

BrokerCheck Report

ALEX IVAN GALLEGO

CRD# 1908462

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

Please contact FINRA with any concerns.

About BrokerCheck®

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

Thank you for using FINRA BrokerCheck.



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

brokercheck.finra.org



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

For more information about FINRA, visit www.finra.org.

**ALEX I. GALLEGO**

CRD# 1908462

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

IA RAYMOND JAMES & ASSOCIATES, INC.
 67 WEST MAIN STREET
 OYSTER BAY, NY 11771
 CRD# 705
 Registered with this firm since: 03/06/2014

B RAYMOND JAMES & ASSOCIATES, INC.
 67 WEST MAIN STREET
 OYSTER BAY, NY 11771
 CRD# 705
 Registered with this firm since: 01/02/2014

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:**

- 9 Self-Regulatory Organizations
- 26 U.S. states and territories

This broker has passed:

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

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

- B STIFEL, NICOLAUS & COMPANY, INCORPORATED**
 CRD# 793
 OYSTER BAY, NY
 07/2007 - 01/2014
- B RYAN BECK & CO.**
 CRD# 3248
 UNIONDALE, NY
 09/2002 - 07/2007
- B SANDGRAIN SECURITIES, INC.**
 CRD# 26004
 GARDEN CITY, NY
 02/2002 - 09/2002

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	7
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 9 SROs and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Office Address: **880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716**

Firm CRD#: **705**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/02/2014
B	FINRA	General Securities Representative	Approved	01/02/2014
B	FINRA	General Securities Sales Supervisor	Approved	01/02/2014
B	Investors' Exchange LLC	General Securities Principal	Approved	07/02/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	07/02/2025
B	MEMX LLC	General Securities Principal	Approved	07/02/2025
B	MEMX LLC	General Securities Representative	Approved	07/02/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	07/02/2025
B	NYSE American LLC	General Securities Principal	Approved	01/02/2014
B	NYSE American LLC	General Securities Representative	Approved	01/02/2014
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/02/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/02/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/02/2025
B	NYSE Texas, Inc.	General Securities Principal	Approved	07/02/2025

Broker Qualifications



Employment 1 of 1, continued

SRO	Category	Status	Date
B NYSE Texas, Inc.	General Securities Representative	Approved	07/02/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/02/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	01/02/2014
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/02/2014
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	01/02/2014
B Nasdaq Stock Market	General Securities Principal	Approved	01/02/2014
B Nasdaq Stock Market	General Securities Representative	Approved	01/02/2014
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/02/2014
B New York Stock Exchange	General Securities Principal	Approved	01/02/2014
B New York Stock Exchange	General Securities Representative	Approved	01/02/2014
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	01/21/2014
B California	Agent	Approved	01/03/2014
B Colorado	Agent	Approved	08/18/2015
B Connecticut	Agent	Approved	01/28/2014
B District of Columbia	Agent	Approved	10/22/2014
B Florida	Agent	Approved	01/02/2014
B Georgia	Agent	Approved	01/02/2014
B Illinois	Agent	Approved	01/07/2014
B Indiana	Agent	Approved	02/03/2021



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	02/27/2014
B	Maryland	Agent	Approved	01/21/2014
B	Massachusetts	Agent	Approved	09/03/2020
B	Nebraska	Agent	Approved	01/20/2021
B	Nevada	Agent	Approved	05/26/2022
B	New Hampshire	Agent	Approved	03/22/2021
B	New Jersey	Agent	Approved	01/02/2014
B	New Mexico	Agent	Approved	01/21/2014
B	New York	Agent	Approved	01/02/2014
IA	New York	Investment Adviser Representative	Approved	06/14/2021
B	North Carolina	Agent	Approved	01/02/2014
B	Ohio	Agent	Approved	01/22/2014
B	Pennsylvania	Agent	Approved	01/03/2014
B	South Carolina	Agent	Approved	02/05/2014
B	Tennessee	Agent	Approved	02/02/2024
B	Texas	Agent	Approved	01/02/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	03/06/2014
B	Virgin Islands	Agent	Approved	08/31/2016
B	Virginia	Agent	Approved	01/23/2014

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued
RAYMOND JAMES & ASSOCIATES, INC.
67 WEST MAIN STREET
OYSTER BAY, NY 11771



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 3 principal/supervisory exams, 4 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	03/19/2003
B General Securities Sales Supervisor - Options Module Examination	Series 9	03/15/2003
B General Securities Principal Examination	Series 24	11/03/2002

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/19/1992
B National Commodity Futures Examination	Series 3	03/14/1989

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/28/1996
B Uniform Securities Agent State Law Examination	Series 63	02/16/1996

