

BrokerCheck Report

ANDREW GEORGE SUKHIN

CRD# 2102283

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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



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.



ANDREW G. SUKHIN

CRD# 2102283

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

B RAYMOND JAMES & ASSOCIATES, INC.
1010 S Federal Highway
Suite 2002
Hallandale Beach, FL 33009
CRD# 705
Registered with this firm since: 12/01/2023

IA RAYMOND JAMES & ASSOCIATES, INC.
1010 S Federal Highway
Suite 2002
Hallandale Beach, FL 33009
CRD# 705
Registered with this firm since: 12/04/2023

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:

- 5 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** MORGAN STANLEY
CRD# 149777
PURCHASE, NY
03/2019 - 12/2023
- B** MORGAN STANLEY
CRD# 149777
Aventura, FL
06/2009 - 12/2023
- B** CITIGROUP GLOBAL MARKETS INC.
CRD# 7059
NEW YORK, NY
08/2003 - 06/2009

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	9



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 5 SROs and is licensed in 36 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 Representative	Approved	12/01/2023
B	NYSE American LLC	General Securities Representative	Approved	12/01/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	12/01/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	12/01/2023
B	New York Stock Exchange	General Securities Representative	Approved	12/01/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	12/01/2023
B	California	Agent	Approved	12/01/2023
B	Colorado	Agent	Approved	12/01/2023
B	Connecticut	Agent	Approved	12/19/2023
B	Delaware	Agent	Approved	12/20/2023
B	District of Columbia	Agent	Approved	12/01/2023
B	Florida	Agent	Approved	12/01/2023
IA	Florida	Investment Adviser Representative	Approved	12/04/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Georgia	Agent	Approved	12/04/2023
B	Hawaii	Agent	Approved	12/20/2023
B	Illinois	Agent	Approved	12/13/2023
B	Indiana	Agent	Approved	03/19/2024
B	Louisiana	Agent	Approved	12/01/2023
B	Maryland	Agent	Approved	12/01/2023
B	Massachusetts	Agent	Approved	02/28/2024
B	Minnesota	Agent	Approved	12/26/2023
B	Nebraska	Agent	Approved	12/21/2023
B	Nevada	Agent	Approved	12/01/2023
B	New Hampshire	Agent	Approved	12/01/2023
B	New Jersey	Agent	Approved	12/01/2023
B	New Mexico	Agent	Approved	12/01/2023
B	New York	Agent	Approved	12/01/2023
B	North Carolina	Agent	Approved	01/02/2024
B	Ohio	Agent	Approved	12/01/2023
B	Pennsylvania	Agent	Approved	12/01/2023
B	Puerto Rico	Agent	Approved	12/01/2023
B	Rhode Island	Agent	Approved	12/01/2023
B	South Carolina	Agent	Approved	12/18/2023
B	South Dakota	Agent	Approved	01/17/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Tennessee	Agent	Approved	12/21/2023
B	Texas	Agent	Approved	12/01/2023
B	Vermont	Agent	Approved	12/01/2023
B	Virgin Islands	Agent	Approved	12/01/2023
B	Virginia	Agent	Approved	12/01/2023
B	Washington	Agent	Approved	12/26/2023
B	Wisconsin	Agent	Approved	12/26/2023
B	Wyoming	Agent	Approved	12/01/2023

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1010 S Federal Highway
Suite 2002
Hallandale Beach, FL 33009



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 Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	09/30/2009
B General Securities Representative Examination	Series 7	11/06/1990

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/14/2019
B Uniform Securities Agent State Law Examination	Series 63	05/07/1991

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 03/2019 - 12/2023	MORGAN STANLEY	149777	Aventura, FL
B 06/2009 - 12/2023	MORGAN STANLEY	149777	Aventura, FL
B 08/2003 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 08/1994 - 08/2003	FAHNESTOCK & CO. INC.	249	NEW YORK, NY
B 09/1991 - 08/1994	REICH & CO., INC.	19611	
B 01/1991 - 08/1991	FIRST INTERREGIONAL EQUITY CORP.	7486	MILBURN, NJ
B 11/1990 - 01/1991	THE RANDALL-GEORGE CORPORATION	18118	

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
12/2023 - Present	RAYMOND JAMES & ASSOCIATES	REGISTERED REPRESENTATIVE	Y	AVENTURA, FL, United States
01/2015 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
01/2015 - 12/2023	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 12/2023	MORGAN STANLEY SMITH BARNEY	FINANCIAL ADVISOR	Y	NEW YORK, 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.

