

BrokerCheck Report

LARRY DEAN LAVOICE

CRD# 2125013

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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.



LARRY D. LAVOICE

CRD# 2125013

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

IA DOMINARI SECURITIES LLC
725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022
CRD# 18975
Registered with this firm since: 08/28/2023

B DOMINARI SECURITIES LLC
725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022
CRD# 18975
Registered with this firm since: 07/10/2023

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:

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

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

Registration History

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

- B REVERE SECURITIES LLC**
CRD# 14178
NEW YORK, NY
12/2017 - 07/2023
- IA MORGAN STANLEY**
CRD# 149777
PURCHASE, NY
07/2010 - 01/2018
- B MORGAN STANLEY**
CRD# 149777
NEW YORK, NY
07/2010 - 01/2018

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
Regulatory Event	1
Customer Dispute	1
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 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **DOMINARI SECURITIES LLC**

Main Office Address: **725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022**

Firm CRD#: **18975**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/10/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/10/2023
B	California	Agent	Approved	07/10/2023
IA	California	Investment Adviser Representative	Approved	08/28/2023
B	Connecticut	Agent	Approved	07/10/2023
B	Florida	Agent	Approved	07/10/2023
B	New Jersey	Agent	Approved	07/10/2023
B	New York	Agent	Approved	08/24/2023
B	Pennsylvania	Agent	Approved	08/31/2023
B	South Carolina	Agent	Approved	08/25/2023
B	Texas	Agent	Approved	07/10/2023

Branch Office Locations

DOMINARI SECURITIES LLC

Broker Qualifications



Employment 1 of 1, continued

725 FIFTH AVENUE, 23RD FL.
NEW YORK, NY 10022



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, 2 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 General Securities Representative Examination	Series 7	04/08/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/17/1994
B Uniform Securities Agent State Law Examination	Series 63	04/26/1991

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 **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2017 - 07/2023	REVERE SECURITIES LLC	14178	NEW YORK, NY
B 07/2010 - 01/2018	MORGAN STANLEY	149777	NEW YORK, NY
IA 07/2010 - 01/2018	MORGAN STANLEY	149777	NEW YORK, NY
IA 07/2007 - 07/2010	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY
B 08/2002 - 07/2010	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY
B 01/1997 - 08/2002	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B 06/1991 - 01/1997	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
07/2023 - Present	Dominari Securities LLC	Registered Representative	Y	New York, NY, United States
12/2017 - 07/2023	Revere Securities LLC	Registered Representative	Y	New York, NY, United States
01/2015 - 12/2017	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	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.

1) Mr. Lavoice is co-owner of Saints Cab LLC, located at 260 West 54th Street, #44F, New York, NY 10019. The company is a medallion cab

Registration and Employment History



Other Business Activities, continued

company and not investment related. Mr. Lavoice has been with this investment since June 1, 2007. This is a passive position. Mr. Lavoice spends 1 hour or less a month and spends no time during regular trading hours.

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
Regulatory Event	0	1	0
Customer Dispute	0	1	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE
Sanction(s) Sought:	Other: UNKNOWN
Date Initiated:	02/03/2010
Docket/Case Number:	HBD# 10-NYSE-2
Employing firm when activity occurred which led to the regulatory action:	UNKNOWN
Product Type:	No Product
Allegations:	<p>**02/03/2010**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE REGULATION'S DIVISION OF ENFORCEMENT AND PENDING.CONSENTED TO FINDINGS:FOR THE SOLE PURPOSE OF SETTling THIS DISCIPLINARY PROCEEDING, WITHOUT ADJUDICATION OF ANY ISSUES OF LAW OR FACT, AND WITHOUT ADMITTING OR DENYING ANY ALLEGATIONS OR FINDINGS, LARRY LAVOICE STIPULATED THAT DURING THE PERIOD OF JANUARY 2000 THROUGH AUGUST 2002, HE: 1.VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING THAT RESULTED IN MUTUAL FUNDS ACCEPTING CERTAIN TRADES THAT</p>



THEY OTHERWISE WOULD HAVE REJECTED, AND; 2. VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING IN HIS PERSONAL ACCOUNTS. STIPULATED SANCTION: CENSURE, A \$25,000 FINE AND A TWO-MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.

