

## BrokerCheck Report

**MAURICE LEE NISSIM**

CRD# 1884760

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®



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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

**Thank you for using FINRA BrokerCheck.**



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

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**MAURICE L. NISSIM**

CRD# 1884760

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

**IA UBS FINANCIAL SERVICES INC.**  
 370-17TH STREET  
 DENVER, CO 80202  
 CRD# 8174  
 Registered with this firm since: 01/06/1992

**B UBS FINANCIAL SERVICES INC.**  
 370-17TH STREET  
 DENVER, CO 80202  
 CRD# 8174  
 Registered with this firm since: 01/06/1992

**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:**

- 10 Self-Regulatory Organizations
- 41 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):**

**B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**  
 CRD# 7691  
 NEW YORK, NY  
 10/1988 - 01/1992

**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	11



## 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 10 SROs and is licensed in 41 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD  
WEEHAWKEN, NJ 07086**

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/06/1992
B	FINRA	General Securities Representative	Approved	01/06/1992
B	NYSE American LLC	General Securities Representative	Approved	01/06/1992
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/11/1992
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/28/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/16/1993
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	01/06/1992

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/13/2021
B	Arizona	Agent	Approved	01/06/1992
B	California	Agent	Approved	01/17/1992

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	01/06/1992
IA	Colorado	Investment Adviser Representative	Approved	01/01/1999
B	Connecticut	Agent	Approved	02/07/2023
B	Delaware	Agent	Approved	02/17/2023
B	Florida	Agent	Approved	01/16/1996
B	Georgia	Agent	Approved	01/11/1996
B	Idaho	Agent	Approved	11/13/1995
B	Illinois	Agent	Approved	01/04/1996
B	Indiana	Agent	Approved	06/15/2005
B	Kansas	Agent	Approved	01/11/1996
B	Kentucky	Agent	Approved	02/07/2023
B	Louisiana	Agent	Approved	07/22/1992
B	Maine	Agent	Approved	12/05/1997
B	Maryland	Agent	Approved	04/14/2000
B	Massachusetts	Agent	Approved	05/05/2025
B	Michigan	Agent	Approved	07/21/1992
B	Minnesota	Agent	Approved	06/16/2005
B	Mississippi	Agent	Approved	10/13/1999
B	Missouri	Agent	Approved	02/07/2023
B	Montana	Agent	Approved	10/16/2003
B	Nebraska	Agent	Approved	11/10/1998

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	07/21/1992
B	New Jersey	Agent	Approved	01/23/1996
B	New Mexico	Agent	Approved	05/11/1992
B	New York	Agent	Approved	01/06/1992
B	North Carolina	Agent	Approved	05/10/1999
B	North Dakota	Agent	Approved	02/14/2023
B	Oklahoma	Agent	Approved	02/07/2023
B	Oregon	Agent	Approved	01/06/1992
B	Pennsylvania	Agent	Approved	02/08/2023
B	South Carolina	Agent	Approved	01/12/2004
B	South Dakota	Agent	Approved	02/13/2023
B	Tennessee	Agent	Approved	06/24/2005
B	Texas	Agent	Approved	01/06/1992
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/1992
B	Utah	Agent	Approved	01/06/1992
B	Virginia	Agent	Approved	06/10/1992
B	Washington	Agent	Approved	07/21/1992
B	Wisconsin	Agent	Approved	10/29/2004
B	Wyoming	Agent	Approved	07/21/1994

## Branch Office Locations

## Broker Qualifications



### Employment 1 of 1, continued

**UBS FINANCIAL SERVICES INC.**

370-17TH STREET  
DENVER, CO 80202

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## Broker Qualifications

### Industry Exams this Broker has Passed

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

**This individual has passed 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> Futures Managed Funds Examination	Series 31	02/25/2000
<b>B</b> General Securities Representative Examination	Series 7	10/15/1988

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	11/03/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/28/1988

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> 10/1988 - 01/1992	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
07/2013 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	DENVER, CO, 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.

No information reported.

## 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	11	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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC.
<b>Allegations:</b>	CLIENT QUESTIONED THE QUARTERLY ACCESS FEES ASSOCIATED WITH HIS ACCOUNT. CLIENT ALSO RAISED CONCERNS ABOUT HIS ANNUITY AND IT'S EXPIRATION DATE.
<b>Product Type:</b>	Other: ANNUITY
<b>Alleged Damages:</b>	\$46,000.00
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/07/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/27/2009
<b>Settlement Amount:</b>	\$29,500.00
<b>Individual Contribution</b>	\$0.00



**Amount:**



## 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 10

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** TIME FRAME: 12/01/2007 TO 10/10/2008  
THE CLIENT ALLEGES THAT HIS ORIGINAL INVESTMENTS HAD NOT BEEN MODIFIED IN ANY WAY AND THAT THE FA FAILED TO REDUCE HIS RISK LEVEL IN HIS PORTFOLIO PER THE CLIENT'S INSTRUCTIONS. CLIENT FURTHER ALLEGES A BREACH OF FIDUCIARY RESPONSIBILITY AS HIS ACCOUNTS HAD BEEN NEGLECTED. DAMAGES ALLEGED TO BE IN EXCESS OF \$5,000.

