

BrokerCheck Report
DARRAN BLAKE
 CRD# 2455799

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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.

**DARRAN BLAKE**

CRD# 2455799

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

IA UBS FINANCIAL SERVICES INC.
 401 EAST LAS OLAS BOULEVARD
 LAS OLAS CENTRE
 FT. LAUDERDALE, FL 33301
 CRD# 8174
 Registered with this firm since: 12/09/2008

B UBS FINANCIAL SERVICES INC.
 401 EAST LAS OLAS BOULEVARD
 LAS OLAS CENTRE
 FT. LAUDERDALE, FL 33301
 CRD# 8174
 Registered with this firm since: 11/28/2008

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
- 23 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):**

IA CITIGROUP GLOBAL MARKETS INC.
 CRD# 7059
 NEW YORK, NY
 04/1994 - 12/2008

B CITIGROUP GLOBAL MARKETS INC.
 CRD# 7059
 FT. LAUDERDALE, FL
 03/1994 - 12/2008

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	5



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 10 SROs and is licensed in 23 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	11/28/2008
B	FINRA	General Securities Representative	Approved	11/28/2008
B	NYSE American LLC	General Securities Representative	Approved	11/28/2008
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/28/2008
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/28/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/28/2008
B	Nasdaq Stock Market	General Securities Representative	Approved	11/28/2008
B	New York Stock Exchange	General Securities Representative	Approved	11/28/2008

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	12/16/2008
B	Arizona	Agent	Approved	11/19/2020
B	California	Agent	Approved	04/10/2014

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/28/2008
B	Connecticut	Agent	Approved	11/28/2008
B	District of Columbia	Agent	Approved	03/15/2018
B	Florida	Agent	Approved	12/09/2008
IA	Florida	Investment Adviser Representative	Approved	12/09/2008
B	Georgia	Agent	Approved	08/23/2016
B	Kansas	Agent	Approved	08/05/2014
B	Maine	Agent	Approved	03/11/2022
B	Massachusetts	Agent	Approved	11/28/2008
B	Michigan	Agent	Approved	06/30/2009
B	New Hampshire	Agent	Approved	01/31/2022
B	New Jersey	Agent	Approved	11/28/2008
B	New Mexico	Agent	Approved	08/24/2018
B	New York	Agent	Approved	11/28/2008
B	North Carolina	Agent	Approved	02/17/2022
B	South Carolina	Agent	Approved	06/07/2022
B	Tennessee	Agent	Approved	07/30/2019
B	Texas	Agent	Approved	02/12/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	03/20/2019
B	Utah	Agent	Approved	11/17/2017
B	Virginia	Agent	Approved	10/15/2013



Broker Qualifications

Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<div>B</div> Washington	Agent	Approved	04/14/2025

Branch Office Locations

UBS FINANCIAL SERVICES INC.
401 EAST LAS OLAS BOULEVARD
LAS OLAS CENTRE
FT. LAUDERDALE, FL 33301



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	03/30/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/21/1994
B Uniform Securities Agent State Law Examination	Series 63	04/14/1994

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
IA 04/1994 - 12/2008	CITIGROUP GLOBAL MARKETS INC.	7059	FT. LAUDERDALE, FL
B 03/1994 - 12/2008	CITIGROUP GLOBAL MARKETS INC.	7059	FT. LAUDERDALE, FL

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2008 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	FT. LAUDERDALE, FL, 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) DAREJOR 211 LLC / FORT LAUDERDALE, FL 33304 / TRUST/ REAL ESTATE / REAL ESTATE PURCHASED / LLC MANAGING MANAGER / START DATE 06/20/2012. ///
- 2) DAREJOR 837 LLC / WILTON MANORS, FL 33305 / TRUST/ REAL ESTATE / REAL ESTATE / OTHER / MANAGING MANAGER OF LLC / COLLECT RENT / START DATE 06/19/2012 ///
- 3) DAREJOR LLC / FT LAUDERDALE, FL 33308 / REAL ESTATE / REAL ESTATE RENTAL / SOLE PROPRIETORSHIP / MAINTAIN PROPERTY / START DATE 06/17/2013 ///
- 4) NOVA SE UNIVERSITY / DAVIE, FL / MEMBER OF AMBASSADOR BOARD / BRING OTHERS TO LEARN ABOUT NOVA SE U / START DATE 3/13/2014 ///
- 5) Rental at NW 4TH ST. / FT LAUD,FL / SOLE PROPRIETORSHIP/ REAL ESTATE / REAL ESTATE / SOLE PROPRIETORSHIP / START DATE 11/11/2010 ///
- 6) DAREJOR2410 LLC / FORT LAUDERDALE, FL / OTHER/ REAL ESTATE / RENTAL / LLC MANAGING MANAGER / OVERSEE / START



