BrokerCheck Report

DOUGLAS ROBERT MEYER

CRD# 1718989

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.

DOUGLAS R. MEYER

CRD# 1718989

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 2 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):

B **UBS FINANCIAL SERVICES INC.**
CRD# 8174
MEMPHIS, TN
12/2007 - 01/2025

B **MORGAN KEEGAN & COMPANY, INC.**
CRD# 4161
MEMPHIS, TN
07/1998 - 12/2007

B **CARILLON INVESTMENTS, INC.**
CRD# 14646
CINCINNATI, OH
08/1987 - 07/1998

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

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at
https://www.adviserinfo.sec.gov

Broker Qualifications

Registrations

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

This broker is not currently registered.

Broker Qualifications

Industry Exams this Broker has Passed

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

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination	Series 10	10/27/2003
B	General Securities Sales Supervisor - Options Module Examination	Series 9	10/21/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	02/20/2001
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/25/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	08/08/1997
B	Uniform Securities Agent State Law Examination	Series 63	08/26/1987

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
B	12/2007 - 01/2025	UBS FINANCIAL SERVICES INC.	8174	MEMPHIS, TN
B	07/1998 - 12/2007	MORGAN KEEGAN & COMPANY, INC.	4161	MEMPHIS, TN
B	08/1987 - 07/1998	CARILLON INVESTMENTS, INC.	14646	CINCINNATI, OH

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
12/2007 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	MEMPHIS, TN, United States

Other Business Activities

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

1)DOUG MEYER / SERVICE INSURANCE POLICIES SOLD DURING PRIOR EMPLOYMENT / 9222 INA COVE MEMPHIS , TN 38133 / SERVICE INSURANCE POLICIES SOLD DURING PRIOR EMPLOYMENT / PRIVATELY HELD / START DATE 12/07/2007 / 2 HRS.

Disclosure Events

What you should know about reported disclosure events:

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

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final event generally has a disposition of *adjudicated, settled* or *otherwise resolved.*
     - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
     - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	5	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 4

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 BETWEEN 6/03 AND 12/07.
Product Type:	Mutual Fund
Alleged Damages:	$90,000.00
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 #:	10-02171
Filing date of arbitration/CFTC reparation or civil litigation:	05/05/2010

Customer Complaint Information

Date Complaint Received:	05/20/2010

Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2011
Settlement Amount:	$48,000.00
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 MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 6/03 AND 12/07.
Product Type:	Mutual Fund
Alleged Damages:	$90,000.00
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 #:	10-02171
Filing date of arbitration/CFTC reparation or civil litigation:	05/05/2010

Customer Complaint Information

Date Complaint Received:	05/20/2010
Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2011
Settlement Amount:	$48,000.00

Individual Contribution Amount:	$0.00
Broker Statement	I WAS NOT A NAMED RESPONDENT IN THIS CLAIM. ALL ALLEGATIONS ARE AGAINST THE NAMED RESPONDENT, MORGAN KEEGAN AND CO., INC. MR. MEYER WAS ONCE EMPLOYED BY MORGAN KEEGAN & CO., INC., BUT LEFT MORGAN KEEGAN IN DECEMBER 2007 TO CONTINUE HIS CAREER AT UBS-MEMPHIS. IN JUNE OF 2011 MORGAN KEEGAN AGREED TO PAY OVER $200,000,000 IN FINES AND PENALTIES AS A RESULT OF ALLEGATIONS BY FINRA, THE S.E.C., AND A CONSORTIUM OF STATE SECURITIES COMMISSIONS DUE TO THE FAILURE OF A NUMBER OF MORGAN KEEGAN MUTUAL FUNDS (RMK FUNDS). THE FAILURE OF THESE FUNDS PRECIPITATED MR. MEYER'S CHANGE OF EMPLOYMENT. AS A DIRECT RESULT OF THE RMK FUNDS ISSUE SEVERAL OF MR. MEYER'S CLIENTS FILED STATEMENTS OF CLAIMS AGAINST MORGAN KEEGAN. IT SHOULD BE NOTED THAT NOT A SINGLE ONE OF THOSE CLIENTS INCLUDED MR. MEYER AS A CO-RESPONDENT. IN FACT MR. MEYER HAS TESTIFIED IN ARBITRATION PROCEEDINGS PURSUANT TO ORDERS OF APPEARANCE ISSUED BY FINRA. MANY OF HIS CLIENTS HAVE SECURED MONETARY AWARDS FROM PANELS OF FINRA ARBITRATORS AS A RESULT OF THE RMK FUNDS DECLINE; OR ALTERNATIVELY, HAVE SECURED VOLUNTARY SETTLEMENTS PAID BY MORGAN KEEGAN. MR. MEYER BELIEVES THAT THESE FILINGS BY MORGAN KEEGAN WERE UNNECESSARILY MADE, AS MR. MEYER WAS NOT ALLEGED TO HAVE BEEN INVOLVED IN ANY WRONGDOING THAT WOULD WARRANT A REGULATORY FILING ON HIS PERSONAL RECORD.