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 07/2007 - 01/2014	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	OYSTER BAY, NY
B 09/2002 - 07/2007	RYAN BECK & CO.	3248	UNIONDALE, NY
B 02/2002 - 09/2002	SANDGRAIN SECURITIES, INC.	26004	GARDEN CITY, NY
B 02/1999 - 01/2002	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ
B 02/1996 - 02/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 05/1994 - 04/1995	FSG SECURITIES, INC.	35352	NEW YORK, NY
B 02/1992 - 05/1992	FIRST LAUDERDALE SECURITIES, INC.	13909	

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
01/2014 - Present	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	WOODBURY, NY, United States
03/2014 - 02/2017	DIVISION OF MILITARY & NAVAL AFFAIRD-NY GUARD	MILITARY	N	MANHATTAN, NY, 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)Name of Business: Gallego Group Inc Address: 67 W Main St, Oyster Bay, NY, 11771-2278, United States Activity Type: Business Owner Position/Title: Officer - President Investment Related: No Start Date: 01/01/2014 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: \n\nThis note serves to clarify the status and activities of the Alex Gallego

Registration and Employment History



Other Business Activities, continued

Group Corporation, a limited liability company registered in New York State. The corporation was established 11 years ago solely for the purpose of signing the lease for the property located at 67 West Main St.\n\n\nThis note reflects the corporation's status as a passive entity with no operational or financial activity beyond its initial purpose.\n

(2)Name of Business: USV - Honor Guard Address: LI National Cemetery, Melville , NY, 11735, United States Activity Type: Military Position/Title: Investment Related: No Start Date: 06/19/2017 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties:

Disclosure Events



What you should know about reported disclosure events:

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

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

	Pending	Final	On Appeal
Customer Dispute	0	7	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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	STIFEL NICOLAUS & COMPANY, INC.
Allegations:	CLIENT ALLEGES THAT REGISTERED REPRESENTATIVE BREACHED FINRA KNOW YOUR CUSTOMER AND SUITABILITY RULES. TIMEFRAME MAY 21, 2012 TO JANUARY 2, 2014.
Product Type:	Other: MISCELLANEOUS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGE AMOUNT WAS ALLEGED, BUT THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT COULD BE \$5000.00 OR GREATER.
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:	10/06/2014
Complaint Pending?	No
Status:	Settled



Status Date: 10/23/2014

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES THAT REGISTERED REPRESENTATIVE BREACHED FINRA KNOW YOUR CUSTOMER AND SUITABILITY RULES. TIMEFRAME MAY 21, 2012 TO JANUARY 2, 2014.

Product Type: Other: MISCELLANEOUS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO DAMAGE AMOUNT WAS ALLEGED, BUT THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT COULD BE \$5000 OR GREATER.

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: 10/06/2014

Complaint Pending? No

Status: Settled

Status Date: 10/23/2014

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DENY THE COMPLAINT AND HAVE NOT BEEN AT THE FIRM FOR NINE MONTHS. I DID NOT PARTICIPATE IN THE SETTLEMENT WITH THE CLIENT. THE CLIENT IS AN EXPERIENCED AND KNOWLEDGEABLE INVESTOR WITH



SIGNIFICANT NET WORTH WHO WAS FULLY AWARE OF THE RISKS INVOLVED IN MAKING THESE INVESTMENTS. THE INVESTMENT STRATEGY THAT THE CLIENT SELECTED WAS SPECULATIVE AND TACTICAL. CLIENT WROTE COVERED CALLS AND PARTICIPATED IN STOCKS THAT HAD AGGRESSIVE UPSIDE POTENTIAL. PRIOR TO MAKING ANY INVESTMENTS, THE RISK OF SUCH A STRATEGY WAS CONFIRMED AND AUTHORIZED BY THE CLIENT.

Disclosure 2 of 4

Reporting Source: Firm

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

Allegations: RETIRED COUPLE ALLEGES FINANCIAL ADVISOR GALLEGO MADE UNSUITABLE STOCK RECOMMENDATIONS AND FAILED TO USE STOP LOSS ORDERS.

Product Type: Equity - OTC

Alleged Damages: \$159,116.00

Customer Complaint Information

Date Complaint Received: 05/21/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/21/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; CASE# 03-03108

Date Notice/Process Served: 05/21/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/01/2004



Monetary Compensation Amount: \$47,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: RETIRED COUPLE ALLEGED THAT MR. GALLEGO MADE UNSUITABLE STOCK RECOMMENDATIONS AND FAILED TO USE STOP LOSS ORDERS.