Registration and Employment History

Other Business Activities, continued

DATE 11/12/2014 ///

7) Extraordinary Women Leading Change / Fort Lauderdale, Florida 33301 / Association (i.eTrade or Industry, Sport...)/ Education / Promoting women in business / Advisor or member of an advisory committee, if the advice given will or may influence the board or other senior management or supervisory board of the organization in question / Assistance in promoting women / Start Date 5/2/16 ///

8) Darejor 71 LLC / 71 NE 45 Street Fort Lauderdale, FL 33334 / Other/ Real Estate / Rental real estate / Officer / / manage real estate / Start Date LLC 5/2/16 ///

9) Cogswell Innovation / 2433 East Oakland Park Blvd Oakland Park, FL 33307 / No/ Privately Held / USD / No / No / Start Date 03/20/2017 ///

10) Take me Seriously Inc / 5570 NE 28th Avenue Fort Lauderdale, FL 33308 / Company/ Charities, Cultural, Educational & Political Org/ To educate teenagers about the dangers of bullying / Officer / / Help organize other agencies to help educate other teens / Start Date 3/1/2017 ///

11) Rental at SW 15th Street / Fort Lauderdale, FL 33312 / Sole Proprietorship / Real Estate / Rental property / Active / Officer / Receive rent checks / Yes, as chair of committee / Start Date 07/25/2018 ///

12) Darejor 1516 llc / fort lauderdale, fl 33311 / Company / Real Estate / Proprietor accept rent / Start Date 09/08/2008 ///

13) Darejor 2501 LLC / Pompano Beach, FL / Real Estate / Rental / Proprietor / owner / Pay the bills and receive rent / Start Date 05/31/2013 ///

14) Darejor 1307 LLC / Fort Lauderdale/Broward, FL / LLC / Real Estate / Proprietor / owner / accept rents / Yes, as chair of committee / Start Date 04/13/2008 ///

15) Darejor 1161 LLC / Pompano Beach, FL / Partnership/ Real Estate / real estate investment is owned by the LLC. / Proprietor / owner / this is a rental property in Pompano. Responsible for managing the property -collecting rent and order repairs / Start Date 1/19/2016 ///

16) Darejor 1062 LLC/LLC/Rental propert/Proprietor / Pay bills/Comp-Yes ///

17) Darejor 1553 llc; Pompano Beach, FL; Company; Real Estate; Proprietor / owner; Process rental income; Start date: 4/11/2024 ///

18) Darejor 37 LLC; Fort Lauderdale, FL; Company; Real Estate; Rental properties; Proprietor / owner; Receive rental income; Start date: 4/11/2024 ///

19) Darejor 531 llc; Fort Lauderdale, FL; Company; Real Estate; Rental property; Proprietor / owner; Receive rental income; Start date: 4/11/2024 ///

20) Darejor 801 llc; Fort Lauderdale, FL; Company; Real Estate; Property rental; Proprietor / owner; Receive rental income for rental property; Start date: 4/11/2024 ///

21) Darejor 420 LLC; Fort Lauderdale, FL 33311; LLC; Real Estate; Maintaining rental to standards for renter.; Proprietor / owner; Maintain repair issues; Start date: 6/26/2024

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	5	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLAIMANT ALLEGES THAT FROM JULY 2006 TO DECEMBER 2008 THE FA RECOMMENDED AN UNSUITABLE PORTFOLIO.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$500,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-04545
Filing date of arbitration/CFTC reparation or civil litigation:	10/15/2010

Customer Complaint Information

Date Complaint Received:	11/22/2010
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Complaint Pending? No

Status: Settled

Status Date: 05/07/2012

Settlement Amount: \$14,999.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

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

Allegations: CLAIMANT ALLEGES THAT FROM JULY 2006 TO DECEMBER 2008 THE FA RECOMMENDED AN UNSUITABLE PORTFOLIO.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-04545

Filing date of arbitration/CFTC reparation or civil litigation: 10/15/2010

Customer Complaint Information

Date Complaint Received: 11/22/2010

Complaint Pending? No

Status: Settled

Status Date: 05/07/2012

Settlement Amount: \$14,999.00



Individual Contribution Amount: \$0.00

Broker Statement

I DENY ANY AND ALL OF THE ALLEGATIONS CLAIMED BY THE COMPLAINANT. OUR TEAM FOLLOWED THE SAME THOROUGH AND PRUDENT PLANNING PROCESS THAT WE HAVE USED WITH ALL OF OUR CLIENTS TO EVALUATE APPROPRIATE RISK GIVEN THE CLIENT'S OBJECTIVES, ESPECIALLY GIVEN THE CLIENT'S PAST HISTORY WITH COMPLAINING. THE CLIENT SOUGHT TO BLAME THE FINANCIAL ADVISORS FOR HER OWN TRADING LOSSES AND DECISIONS. IN THE FOREGOING ARBITRATION, WHICH WAS SETTLED FOR ONLY \$14,999, FAR LESS THAN THE \$500,000 ORIGINALLY CLAIMED BY THE CLIENT. THIS SETTLEMENT DOES NOT REFLECT ANY ACKNOWLEDGEMENT OR ADMISSION OF ANY LIABILITY OR MISCONDUCT ON MY PART WHATSOEVER. MORGAN STANLEY SMITH BARNEY, WHICH DENIED ALL OF THE CLAIMS ASSERTED BY THE CUSTOMER, DID NOT ACKNOWLEDGE OR ADMIT ANY LIABILITY OR WRONGDOING AND RESOLVED THIS ISSUE STRICTLY TO AVOID THE POTENTIAL COST AND UNCERTAINTIES OF THE ARBITRATION FORUM. FINALLY, I DID NOT, NOR WAS I ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THIS CASE.

