

BrokerCheck Report

CURT BYRON ALLEN

CRD# 1659391

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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.

**CURT B. ALLEN**

CRD# 1659391

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

IA RBC CAPITAL MARKETS, LLC
 One North Brentwood
 Suite 900
 St. Louis, MO 63105
 CRD# 31194
 Registered with this firm since: 11/20/2018

B RBC CAPITAL MARKETS, LLC
 One North Brentwood
 Suite 900
 St. Louis, MO 63105-3926
 CRD# 31194
 Registered with this firm since: 11/20/2018

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:

- 22 Self-Regulatory Organizations
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 ST. LOUIS, MO
 08/2010 - 11/2018
- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 CLAYTON, MO
 08/2010 - 11/2018
- IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 ST LOUIS, MO
 04/2001 - 08/2010

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	5
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 22 SROs and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	11/20/2018
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/20/2018
B	FINRA	General Securities Representative	Approved	11/20/2018
B	Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B	MEMX LLC	General Securities Representative	Approved	11/01/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	11/20/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/20/2018
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020

Broker Qualifications



Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq BX, Inc.	General Securities Representative	Approved	11/20/2018
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/20/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/20/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/20/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	11/20/2018
B	New York Stock Exchange	General Securities Representative	Approved	11/20/2018

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/20/2018
B	California	Agent	Approved	11/20/2018
B	Colorado	Agent	Approved	12/03/2018
B	Connecticut	Agent	Approved	11/20/2018
B	Florida	Agent	Approved	11/20/2018
B	Georgia	Agent	Approved	12/03/2018
B	Illinois	Agent	Approved	11/21/2018
B	Indiana	Agent	Approved	11/23/2021
B	Kansas	Agent	Approved	11/20/2018
B	Kentucky	Agent	Approved	11/20/2018
B	Louisiana	Agent	Approved	11/20/2018
B	Michigan	Agent	Approved	11/20/2018
B	Minnesota	Agent	Approved	12/13/2018

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	11/27/2018
IA	Missouri	Investment Adviser Representative	Approved	11/27/2018
B	New Jersey	Agent	Approved	11/20/2018
B	New Mexico	Agent	Approved	11/20/2018
B	New York	Agent	Approved	11/20/2018
B	North Carolina	Agent	Approved	11/20/2018
B	Oregon	Agent	Approved	01/02/2025
B	Pennsylvania	Agent	Approved	08/09/2024
B	Texas	Agent	Approved	11/20/2018
IA	Texas	Investment Adviser Representative	Approved	11/20/2018
B	Virginia	Agent	Approved	11/20/2018
B	Washington	Agent	Approved	11/20/2018

Branch Office Locations

RBC CAPITAL MARKETS, LLC

One North Brentwood
Suite 900
St. Louis, MO 63105-3926

RBC CAPITAL MARKETS, LLC

Glendale, MO



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	10/09/2007
B General Securities Representative Examination	Series 7	05/16/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/31/2005
B Uniform Securities Agent State Law Examination	Series 63	06/05/1987

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 08/2010 - 11/2018	WELLS FARGO CLEARING SERVICES, LLC	19616	CLAYTON, MO
B 08/2010 - 11/2018	WELLS FARGO CLEARING SERVICES, LLC	19616	CLAYTON, MO
IA 04/2001 - 08/2010	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO
B 03/2001 - 08/2010	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	CHESTERFIELD, MO
B 01/1995 - 04/2001	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 11/1990 - 11/1994	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ST. LOUIS, MO
B 11/1989 - 12/1990	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 05/1987 - 11/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

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
05/2019 - Present	City National Bank	Employee of an affiliate	Y	St. Louis, MO, United States
11/2018 - Present	RBC Capital Markets, LLC.	Financial Advisor	Y	St. Louis, MO, United States
11/2016 - 11/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ST. LOUIS, MO, United States
08/2010 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	ST. LOUIS, MO, 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.

