

BrokerCheck Report
ERIC SCOTT SKIGEN
 CRD# 2543576

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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:
 - o 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
 - o 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.

ERIC S. SKIGEN

CRD# 2543576

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 2 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** **SUNTRUST INVESTMENT SERVICES, INC.**
CRD# 17499
WASHINGTON, DC
06/2005 - 04/2009
- B** **SUNTRUST CAPITAL MARKETS, INC.**
CRD# 6271
ATLANTA, GA
03/2005 - 08/2005
- B** **MORGAN STANLEY DW INC.**
CRD# 7556
PURCHASE, NY
04/2001 - 03/2005

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

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

This broker is not currently registered.



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 2 principal/supervisory exams, 2 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	08/17/2000
B General Securities Sales Supervisor - Options Module Examination	Series 9	08/17/2000

General Industry/Product Exams

Exam	Category	Date
B Futures Managed Funds Examination	Series 31	06/12/2002
B General Securities Representative Examination	Series 7	10/05/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/04/1994
B Uniform Securities Agent State Law Examination	Series 63	11/04/1994

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2005 - 04/2009	SUNTRUST INVESTMENT SERVICES, INC.	17499	WASHINGTON, DC
B 03/2005 - 08/2005	SUNTRUST CAPITAL MARKETS, INC.	6271	ATLANTA, GA
B 04/2001 - 03/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 11/1994 - 04/2001	SALOMON SMITH BARNEY INC.	7059	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
06/2005 - Present	SUNTRUST INVESTMENT SERVICES	FINANCIAL REPRESENTATIVE	Y	ATLANTA, GA, United States
03/2005 - Present	SUNTRUST CAPITAL MARKETS, INC.	PRIVATE WEALTH ADVISOR	Y	WASHINGTON, DC, United States

Disclosure Events



What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	05/01/2012
Docket/Case Number:	11-03127
Employing firm when activity occurred which led to the regulatory action:	SUNTRUST INVESTMENT SERVICES, INC.
Product Type:	No Product
Allegations:	RESPONDENT SKIGEN FAILED TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Current Status:	Final
Resolution:	LETTER
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:	05/01/2012
Sanctions Ordered:	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: ANY CAPACITY

Duration: N/A

Start Date: 05/01/2012

End Date:

Regulator Statement PURSUANT TO ARTICLE VI, SECTION 3 OF FINRA BY-LAWS AND FINRA RULE 9554, RESPONDENT SKIGEN IS SUSPENDED FOR FAILURE TO COMPLY WITH AN ARBITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 11/19/2008



Docket/Case Number: [2007008549101](#)

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY DW, INC.

Product Type: No Product

Other Product Type(s):

Allegations: NASD RULES 2110 AND 8210: RESPONDENT ERIC S. SKIGEN CREATED FALSIFIED ELECTRONIC NOTES OF HIS PURPORTED CONVERSATIONS WITH A PUBLIC CUSTOMER AFTER THE CUSTOMER FILED AN ARBITRATION CLAIM. SKIGEN PROVIDED THE FALSIFIED NOTES TO HIS FIRM'S OUTSIDE COUNSEL IN THE ARBITRATION, WITHOUT ADVISING COUNSEL OR THE FIRM THAT HE HAD FALSIFIED AND BACKDATED THE NOTES. SKIGEN MISREPRESENTED TO OUTSIDE COUNSEL THAT THE NOTES HAD BEEN PREPARED CONTEMPORANEOUSLY WITH THE CONVERSATIONS. WHEN CHALLENGED REGARDING THE VALIDITY OF THE NOTES, SKIGEN ADMITTED THAT THE NOTES HAD NOT BEEN PREPARED CONTEMPORANEOUSLY. SKIGEN ALSO CREATED SIMILAR NOTES RELATING TO ANOTHER PUBLIC CUSTOMER AND MISREPRESENTED THAT THE NOTES HAD BEEN CREATED CONTEMPORANEOUSLY TO CONVERSATIONS WITH HIS PUBLIC CUSTOMER. SKIGEN PROVIDED FALSE TESTIMONY DURING A FINRA ON-THE-RECORD INTERVIEW.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 04/20/2009

Sanctions Ordered: Bar

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ERIC SKIGEN CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.



Reporting Source:	Firm
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	11/19/2008
Docket/Case Number:	2007008549101
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY DW, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 2110 AND 8210. RESPONDENT CREATED FALSIFIED ELECTRONIC NOTES OF HIS PURPORTED CONVERSATIONS WITH A PUBLIC CUSTOMER AFTER THE CUSTOMER FILED AN ARBITRATION CLAIM. RESPONDENT PROVIDED THE FALSIFIED NOTES TO HIS FIRM'S OUTSIDE COUNSEL IN THE ARBITRATION,WITHOUT ADVISING COUNSEL OF THE FIRM THAT HE HAD FALSIFIED AND BACKDATED THE NOTES. RESPONDENT MISREPRESENTED TO OUTSIDE COUNSEL THAT THE NOTES HAD BEEN PREPARED CONTEMPORANEOUSLY WITH THE CONVERSATIONS. WHILE CHALLENGED REGARDING THE VALIDITY OF THE NOTES, RESPONDENT ADMITTED THAT THE NOTES HAD NOT BEEN PRPARED CONTEMPORANEOUSLY. RESPONDENT ALSO CREATED SIMILIAR NOTES RELATING TO ANOTHER PUBLIC CUSTOMER AND MISREPRESENTED THAT THE NOTES HAD BEEN CREATED CONTEMPORANEOUSLY TO CONVERSATIONS WITH HIS PUBLIC CUSTOMER.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	04/20/2009
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ERIC SKIGEN CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF



FINDINGS; THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY
FINRA MEMBER IN ANY CAPACITY

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other

Other Sanction(s) Sought: DISCIPLINARY PROCEEDING

Date Initiated: 11/19/2008

Docket/Case Number: [2007008549101](#)

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY DW, INC

Product Type: No Product

Other Product Type(s):

Allegations: ON NOVEMBER 19, 2008 FINRA'S DEPARTMENT OF ENFORCEMENT FILED A DISCIPLINARY PROCEEDING ALLEGING FALSIFICATION OF DOCUMENTS, MISREPRESENTATION, FALSE AND MISLEADING TESTIMONY TO FINRA, AND REQUESTING RELIEF PURSUANT TO NASD RULE 8310(A).

Current Status: Pending

Broker Statement SKIGEN DENIES THE FINRA STAFF'S ALLEGATIONS, AND STATES THAT HE TOOK NO ACTION TO MISLEAD HIS FORMER EMPLOYER, ITS COUNSEL, OR THE FINRA STAFF. SKIGEN MAINTAINS THAT HE HAS AND CONTINUES TO CONDUCT HIS BUSINESS WITH INTEGRITY AND IN THE BEST INTEREST OF SUNTRUST CUSTOMERS. SKIGEN INTENDS TO CONTEST THE FINRA ALLEGATIONS OF WRONGDOING.

End of Report



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