEY OVER THE HANDLING OF TRADE DISPUTES
Product Type:	
Other Product Types:	
Broker Statement	N/A VOLUNTARY RESIGNATION Not Provided

End of Report



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