UBER; NOT INV RELATED; ST. LOUIS, MO; DRIVER; START 2/12/2016; 16 HOURS PER MONTH, 0 DURING TRADING; DRIVING.
IMPERIAL CONDOMINIUM ASSOCIATION; NOT INVESTMENT RELATED; CLAYTON, MO; BOARD MEMBER; START DATE 04/21/17; 4
HOURS PER MONTH / 0 DURING 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.
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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	5	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.

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:	CIBC WORLD MARKETS CORP.
Allegations:	CLAIMANTS ALLEGE THAT MR. ALLEN MADE EXCESSIVE, UNSUITABLE AND UNAUTHORIZED TRADES IN THEIR CIBC ACCOUNTS.
Product Type:	Equity - OTC
Alleged Damages:	\$50,000.00

Customer Complaint Information

Date Complaint Received:	07/20/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	03/27/2002
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD #02-01528
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Date Notice/Process Served: 03/27/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/23/2004

Monetary Compensation Amount: \$165,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CUSTOMER ALLEGES THAT MR. ALLEN CONDUCTED NUMEROUS TRADES WITHOUT THE KNOWLEDGE OR CONSENT OF THE ACCOUNT HOLDER AND FURTHER THAT HE CONTINUED TO DO SO AFTER THE UNAUTHORIZED TRADING WAS DISCOVERED AND ORDERED CEASED.

Product Type: Other

Other Product Type(s): MISCELLANEOUS

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/20/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/27/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #02-01528



Date Notice/Process Served: 03/27/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/11/2004

Monetary Compensation Amount: \$165,000.00

Individual Contribution Amount: \$0.00

Broker Statement MR. ALLEN STATES HE SPOKE TO THE CLIENT IN ADVANCE OF ALL TRADES. IN ADDITION, MR. ALLEN ALSO FAXED COPIES OF ALL TRADES TO CLIENT THREE TIMES EACH WEEK. CLAIMANT AND TRUSTEE WAS A SOPHISTICATED INVESTOR WHO ACTIVELY TRADED THESE ACCOUNTS PRIMARILY ON AN UNSOLICITED BASIS. CLAIMANT KNEW OF THE INHERENT RISKS OF THE INVESTMENTS. MR. ALLEN VIGOROUSLY DEFENDED THE CLAIM AND REFUSED TO PAY CLAIMANT ANY MONEY ON THIS CLAIM. CLAIMANT ULTIMATELY SETTLED HIS DISPUTE WITH CIBC WORLD MARKETS CORP. AND DISMISSED HIS CLAIMS ON OCTOBER 28, 2004. MR. ALLEN WAS NOT A PARTY TO THAT SETTLEMENT AND WAS NOT INFORMED OF THAT SETTLEMENT AND THE DISMISSAL OF THE CLAIMS UNTIL MAY 24, 2005.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CUSTOMERS [CUSTOMERS] ALLEGES THAT MR. ALLEN CONDUCTED NUMEROUS TRADES WITHOUT THE KNOWLEDGE OR CONSENT OF THE ACCOUNT HOLDERS AND FURTHER THAT HE CONTINUED TO DO SO AFTER THE UNAUTHORIZED TRADING WAS DISCOVERED AND ORDERED CEASED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/17/2001

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 04/05/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 02-01642

Date Notice/Process Served: 04/05/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/02/2004

Monetary Compensation Amount: \$36,000.00

Individual Contribution Amount: \$0.00

Firm Statement IN ORDER TO AVOID THE COST OF ARBITRATION, AND WITHOUT ADMITTING ANY LIABILITY, CIBC AGREED TO PAY CLAIMANT \$36,000 IN FULL AND FINAL SETTLEMENT OF ALL CLAIMS AGAINST CIBC AND MR. ALLEN. MR. ALLEN DID NOT CONTRIBUTE TO THE SETTLEMENT.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CUSTOMER ALLEGE THAT MR. ALLEN CONDUCTED NUMEROUS TRADES WITHOUT THE KNOWLEDGE OR CONSENT OF THE ACCOUNT HOLDERS AND FURTHER THAT HE CONTINUED TO DO SO AFTER THE UNAUTHORIZED TRADING WAS DISCOVERED AND ORDERED CEASED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/17/2001



Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/05/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 02-01642

Date Notice/Process Served: 04/05/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/02/2004