No information reported.

Registration and Employment History



Other Business Activities, continued

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
- 3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
- 4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	9	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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	FAHNESTOCK & CO., INC.
Allegations:	UNAUTHORIZED TRADING; EXECUTIONS-FAILURE TO EXECUTE; MISREPRESENTATION; SUITABILITY
Product Type:	
Alleged Damages:	\$18,123.11
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-05716
Date Notice/Process Served:	12/30/1996
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	12/01/1997
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$5,000.00



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FAHNESTOCK & CO., INC.

Allegations: UNSUITABLE INVESTMENTS AMOUNT CLAIMED \$18,123.11.

Product Type:

Alleged Damages: \$18,123.11

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-05716

Date Notice/Process Served: 12/30/1996

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/01/1997

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount:

Broker Statement REQUIRED TO PAY CLAIMANT THE SUM OF \$5000.00.
Not Provided



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLIENTS ALLEGE THAT THEIR ACCOUNTS WERE ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRANSACTIONS. ADDITIONAL ALLEGATIONS INCLUDE, BREACH OF CONTRACT, VIOLATIONS OF THE FINRA SUITABILITY RULES, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE AND CONTROL PERSON LIABILITY, NEGLIGENCE AND UNAUTHORIZED TRADING.
Product Type:	Equity-OTC
Alleged Damages:	\$0.00
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 #:	09-02870
Filing date of arbitration/CFTC reparation or civil litigation:	05/22/2009

Customer Complaint Information

Date Complaint Received:	05/28/2009
Complaint Pending?	No
Status:	Settled
Status Date:	07/15/2010
Settlement Amount:	\$40,000.00



Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS, INC.

Allegations: ALLEGATION INCLUDING TIME FRAME: FAILURE TO DISCLOSE RISKS ASSOCIATED WITH THE PURCHASE OF AUCTION RATE SECURITIES FROM JANUARY 4, 2008 THROUGH JANUARY 30, 2008.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$25,126,705.00

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: 12/08/2008

Complaint Pending? No

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

Status Date: 12/08/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 08-04548

Date Notice/Process Served: 12/08/2008

Arbitration Pending? No



Disposition: Settled

Disposition Date: 04/06/2011

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC

Allegations: FAILURE TO DISCLOSE RISKS ASSOCIATED WITH THE PURCHASE OF AUCTION RATE SECURITIES FROM JANUARY 4, 2008 THROUGH JANUARY 30, 2008.

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$25,126,705.00

Is this an oral complaint?

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation?

Customer Complaint Information

Date Complaint Received: 12/08/2008

Complaint Pending? No

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

Status Date: 12/08/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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



Docket/Case #: 08-04548
Date Notice/Process Served: 12/08/2008
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/06/2011
Monetary Compensation Amount: \$45,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FHANESTOCK & CO. (NOW OPPENHEIMER & CO. INC.)

Allegations: CLIENT ALLEGED THAT SUKHIN INAPPROPRIATELY ADVISED HIM TO ESTABLISH AN OFF SHORE ACCOUNT WHICH RESULTED IN TAX PENALTIES; CLIENT ALSO ALLEGED SUKHIN INAPPROPRIATELY RECOMMENDED A VARIABLE ANNUITY.

