

## BrokerCheck Report

### MARTIN A KLEIN III

CRD# 1778613

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

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

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](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)

**MARTIN A. KLEIN III**

CRD# 1778613

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

**IA RBC CAPITAL MARKETS, LLC**  
 610 NEWPORT CENTER DRIVE  
 SUITE 900  
 NEWPORT BEACH, CA 92660  
 CRD# 31194  
 Registered with this firm since: 06/25/2014

**B RBC CAPITAL MARKETS, LLC**  
 610 NEWPORT CENTER DRIVE  
 SUITE 900  
 NEWPORT BEACH, CA 92660-6448  
 CRD# 31194  
 Registered with this firm since: 06/25/2014

**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
- 36 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 J.P. MORGAN SECURITIES LLC**  
 CRD# 79  
 NEW YORK, NY  
 11/2007 - 07/2014
- B J.P. MORGAN SECURITIES LLC**  
 CRD# 79  
 NEWPORT BEACH, CA  
 11/2007 - 07/2014
- IA MORGAN STANLEY & CO., INCORPORATED**  
 CRD# 8209  
 NEW YORK, NY  
 04/2007 - 11/2007

**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



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

### Employment 1 of 1

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

Main Office Address: **3 WORLD FINANCIAL CENTER  
200 VESEY ST.  
NEW YORK, NY 10281**

Firm CRD#: **31194**

SRO	Category	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	06/25/2014
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	06/25/2014
B FINRA	General Securities Representative	Approved	06/25/2014
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/01/2020
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	06/25/2014
B NYSE Arca, Inc.	General Securities Representative	Approved	06/25/2014
B NYSE Chicago, Inc.	General Securities Representative	Approved	11/18/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
<b>B</b> Nasdaq BX, Inc.	General Securities Representative	Approved	06/25/2014
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	06/25/2014
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	06/25/2014
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	06/25/2014
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	06/25/2014

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	Approved	06/25/2014
<b>B</b> California	Agent	Approved	06/25/2014
<b>IA</b> California	Investment Adviser Representative	Approved	06/25/2014
<b>B</b> Colorado	Agent	Approved	06/25/2014
<b>B</b> Connecticut	Agent	Approved	07/03/2014
<b>B</b> Delaware	Agent	Approved	06/30/2014
<b>B</b> Florida	Agent	Approved	06/25/2014
<b>B</b> Georgia	Agent	Approved	06/25/2014
<b>B</b> Hawaii	Agent	Approved	07/08/2014
<b>B</b> Idaho	Agent	Approved	06/26/2014
<b>B</b> Illinois	Agent	Approved	06/26/2014
<b>B</b> Indiana	Agent	Approved	07/10/2014
<b>B</b> Louisiana	Agent	Approved	06/25/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	06/25/2014
B	Massachusetts	Agent	Approved	06/06/2018
B	Michigan	Agent	Approved	06/25/2014
B	Minnesota	Agent	Approved	06/25/2014
B	Mississippi	Agent	Approved	01/20/2015
B	Missouri	Agent	Approved	06/25/2014
B	Montana	Agent	Approved	05/16/2023
B	Nebraska	Agent	Approved	06/25/2014
B	Nevada	Agent	Approved	06/25/2014
B	New Jersey	Agent	Approved	06/25/2014
B	New Mexico	Agent	Approved	06/25/2014
B	New York	Agent	Approved	06/25/2014
B	North Carolina	Agent	Approved	06/25/2014
B	Ohio	Agent	Approved	06/25/2014
B	Oregon	Agent	Approved	06/26/2014
B	Pennsylvania	Agent	Approved	06/25/2014
B	South Dakota	Agent	Approved	06/25/2014
B	Tennessee	Agent	Approved	11/06/2020
B	Texas	Agent	Approved	06/25/2014
IA	Texas	Investment Adviser Representative	Approved	06/25/2014
B	Utah	Agent	Approved	06/25/2014



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	06/25/2014
B	Washington	Agent	Approved	06/25/2014
B	Wisconsin	Agent	Approved	06/21/2022
B	Wyoming	Agent	Approved	11/24/2015

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
610 NEWPORT CENTER DRIVE  
SUITE 900  
NEWPORT BEACH, CA 92660-6448

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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.