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: CLAIMANTS ALLEGE, INTER ALIA, THAT BEGINNING IN 2006 THE FINANCIAL ADVISOR MADE MISREPRESENTATIONS REGARDING UNSUITABLE INVESTMENTS THAT SHE RECOMMENDED FOR THEIR ACCOUNTS. CLAIMANTS ALSO ALLEGE THAT THE FINANCIAL ADVISOR MAINTAINED AN UNSUITABLE ASSET ALLOCATION IN THEIR PORTFOLIO THAT WAS OVERCONCENTRATED IN PREFERRED SECURITIES.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

Alleged Damages: \$254,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes



**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 09-07092

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/15/2009

Customer Complaint Information

Date Complaint Received: 01/06/2010

Complaint Pending? No

Status: Settled

Status Date: 04/15/2011

Settlement Amount: \$30,000.00

**Individual Contribution
Amount:** \$0.00

Firm Statement THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES, WITH NO ADMISSION OF LIABILITY BY THE FIRM OR BROKER. BROKER DID NOT CONTRIBUTE TO SETTLEMENT.

Reporting Source: Broker

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

Allegations: CLAIMANTS ALLEGE, INTER ALIA, THAT BEGINNING IN 2006 THE FINANCIAL ADVISOR MADE MISREPRESENTATIONS REGARDING UNSUITABLE INVESTMENTS THAT SHE RECOMMENDED FOR THEIR ACCOUNTS. CLAIMANTS ALSO ALLEGE THAT THE FINANCIAL ADVISOR MAINTAINED AN UNSUITABLE ASSET ALLOCATION IN THEIR PORTFOLIO THAT WAS OVERCONCENTRATED IN PREFERRED SECURITIES.

Product Type: Mutual Fund

Alleged Damages: \$254,000.00

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 #: 09-07092

Filing date of arbitration/CFTC reparation or civil litigation: 12/15/2009

Customer Complaint Information

Date Complaint Received: 01/06/2010

Complaint Pending? No

Status: Settled

Status Date: 04/15/2011

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS MATTER WAS SETTLED FOR BUSINESS PURPOSES, WITH NO ADMISSION OF LIABILITY BY THE FIRM OR BROKER. BROKER DID NOT CONTRIBUTE TO SETTLEMENT. THIS WAS A CASE WHEN WE LEFT OUR FORMER FIRM IN 2008, THESE CLIENTS MOVED THEIR ACCOUNT TO A RELATIVE WHO ADVISED THEM TO SELL EVERYTHING, WHEN THEY DID THE MARKET WAS AT A LOW AND THEN PROCEEDED TO RECOVER. ALL HOLDINGS CAME BACK TO PAR. WE DID NOT HAVE A CHANCE TO DEFEND OURSELVES SINCE THE FORMER FIRM SETTLED FOR A SMALL AMOUNT TO STOP LEGAL FEES AND THERE WAS NO OPPORTUNITY AT ARBITRATION TO OFFER OUR SIDE.



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:	Firm
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLIENT'S ATTORNEY ALLEGES UNSUITABILITY WITH RESPECT TO INVESTMENTS - 01/1997-05/2002.
Product Type:	Unit Investment Trust
Alleged Damages:	\$15,000.00
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:	06/04/2013
Complaint Pending?	No
Status:	Denied
Status Date:	07/18/2013
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CGMI
Allegations:	CLIENT'S ATTORNEY ALLEGES UNSUITABILITY WITH RESPECT TO INVESTMENTS - 01/1997-05/2002.



Product Type: Unit Investment Trust

Alleged Damages: \$15,000.00

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: 06/04/2013

Complaint Pending? No

Status: Denied

Status Date: 07/18/2013

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Broker

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

Allegations: CLILENT ALLEGED "GROSS MISMANAGEMENT" WITH RESPECT TO INVESTMENTS - 2002 - 2003. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY - LISTED AND EQUITY - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/22/2003

Complaint Pending? No

Status: Denied



Status Date: 01/16/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLAIM WAS DENIED.

Disclosure 3 of 3

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES THAT HER INSTRUCTIONS TO PURCHASE CONSERVATIVE INVESTMENTS WERE NOT FOLLOWED - 1999-2003. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/01/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/10/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM ABANDONED.

End of Report



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