Disclosure 2 of 4

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 2006 AND 2007.
Product Type:	Mutual Fund
Alleged Damages:	$220,000.00
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 #:	09-05941
Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2009

Customer Complaint Information

Date Complaint Received:	11/13/2009
Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2011
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 MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTAUL FUNDS PURCHASED IN 2006 AND 2007
Product Type:	Mutual Fund
Alleged Damages:	$220,000.00
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 #:	09-05941

Filing date of arbitration/CFTC reparation or civil litigation:	10/16/2009

Customer Complaint Information

Date Complaint Received:	11/13/2009
Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2011
Settlement Amount:	$95,000.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 4

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 2007.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	IN EXCESS OF $49,999.00
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 #:	09-06208

Filing date of arbitration/CFTC reparation or civil litigation:	10/22/2009

Customer Complaint Information

Date Complaint Received:	11/09/2009
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2011
Settlement Amount:	$54,000.00
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 MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2007
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	IN EXCESS OF $49,999.00
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 #:	09-06208

Filing date of arbitration/CFTC reparation or civil litigation:	10/22/2009

Customer Complaint Information

Date Complaint Received:	11/09/2009
Complaint Pending?	No
Status:	Settled
Status Date:	03/31/2011
Settlement Amount:	$54,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MR. MEYER WAS ONCE EMPLOYED BY MORGAN KEEGAN & CO., INC. BUT LEFT MORGAN KEEGAN IN DECEMBER 2007 TO CONTINUE HIS CAREER AT UBS-MEMPHIS. MORGAN KEEGAN IS DEFENDING SEVERAL FINRA ARBITRATIONS, AS WELL AS REGULATORY ACTIONS FILED AGAINST IT BY FINRA, THE SEC AND A CONSORTIUM OF STATE SECURITIES COMMISSIONS, AS A RESULT OF ALLEGED MISCONDUCT ARISING FROM ISSUES WITH THE REGIONS MORGAN KEEGAN FUNDS (RMK FUNDS) FAILURES OF 2007. THESE EVENTS PRECEDED MR. MEYER'S CHANGE OF EMPLOYMENT. AS A DIRECT RESULT OF THE RMK FUNDS ISSUE SEVERAL OF MR. MEYER'S CLIENTS FILED STATEMENTS OF CLAIMS AGAINST MORGAN KEEGAN. IT SHOULD BE NOTED THAT NOT A SINGLE ONE OF THOSE CLIENTS INCLUDED MR. MEYER AS A CO-RESPONDENT. IN FACT MR. MEYER HAS TESTIFIED IN ARBITRATION PROCEEDINGS PURSUANT TO ORDERS OF APPEARANCE ISSUED BY FINRA. MANY OF HIS CLIENTS HAVE SECURED MONETARY AWARDS FROM PANELS OF FINRA ARBITRATORS AS A RESULT OF THE RMK FUNDS DECLINE; OR ALTERNATIVELY, HAVE SECURED VOLUNTARY SETTLEMENTS PAID BY MORGAN KEEGAN. MR. MEYER FEELS THAT THESE FILINGS BY MORGAN KEEGAN WERE UNNECESSARILY MADE, AS MR. MEYER WAS NOT ALLEGED TO HAVE BEEN INVOLVED ANY WRONGDOING THAT WOULD WARRANT A REGULATORY FILING ON HIS PERSONAL RECORD.

Disclosure 4 of 4

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

Allegations:	CLAIM ALLEGES FAILURE TO FOLLOW INSTRUCTIONS TO SELL MUTUAL FUNDS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF $5000).
Product Type:	Other
Other Product Type(s):	CLOSED-END
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	01/22/2008
Complaint Pending?	No
Status:	Settled
Status Date:	07/31/2008
Settlement Amount:	$89,000.00
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 FAILURE TO FOLLOW INSTRUCTIONS TO SELL MUTUAL FUNDS. DAMAGAES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF $5000.00)
Product Type:	Other
Other Product Type(s):	CLOSED-END
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	01/22/2008
Complaint Pending?	No
Status:	Settled
Status Date:	07/31/2008
Settlement Amount:	$89,000.00

Individual Contribution Amount:	$0.00

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

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

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	COMPLAINT ALLEGES UNSUITABILITY OF MUTUAL FUND INVESTMENTS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF $5,000.00)
Product Type:	Other
Other Product Type(s):	CLOSED-END FUND
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	01/23/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/25/2008
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	UNDER INVESTIGATION.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	COMPLAINT ALLEGES UNSUITABILITY OF MUTUAL FUND INVESTMENTS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF $5,000.00)

Product Type: Other

Other Product Type(s): CLOSES-END FUND

Alleged Damages: $0.00

Customer Complaint Information

Date Complaint Received: 01/23/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/25/2008

Settlement Amount:

Individual Contribution Amount:

End of Report

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