**Product Type:** Other: MISC.

**Alleged Damages:** \$5,000.00

**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:** 02/24/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/05/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 2 of 10

**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** TIME FRAME: NOVEMBER 2007 THRU DECEMBER 2008  
CLIENT ALLEGES THAT HIS INSTRUCTIONS TO LIQUIDATE HIS ACCOUNT WERE NOT FOLLOWED DESPITE HIS REQUESTS TO DO SO. DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000

**Product Type:** Other

**Other Product Type(s):** VARIOUS

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/16/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/22/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 3 of 10

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE AN "UNAUTHORIZED PURCHASE" OF AN ANNUITY AND THAT SHE WOULD LIKE THE "RETURN" OF THE INVESTMENT. " DAMAGES NOT SPECIFIED BUT ESTIMATED TO BE IN EXCESS OF \$5,000 --- TIME FRAME: 2006

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 07/19/2006

**Complaint Pending?** No



**Status:** Denied  
**Status Date:** 09/19/2006  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

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#### Disclosure 4 of 10

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** CLIENT ALLEGES THAT "NO ONE DOING BUSINESS AS A FINANCIAL ADVISOR SHOULD ARBITRARILY MOVE A SUBSTANTIAL SUM FROM A CLIENT'S HOLDINGS AND PLACE THEM IN A FUTURES FUND WITHOUT ADVISING HIS CLIENTS OF EVERYTHING INVOLVED. CLIENT FURTHER STATES THAT "THE LOSS OF \$7,000 WAS A SAD BETRAYAL OF MY INTEREST." TIME PERIOD: UNSPECIFIED

**Product Type:** Unit Investment Trust(s)  
**Alleged Damages:** \$7,000.00

#### Customer Complaint Information

**Date Complaint Received:** 03/02/2005  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 03/29/2006  
**Settlement Amount:** \$0.00  
**Individual Contribution Amount:** \$0.00

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#### Disclosure 5 of 10

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.





**Allegations:** CLIENT ALLEGES TO HAVE PURCHASED A "VARIABLE ANNUITY BASED ON AN INAPPROPRIATE RECOMMENDATION FROM ONE OF YOUR LICENSED REPRESENTATIVES. CLIENT FURTHER CLAIMS TO " BELIEVE THAT ALL FACTS AND CONDITIONS OF THE ANNUITY WERE NOT EXPLAINED TO ME AND THAT THE CONTRACT ITSELF WAS MISREPRESENTED." TIME FRAME: 1999 - 2006. ALLEGED DAMAGES ESTIMATED TO BE IN EXCESS OF \$5,000.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 05/03/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/20/2006

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 6 of 10

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** CUSTOMER ALLEGES THAT ACCOUNT WAS TRADED EXCESSIVELY AND NOT INVESTED IN HER IN HER BEST INTERESTS AND REQUESTS THE ABILITY TO SURRENDER TWO ANNUITIES WITHOUT INCURRING PENALTIES OF \$7,035. ALLEGED DAMAGES: ESTIMATED TO EXCEED \$5000. TIME PERIOD: 1998-2003.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 12/29/2003

**Complaint Pending?** No

**Status:** Denied



**Status Date:** 05/10/2004

**Settlement Amount:**

**Individual Contribution Amount:**

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#### Disclosure 7 of 10

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** UBS PAINEWEBBER INC.

**Allegations:** CLIENT ALLEGES THE FEBRUARY 2000 PURCHASE OF THE BRINSON TACTICAL ALLOCATION FUND IN THE ACCOUNT WAS UNAUTHORIZED.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$44,732.00

#### Customer Complaint Information

**Date Complaint Received:** 02/28/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/10/2002

**Settlement Amount:**

**Individual Contribution Amount:**

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#### Disclosure 8 of 10

**Reporting Source:** Broker

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

**Allegations:** CLIENT ALLEGES THAT FA FAILED TO FOLLOW HIS INSTRUCTIONS TO AVOID RISK WITH THE INVESTMENT OF \$200,000 IN THE DREYFUS PREMIER LIMITED TERM HIGH INC. FUND (NON-PROPRIETARY).

**Product Type:** Mutual Fund(s)



**Alleged Damages:** \$37,000.00

### Customer Complaint Information

**Date Complaint Received:** 01/06/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 02/24/2000

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 9 of 10

**Reporting Source:** Broker

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

**Allegations:** CLIENTS ALLEGE THAT FA DID NOT ADVISE THEM OF THE TAX LIABILITIES ARISING FROM CERTAIN SALE TRANSACTIONS OR OF THE BACK-END LOADS ASSOCIATED FROM THOSE LIQUIDATIONS. NO PRODUCTS OR DATES SPECIFIED. CLIENTS MAKE NO FORMAL DEMAND, BUT STATE TAX LIABILITY OF \$25,000 AND BACK-END LOAD OF \$7,500.

**Product Type:** No Product

**Alleged Damages:** \$32,500.00

### Customer Complaint Information

**Date Complaint Received:** 08/26/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/15/1999

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

### Disclosure 10 of 10



<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	PAINWEBBER INCORPORATED
<b>Allegations:</b>	<p>CLIENTS ALLEGE THE UNSUITABLE PURCHASE OF TWO MUNICIPAL 303 INSURED INVESTMENT TRUST FUNDS. CLIENTS SEEK REIMBURSEMENT OF \$31,627.50 FOR SURRENDER CHARGES INCURRED WHEN THE ASSETS WERE SOLD. TIME PERIOD: 10/97-11/97.</p>
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$31,627.50
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	03/27/1998
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	<p>PAINWEBBER DENIED THE CLAIM. NOT PROVIDED</p>

## End of Report



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