Monetary Compensation Amount: \$36,000.00

Individual Contribution Amount: \$0.00

Broker Statement

MR. ALLEN STATES THAT HE SPOKE TO THE CLIENT IN ADVANCE OF ALL TRADES. MR. ALLEN WAS DISMISSED WITHOUT RECEIVING ANY PAYMENT FROM MR. ALLEN. CUSTOMER ALLEGE THAT MR. ALLEN CONDUCTED NUMEROUS TRADES WITHOUT THE KNOWLEDGE OR CONSENT OF THE ACCOUNT HOLDERS AND FURTHER THAT HE CONTINUED TO DO SO AFTER THE UNAUTHORIZED TRADING WAS DISCOVERED AND ORDERED CEASED. CLAIMANT WAS A SOPHISTICATED INVESTOR WHO ACTIVELY TRADED IN TECHNOLOGY STOCKS PRIMARILY ON AN UNSOLICITED BASIS. CLAIMANT LOST MONEY DURING THE CRASH OF THE TECHNOLOGY MARKET SECTOR IN THE SPRING OF 2000 AND SOUGHT TO HOLD MR. ALLEN RESPONSIBLE AS AN INSURER OF THE INVESTMENTS EVEN THOUGH CLAIMANT KNEW OF THE INHERENT RISKS OF THE INVESTMENTS. MR. ALLEN VIGOROUSLY DEFENDED THE CLAIM AND REFUSED TO PAY CLAIMANT ANY MONEY ON THIS CLAIM. CLAIMANT ULTIMATELY DISMISSED THIS CLAIM AGAINST MR. ALLEN BEFORE HEARING WITHOUT RECEIVING ANY PAYMENT FROM MR. ALLEN.



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP,

Allegations: [CUSTOMERS] ALLEGE THAT MR. ALLEN PURCHASED 4,500 SHARES OF AOL ON MARGIN WITHOUT THEIR AUTHORIZATION. THE ALLEGED DAMAGES EXCEED \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/16/2001

Complaint Pending? No

Status: Settled

Status Date: 08/06/2001

Settlement Amount: \$134,269.49

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS COPR.

Allegations: ON 3/28/2000 [CUSTOMERS] PURCHASED A TOTAL OF 5000 SHARE OF AOL WITH 2500@71.2490 AND 2500 @71.6850. THE [CUSTOMERS] ARE SOPHISTICATED INVESTORS WHO HAD A SUBSTANTIAL SIX FIGURE MARGIN BALANCE PRIOR TO MR. ALLEN HANDLING THE ACCOUNT. THE PURCHASE OF AOL SHARES ON MARGIN WAS FULL DISCUSSED WITH THE [CUSTOMERS] PRIOR TO THE EXECUTION OF THE TRADE. [CUSTOMERS] SENT MR. ALLEN AN EMAIL ON MARCH 16, 2001 EXPRESSING CONCERN REGARDING THEIR EQUITIES, ESPECIALLY AOL. THIS EMAIL OF CONCERN CAME AT A TIME WHERE AS OF 2/28/2001 THE NASDAQ HAD GONE THROUGH A 54% ONE YEAR CORRECTION AND THE RUSSELL GROWTH INDEX HAD A ONE YEAR CORRECTION OF 40.76%. MR. ALLEN IS UNAWARE OF ANY FORMAL COMPLAINT SUBMITTED BY THE [CUSTOMERS] AND HAVE RECEIVED NO DOCUMENTATION REGARDING SUCH A COMPLAINT.