Product Type: Annuity-Variable
 Other: OFF SHORE ACCOUNT

Alleged Damages: \$175,272.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date: 02/22/2006
Settlement Amount:
Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	05-04523
Date Notice/Process Served:	02/22/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/11/2007
Monetary Compensation Amount:	\$24,500.00
Individual Contribution Amount:	\$14,501.00
Firm Statement	CONTRIBUTION REGISTRANT ARGREED TO WAS NEVER MADE.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PHANESTOCK & CO (NOW OPPENHEIMER & CO INC
Allegations:	CLIENT ALLEGED THAT SUKHIN INAPPROPRIATELY ADVISED HIM TO ESTABLISH AN OFF SHORE ACCOUNT WHICH RESULTED IN TAX PENALTIES; CLIENT ALSO ALLEGED SUKHIN INAPPROPRIATELY RECOMMENDED A VARIABLE ANNUITY.
Product Type:	Annuity-Variable Other: OFF SHORE ACCOUNT
Alleged Damages:	\$175,272.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date:	02/22/2006
Settlement Amount:	



**Individual Contribution
Amount:**

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	05-04523
Date Notice/Process Served:	02/22/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/11/2007
Monetary Compensation Amount:	\$24,500.00
Individual Contribution Amount:	\$14,501.00



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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	CLIENT ALLEGED, INTER ALIA, MISREPRESENTATION WITH RESPECT TO MANAGED ACCOUNT INVESTMENTS - NOVEMBER 2019 TO MARCH 2020.
Product Type:	Other: Managed/Wrap Accounts (In-House Money Manager)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified
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:	03/20/2020
Complaint Pending?	No
Status:	Denied
Status Date:	04/07/2020
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: MORGAN STANLEY SMITH BARNEY

Allegations: CLIENT ALLEGES FAILURE TO DISCLOSE PREPAYMENT PENALTY ON EXPRESS CREDIT LOAN.

Product Type: No Product

Alleged Damages: \$22,000.00

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: 09/30/2011

Complaint Pending? No

Status: Denied

Status Date: 12/02/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: THE CLIENT ALLEGED FAILURE TO FOLLOW INSTRUCTIONS WITH RESPECT TO INVESTMENT GUIDELINES 03/2005 AND 12/2008. DAMAGES UNSPECIFIED.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 05/19/2009

Complaint Pending? No

Status: Denied

Status Date: 10/06/2009

Settlement Amount:

Individual Contribution
Amount:

Broker Statement CLAIM DENIED.

Disclosure 4 of 5

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: FAHNSTOCK & CO. INC

Allegations: UNAUTHORIZED, EXCESSIVE TRADING DURING THE PERIOD 8/1994
THROUGH 10/2002.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$177,000.00

Customer Complaint Information

Date Complaint Received: 04/22/2004

Complaint Pending? No

Status: Denied

Status Date: 05/28/2004

Settlement Amount:

Individual Contribution
Amount:

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: FAHNSTOCK & CO. INC

Allegations: UNAUTHORIZED, EXCESSIVE TRADING DURING THE PERIOD 8/1994 THROUGH 10/2002.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$177,000.00

Customer Complaint Information

Date Complaint Received: 04/22/2004

Complaint Pending? No

Status: Denied

Status Date: 05/28/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FAHNESTOCK & CO., INC.

Allegations: CUSTOMER ALLEGES THAT AGREEMENT EXISTED WITH BROKER WHEREBY HE EXPECTED AN 8% RETURN PER YEAR. DAMAGES WERE UNSPECIFIED BUT DETERMINED BY THE FIRM TO BE IN EXCESS OF \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/30/2003

Complaint Pending? No

Status: Denied

Status Date: 11/10/2003



Settlement Amount:

Individual Contribution
Amount:



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: FAHNESTOCK AND CO INC

Allegations: CUSTOMER ALLEGES THAT AGREEMENT EXISTED WITH BROKER WHEREBY HE EXPECTED AN 8% RETURN PER YEAR. DAMAGES WERE UNSPECIFIED BUT DETERMINED BY THE FIRM TO BE IN EXCESS OF \$5000

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/30/2003
Complaint Pending? No
Status: Denied
Status Date: 11/10/2003

Settlement Amount:

Individual Contribution
Amount:

End of Report



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