Product Type: Equity - OTC

Alleged Damages: \$159,116.00

Customer Complaint Information

Date Complaint Received: 05/21/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/21/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET CASE # 03-03108

Date Notice/Process Served: 05/21/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/01/2004

Monetary Compensation Amount: \$47,000.00

Individual Contribution Amount: \$0.00



Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CLAIMANTS ALLEGE THAT FINANCIAL ADVISOR GALLEGO RECOMMENDED UNSUITABLE INVESTMENTS FOR THEIR ACCOUNTS.
Product Type:	Equity - OTC
Other Product Type(s):	MUTUAL FUNDS
Alleged Damages:	\$100,000.00

Customer Complaint Information

Date Complaint Received:	08/02/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/02/2002
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD: CASE# 02-04205
Date Notice/Process Served:	08/02/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/25/2003
Monetary Compensation Amount:	\$9,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	PLEASE ARCHIVE. ARBITRATION SETTLED FOR LESS THAN \$10,000.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER

Allegations: CLIENT ALLEGES NEGLIGENCE, MISPREPRESENTATION & SUITABILITY

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 08/16/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/31/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #02-04205

Date Notice/Process Served: 08/15/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/25/2003

Monetary Compensation Amount: \$9,000.00

Individual Contribution Amount: \$0.00

Broker Statement NO LONGER MEETS REPORTING CRITERIA.



Reporting Source: Firm

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

Allegations: CLAIMANTS ALLEGE CHURNING, SUITABILITY, FAILURE TO FOLLOW INSTRUCTIONS.

Product Type: Equity - OTC

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received: 12/18/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/18/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - DOCKET # 01-06353

Date Notice/Process Served: 12/18/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2003

Monetary Compensation Amount: \$9,999.00

Individual Contribution Amount: \$0.00

Firm Statement PLEASE ARCHIVE..NO LONGER REPORTABLE ON THE BROKER'S RECORD. THE ARBITRATION WAS SETTLED FOR LESS THAN \$10,000.

Reporting Source: Broker



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

Allegations: CLAIMANTS ALLEGED CHURNING, SUITABILITY, FAILURE TO FOLLOW INSTRUCTIONS

Product Type: Equity - OTC

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received: 12/18/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/18/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - DOCKET #01-06353

Date Notice/Process Served: 12/18/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2003

Monetary Compensation Amount: \$9,999.00

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 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STIFEL NICOLAUS

Allegations: CUSTOMERS ALLEGE THAT CERTIFICATES OF DEPOSIT IN EXCESS OF AVAILABLE FDIC INSURANCE COVERAGE WHERE PURCHASED WITHOUT THEIR KNOWLEDGE

Product Type: CD(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2008

Complaint Pending? No

Status: Denied

Status Date: 07/31/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 3

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES FINANCIAL ADVISOR RECOMMENDED 360 NETWORKS WHICH WAS UNSUITABLE FOR HIS ACCOUNT. TIME PERIOD 11/3/00.

Product Type: Equity - OTC

Alleged Damages: \$10,000.00



Customer Complaint Information

Date Complaint Received: 07/19/2001

Complaint Pending? No

Status: Denied

Status Date: 02/25/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement PLEASE ARCHIVE. FILED MORE THAN 24 MONTHS AGO AND DID NOT RESULT IN A SETTLEMENT OF \$10,000 OR MORE.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC

Allegations: CLIENT ALLEGES FA RECOMMENDED 360 NETWORKS WHICH WAS UNSUITABLE FOR HIS ACCOUNT. TIME PERIOD 11/3/00.

Product Type: Equity - OTC

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 07/19/2001

Complaint Pending? No

Status: Denied

Status Date: 02/25/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement PLEASE ARCHIVE. DOES NOT MEET CURRENT REPORTING CRITERIA.



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

Allegations: CLIENT ALLEGES THAT BROKER MADE "UNSUITABLE RECOMMENDATIONS WITHOUT CONCERN REGARDING [HIS] FINANCIAL STATUS AND OBJECTIVES"; ASSURED HIM THAT THERE WOULD BE NO CHARGE TO ROLL OVER HIS RETIREMENT ACCOUNT TO PAINWEBBER AND MISINFORMED HIM ABOUT MARGIN; AND ENGAGED IN EXCESSIVE TRADING. TIME PERIOD UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages: \$67,000.00

Customer Complaint Information

Date Complaint Received: 03/11/2001

Complaint Pending? No

Status: Denied

Status Date: 11/05/2001

Settlement Amount:

Individual Contribution Amount:



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: Firm
Employer Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 01/08/2002
Allegations: MR.GALLEGO WAS TERMINATED DUE TO CUSTOMER COMPLAINTS.
Product Type: Other
Other Product Types: UNSPECIFIED.

Reporting Source: Broker
Employer Name: UBS/PAINE WEBBER INC
Termination Type: Discharged
Termination Date: 01/08/2002
Allegations: TERMINATED DUE TO CUSTOMER COMPLAINTS
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Types:

Broker Statement TERMINATED AFTER THREE CUSTOMERS COMPLAINED ABOUT LOSSES IN THEIR RESPECTIVE ACCOUNTS. UBS/PAINE WEBBER INC. DENIED ALL THREE CUSTOMER COMPLAINTS. I DENY ANY WRONG DOING WITH REGARD TO THESE CUSTOMER'S ALLEGATIONS AS PREVIOUSLY REPORTED ON MY CRD

End of Report



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