**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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	02/01/1988
<b>B</b> General Securities Representative Examination	Series 7	12/19/1987

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	02/10/1994
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/30/1987

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/](http://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>B</b> 11/2007 - 07/2014	J.P. MORGAN SECURITIES LLC	79	NEWPORT BEACH, CA
<b>IA</b> 11/2007 - 07/2014	J.P. MORGAN SECURITIES LLC	79	NEWPORT BEACH, CA
<b>B</b> 04/2007 - 11/2007	MORGAN STANLEY & CO., INCORPORATED	8209	NEWPORT BEACH, CA
<b>IA</b> 04/2007 - 11/2007	MORGAN STANLEY & CO., INCORPORATED	8209	NEWPORT BEACH, CA
<b>IA</b> 05/2000 - 04/2007	MORGAN STANLEY	7556	NEWPORT BEACH, CA
<b>B</b> 04/2000 - 04/2007	MORGAN STANLEY DW INC.	7556	NEWPORT BEACH, CA
<b>B</b> 12/1987 - 05/2000	PRUDENTIAL SECURITIES INCORPORATED	7471	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
11/2016 - Present	City National Bank	Employee of an affiliate	Y	Newport Beach, CA, United States
06/2014 - Present	RBC CAPITAL MARKETS, LLC	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, United States
10/2010 - 06/2014	JPMORGAN CHASE BANK, N.A.	ACCOUNT EXECUTIVE	Y	NEWPORT BEACH, CA, United States
10/2008 - 06/2014	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, 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.



## Registration and Employment History

### Other Business Activities, continued

(1) THE PACIFIC CLUB; ADDRESS: 4110 MACARTHUR BLVD NEWPORT BEACH, CA 92660; BUSINESS DESCRIPTION: PRIVATE CLUB; NOT INVESTMENT RELATED; START DATE: 06/25/2014; CAPACITY: BOARD OF DIRECTORS; DUTIES: REVIEW ISSUES TYPICAL TO PRIVATE CLUBS; HOURS DEVOTED PER WEEK: 1; HOURS DEVOTED DURING SECURITIES HOURS PER WEEK: 0

(2 )NAME OF ENTITY: China-US Business Summit;  
ADDRESS: 17700 Castleton St., Suite 305, City of Industry, CA 91748;  
NOT INVESTMENT RELATED;  
BUSINESS DESCRIPTION: Promote business opportunities between US and China;  
CAPACITY: Board of Directors;  
START DATE: 02/08/2021;  
DUTIES: Advise on promoting the summit to businesses;  
HOURS DEVOTED PER MONTH: 01hr/month;  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: None;

(3) NAME OF ENTITY: Pacific Club Lott Impact Trophy Board  
ADDRESS: 4110 MacArthur Blvd. Newport Beach, CA 92660  
INVESTMENT/NOT INVESTMENT RELATED: No  
BUSINESS DESCRIPTION: Charity--raises money for various children's groups and colleges.  
CAPACITY: Board of Directors \*  
START DATE: 12/01/2022  
DUTIES: Help choose the college player most worthy each year of the Trophy  
HOURS DEVOTED PER MONTH: ½ hour  
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

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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.
  -
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	2	3	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 - 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 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	J.P. MORGAN SECURITIES LLC
<b>Allegations:</b>	CLIENT ALLEGED THAT ON 3/28/2011 BROKER PURCHASED MUTUAL FUNDS BELOW THE BREAKPOINTS, DID NOT TAKE ADVANTAGE OF STAYING WITHIN THE SAME FUND FAMILIES AND THAT THE FUNDS WERE UNSUITABLE FOR THE CLIENT'S RISK TOLERANCE.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNSPECIFIED BUT REASONABLY BELIEVED TO BE ABOVE \$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