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/16/2001

Complaint Pending? No

Status: Settled

Status Date: 08/06/2001

Settlement Amount: \$134,269.49

Individual Contribution Amount: \$0.00

Broker Statement CURT ALLEN DENIES EVER EXECUTING ONE SINGLE TRADE WITHOUT TALKING TO THE CLIENT IN ADVANCE. THIS WAS SETTLED WITHOUT MR. ALLEN'S KNOWLEDGE OR CONSULTATION. MR. ALLEN WAS NOT THE BROKER ON THE ACCOUNT DURING THE FOUR MONTHS PRIOR TO SETTLEMENT AND WAS NEVER QUESTIONED OR CONSULTED REGARDING THIS ACCOUNT OR THIS SETTLEMENT.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	STIFEL NICOLAUS & COMPANY, INC.
Allegations:	CLIENTS ALLEGE REGISTERED REPRESENTATIVE FAILED TO RECOMMEND THE LIQUIDATION OF A CONCENTRATED STOCK POSITION LARGELY PURCHASED ON AN UNSOLICITED BASIS. TIMEFRAME: 1/1/07 THROUGH 11/16/08
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$2,000,000.00
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 #:	13-03375
Filing date of arbitration/CFTC reparation or civil litigation:	12/02/2013

Customer Complaint Information

Date Complaint Received:	12/02/2013
Complaint Pending?	No
Status:	Denied
Status Date:	12/29/2015
Settlement Amount:	



Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STIFEL NICOLAUS & COMPANY, INC.

Allegations: CLIENTS ALLEGE REGISTERED REPRESENTATIVE FAILED TO RECOMMEND THE LIQUIDATION OF A CONCENTRATED STOCK POSITION LARGELY PURCHASED ON AN UNSOLICITED BASIS. TIMEFRAME: 1/1/07 THROUGH 11/16/08

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$2,000,000.00

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 #: 13-03375

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2013

Customer Complaint Information

Date Complaint Received: 12/02/2013

Complaint Pending? No

Status: Denied

Status Date: 12/23/2015

Settlement Amount:

Individual Contribution Amount:

Broker Statement Arbitration panel denied all claims . Panel stated the claim , allegation , or information is factually impossible or clearly erroneous .. Panel stated Curt Allen



had conversations with [REDACTED] regarding selling NCC and he decided not to sell . [REDACTED] daughter [REDACTED] had authority to sell stock , she sold in her own account but not for [REDACTED]. The panel recommends EXPUNGEMENT of all references to this arbitration and any records of Curt Allen after all testimonies and evidence was presented showing Mr. Allen did nothing wrong and at all times suggested client diversify the stock he deposited with Stifel . The [REDACTED] family must pay \$4,200.00 of the session hearing fees . Written evidence proved the families allegations were 100% false .

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS CORP.
Allegations:	CLIENT ALLEGES THAT CURT ALLEN WAS INSTRUCTED TO SELL 2000 SHARES OF A STOCK IN HIS CORPORATE ACCOUNT. CURT ALLEN SOLD ONLY 1000 SHARES. DAMAGES WERE ALLEGED TO BE \$6,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$6,000.00

Customer Complaint Information

Date Complaint Received:	10/15/1998
Complaint Pending?	No
Status:	Withdrawn
Status Date:	05/25/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT WITHDREW HIS COMPLAINT IN WRITING.



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:	PAINEWEBBER, INC
Termination Type:	Permitted to Resign
Termination Date:	10/31/1990
Allegations:	<p>N/A</p> <p>ON OCTOBER 31, 1990, PAINE WEBBER TOLD CURT ALLEN THAT IT FELT THAT HIS HANDLING OF CERTAIN DVP ACCOUNTS HAD EXPOSED PAINE WEBBER TO UNDUE RISK AND THAT, AS A RESULT, PAINE WEBBER WAS ASKING HIM TO RESIGN. SUBSEQUENTLY, PAINE WEBBER HAS ALLEGED THAT TWO CUSTOMER COMPLAINTS (THURMOND AND DAMPIER) ALSO CONTRIBUTED TO THE REQUESTED RESIGNATION.</p>
Product Type:	
Other Product Types:	
Broker Statement	<p>PAINE WEBBER HAS INDICATED THAT IT IS REVIEWING THE TRADES IN QUESTIN AND WILL MAKE ANY ADJUSTMENTS IN THE PERTINENT ACCOUNTS THAT IT DEEMS APPROPRIATE.</p> <p>PAINE WEBBER HAS INDICATED THAT IT IS REVIEWING THE TRADES IN QUESTION AND WILL MAKE ANY ADJUSTMENTS IN THE PERTINENT ACCOUNTS THAT IT DEEMS APPROPRIATE.</p>

End of Report



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