Current Status:

Final

Resolution:

Decision

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

02/09/2010

Sanctions Ordered:

Censure

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: **02/09/2010** DECISION NO. 10-NYSE-2 ISSUED BY NYSE HEARING BOARD. DECISION: DURING THE PERIOD OF JANUARY 2000 THROUGH AUGUST 2002, LARRY LAVOICE VIOLATED NYSE RULE 476(A)(6) BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING THAT RESULTED IN MUTUAL FUNDS ACCEPTING CERTAIN TRADES THAT THEY OTHERWISE WOULD HAVE REJECTED AND BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING IN HIS PERSONAL ACCOUNTS. CONSENTED TO A CENSURE \$25,000 FINE AND A TWO-MONTH SUSPENSION.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 2 MONTHS

Start Date: 03/10/2010

End Date: 05/10/2010

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$25,000.00

Portion Levied against individual: \$25,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement **02/09/2010** THE DECISION BECAME FINAL AT THE CLOSE OF BUSINESS



ON MARCH 5, 2010 AND FINE BECAME PAYABLE ON SAME DAY.

Reporting Source: Broker

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought: Other: UNKNOWN

Date Initiated: 02/03/2010

Docket/Case Number: HBD# 10-NYSE-2

Employing firm when activity occurred which led to the regulatory action: UNKNOWN

Product Type: No Product

Allegations: **02/03/2010**STIPULATION OF FACTS AND CONSENT TO PENALTY FILED BY NYSE REGULATION'S DIVISION OF ENFORCEMENT AND PENDING.CONSENTED TO FINDINGS:FOR THE SOLE PURPOSE OF SETTling THIS DISCIPLINARY PROCEEDING, WITHOUT ADJUDICATION OF ANY ISSUES OF LAW OR FACT, AND WITHOUT ADMITTING OR DENYING ANY ALLEGATIONS OR FINDINGS, LARRY LAVOICE STIPULATED THAT DURING THE PERIOD OF JANUARY 2000 THROUGH AUGUST 2002, HE: 1.VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING THAT RESULTED IN MUTUAL FUNDS ACCEPTING CERTAIN TRADES THAT THEY OTHERWISE WOULD HAVE REJECTED, AND; 2. VIOLATED NYSE RULE 476(A)(6) IN THAT HE ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING IN HIS PERSONAL ACCOUNTS.STIPULATED SANCTION: CENSURE, A \$25,000 FINE AND A TWO-MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/09/2010
Sanctions Ordered:	Censure Monetary Penalty other than Fines Suspension Other: **02/09/2010**DECISION NO. 10-NYSE-2 ISSUED BY NYSE HEARING BOARD. DECISION:DURING THE PERIOD OF JANUARY 2000 THROUGH AUGUST 2002, LARRY LAVOICE VIOLATED NYSE RULE 476(A)(6) BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING THAT RESULTED IN MUTUAL FUNDS ACCEPTING CERTAIN TRADES THAT THEY OTHERWISE WOULD HAVE REJECTED AND BY ENGAGING IN IMPROPER PRACTICES WITH RESPECT TO MUTUAL FUND MARKET TIMING IN HIS PERSONAL ACCOUNTS. CONSENTED TO A CENSURE \$25,000 FINE AND A TWO-MONTH SUSPENSION
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	UNKNOWN
Duration:	2 MONTHS
Start Date:	03/10/2010
End Date:	05/10/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$25,000.00
Portion Levied against individual:	\$25,000.00
Payment Plan:	UNKNOWN
Is Payment Plan Current:	
Date Paid by individual:	03/05/2010
Was any portion of penalty waived?	No



Amount Waived:

Broker Statement

****02/09/2010**** THE DECISION BECAME FINAL AT THE CLOSE OF BUSINESS
ON MARCH 5, 2010 AND FINE BECAME PAYABLE ON SAME DAY.



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

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE CUSTOMER DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES AND/OR DAMAGES WERE DETERMINED TO BE LESS THAN \$5,000.
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:	04/15/2008
Complaint Pending?	No
Status:	Settled
Status Date:	12/23/2008
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF THE LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL



REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



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: Morgan Stanley Smith Barney

Termination Type: Discharged

Termination Date: 12/08/2017

Allegations: ALLEGATIONS THAT THE REPRESENTATIVE EXECUTED SOME TRANSACTIONS FOR NON-DISCRETIONARY CLIENT ACCOUNTS WITHOUT SPEAKING WITH THE CLIENTS BEFOREHAND IN ALL CASES. THERE WERE NO RELATED CLIENT COMPLAINTS.

Product Type: Debt-Corporate
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust

Reporting Source: Broker

Employer Name: MORGAN STANLEY

Termination Type: Discharged

Termination Date: 01/05/2018

Allegations: ALLEGATIONS THAT THE REPRESENTATIVE EXECUTED SOME TRANSACTIONS FOR NON-DISCRETIONARY CLIENT ACCOUNTS WITHOUT SPEAKING WITH THE CLIENTS BEFOREHAND IN ALL CASES. THERE WERE NO RELATED CLIENT COMPLAINTS.

Product Type: Debt-Corporate
Debt-Municipal
Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust

Broker Statement Mr. Lavoie denies these allegations.

End of Report



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