**Date Complaint Received:** 11/09/2011



<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	11/30/2011
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	I FULLY DISCUSSED ALL ASPECTS OF THE INVESTMENT PORTFOLIO STRATEGY WITH THE CLIENT BEFORE ANY CHANGES WERE MADE TO THE ACCOUNT. DURING THE NUMEROUS OCCASIONS I SPOKE AND MET WITH THE CLIENT AFTER THE INVESTMENTS WERE MADE, CLIENT NEVER EXPRESSED ANY DISAPPOINTMENT NOR DID SHE RAISE ANY CONCERNS UNTIL SIX MONTHS AFTER THE INVESTMENTS WERE ENTERED INTO UPON A DECLINE IN THE EQUITY MARKETS.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	JP MORGAN SECURITIES LLC
<b>Allegations:</b>	CLIENT ALLEGES THAT THE BROKER FAILED TO MONITOR BOND PRICES AND NOTIFY HIM ACCORDINGLY AS PER HIS INSTRUCTION.
<b>Product Type:</b>	Debt-Municipal
<b>Alleged Damages:</b>	\$1,853,960.00
<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>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/31/2011
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/11/2011

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

MR. KLEIN DENIES CLAIM IN FULL. HIS RECORDS SHOW THAT THERE HAVE BEEN IN EXCESS OF 100 COMMUNICATIONS TO THE CLIENT ADVISING HIM OF CHANGES IN BOND PRICES. IN ADDITION, THE CLIENT'S CLAIMED LOSS IS MISCALCULATED. ANY THEORETICAL ALLEGATIONS ARE COMPLETELY DENIED BY MR. KLEIN.

**Disclosure 3 of 3****Reporting Source:**

Broker

**Employing firm when activities occurred which led to the complaint:**

MORGAN STANLEY

**Allegations:**

CLIENT ALLEGED THAT MR. MARTIN NEGLECTED TO CALL HER BETWEEN NOVEMBER 2000 AND FEBRUARY 2001 WHILE THE MARKET VALUE OF HER ACCOUNT WAS DECLINING. CLIENT COMPLAINS THAT HER (UNREALIZED) LOSS AMOUNTED TO APPROXIMATELY \$26,000.

**Product Type:**

Equity - OTC

**Alleged Damages:**

\$26,000.00

**Customer Complaint Information****Date Complaint Received:**

09/27/2001

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

06/14/2002

**Settlement Amount:****Individual Contribution Amount:**



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	RBC CAPITAL MARKETS, LLC
<b>Allegations:</b>	The client alleged the advisor made unsuitable recommendations to purchase governmental agency bonds for his portfolio between December 2020 and November 2021, and misinformed him of their potential risk related to rising interest rates.
<b>Product Type:</b>	Debt-Government
<b>Alleged Damages:</b>	\$10,000,000.00
<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>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/14/2022
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	02/06/2023
<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>	23-00302





**Date Notice/Process Served:** 02/06/2023

**Arbitration Pending?** Yes

**Broker Statement** This is being filed late due to an internal processing error after receipt of the complaint in October.

#### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** RBC CAPITAL MARKETS, LLC

**Allegations:** The client alleged the advisor made unsuitable recommendations to purchase governmental agency bonds for his portfolio between September 2016 and June 2022, and misinformed him of their potential risk related to rising interest rates.

**Product Type:** Debt-Government

**Alleged Damages:** \$24,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

#### Customer Complaint Information

**Date Complaint Received:** 10/14/2022

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 02/06/2023

#### Settlement Amount:

**Individual Contribution Amount:**

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 23-00302



**Date Notice/Process Served:** 02/06/2023

**Arbitration Pending?** Yes

**Broker Statement** This is being filed late due to an internal processing error after receipt of the complaint in October.

## End of Report



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