

## BrokerCheck Report

# CHRISTOPHER DUANE STORY

CRD# 2910330

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6
Disclosure Events	7



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).



## CHRISTOPHER D. STORY

CRD# 2910330

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

**IA LPL FINANCIAL LLC**  
254 MOULTON STREET SUITE 200  
DECATUR, AL 35601  
CRD# 6413  
Registered with this firm since: 10/05/2022

**B LPL FINANCIAL LLC**  
254 MOULTON STREET SUITE 200  
DECATUR, AL 35601  
CRD# 6413  
Registered with this firm since: 10/04/2022

## 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
- 15 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):

- B RAYMOND JAMES & ASSOCIATES, INC.**  
CRD# 705  
DECATUR, AL  
02/2013 - 10/2022
- IA RAYMOND JAMES & ASSOCIATES, INC.**  
CRD# 705  
ST. PETERSBURG, FL  
02/2013 - 10/2022
- IA MORGAN KEEGAN & COMPANY, INC.**  
CRD# 4161  
MEMPHIS, TN  
02/2003 - 02/2013

### 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	7



## 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 15 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/04/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	10/04/2022

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/06/2022
IA	Alabama	Investment Adviser Representative	Approved	10/07/2022
B	California	Agent	Approved	11/14/2023
B	Florida	Agent	Approved	10/04/2022
B	Georgia	Agent	Approved	10/06/2022
B	Iowa	Agent	Approved	12/18/2025
B	Michigan	Agent	Approved	10/04/2022
B	Mississippi	Agent	Approved	02/09/2023
B	Missouri	Agent	Approved	01/03/2024
B	Nebraska	Agent	Approved	10/17/2022
B	North Carolina	Agent	Approved	10/10/2022

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	11/13/2023
B	South Carolina	Agent	Approved	10/18/2022
B	Tennessee	Agent	Approved	10/04/2022
B	Texas	Agent	Approved	10/04/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	10/05/2022
B	Washington	Agent	Approved	09/23/2025

### Branch Office Locations

#### LPL FINANCIAL LLC

254 Moulton Street Suite 300  
Decatur, AL 35601-2314

#### LPL FINANCIAL LLC

254 MOULTON STREET SUITE 200  
DECATUR, AL 35601



## 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, 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/07/2000
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	08/21/1997

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	07/22/2000
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/12/1997

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/](http://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>B</b> 02/2013 - 10/2022	RAYMOND JAMES & ASSOCIATES, INC.	705	DECATUR, AL
<b>IA</b> 02/2013 - 10/2022	RAYMOND JAMES & ASSOCIATES, INC.	705	DECATUR, AL
<b>IA</b> 02/2003 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	DECATUR, AL
<b>B</b> 04/2000 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	DECATUR, AL
<b>B</b> 08/1997 - 02/2000	COMPASS BROKERAGE, INC.	17086	BIRMINGHAM, AL

### 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
10/2022 - Present	LPL Financial	Registered Representative	Y	Decatur, AL, United States
06/2014 - 10/2022	BURNINGTREE COUNTRY CLUB	INSTRUCTOR	N	DECATUR, AL, United States
02/2013 - 10/2022	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	DECATUR, AL, 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.

1-10/2022 / The Albany Group / DBA for LPL Business (entity for LPL business) / Investment Related / Decatur, AL



## 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	7	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

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	STATE OF ALABAMA DEPARTMENT OF INSURANCE
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	MONETARY FINE.
<b>Date Initiated:</b>	06/18/2007
<b>Docket/Case Number:</b>	P-2007-657WR
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Product Type:</b>	Insurance
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	ON OR ABOUT JANUARY 31, 2007 RESPONDENT SUBMITTED TO THE DEPARTMENT A PRODUCER LICENSE ON-LINE RENEWAL FORM. IN RESPONSE TO QUESTION NUMBER 5 ON SAID FORM, TO-WIT: "I FURTHER SWEAR OR AFFIRM THAT: I HAVE SATISFIED THE 12 HOURS OF CONTINUING EDUCATION REQUIREMENTS ESTABLISHED BY LAW?", RESPONDENT ANSWERED "YES." THAT AFTER AN INVESTIGATION BY THE DEPARTMENT IN ORDER TO RENEW THE RESPONDENT'S LICENSE, IT WAS DISCOVERED THAT RESPONDENT DID NOT SATISFY HIS/HER CONTINUING



EDUCATION UNTIL FEBRUARY 5, 2007.

**Current Status:**

Final

**Resolution:**

Other

**Resolution Date:**

07/16/2007

**Sanctions Ordered:**

Monetary/Fine \$250.00

**Other Sanctions Ordered:**

**Sanction Details:**

MONETARY FINE OF \$250 - A CHECK DATED JULY 18, 2007 HAS BEEN SENT TO ALABAMA INSURANCE DEPARTMENT.



## 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, UNSUITABILITY, VIOLATIONS OF SECURITIES REGULATORY RULES, VIOLATIONS OF THE ALABAMA SECURITIES ACT, INTENTIONAL AND NEGLIGENT MISREPRESENTATION, BREACH OF DUTY OF GOOD FAITH AND FAIR DEALING AND GROSS NEGLIGENCE
<b>Product Type:</b>	Other: BOND FUNDS
<b>Alleged Damages:</b>	\$25,000.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">FINRA - CASE #10-01114</a>
<b>Date Notice/Process Served:</b>	03/04/2010
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	12/02/2011
<b>Disposition Detail:</b>	STORY WAS THE SUBJECT OF THE CLAIMANTS' STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. STORY'S MEMBER FIRM IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$25,000, PRE- AND POST-JUDGMENT INTEREST SPECIFICALLY DENIED AND ALL OTHER RELIEF REQUESTS ARE DENIED.

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.



<b>Allegations:</b>	CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2002 AND 2006.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	10-01114
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/04/2010

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/22/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
<b>Status Date:</b>	12/02/2011
<b>Settlement Amount:</b>	\$25,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY IN HAVING AN OVERCONCENTRATION IN MUTUAL FUNDS PURCHASED IN 2004.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	11-04097
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/25/2011

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/15/2011
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/17/2013
<b>Settlement Amount:</b>	\$60,000.00



**Individual Contribution Amount:** \$0.00

#### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATION WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 4/04 - 1/06

**Product Type:** Mutual Fund

**Alleged Damages:** \$84,173.00

**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 #:** 09-03192

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 06/22/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$13,214.00

**Individual Contribution Amount:** \$0.00



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 4

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN KEEGAN & COMPANY, INC.
<b>Allegations:</b>	CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$25,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	11-01883
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/09/2011

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/19/2011
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	11/17/2011
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	





## Disclosure 2 of 4

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & CO.

**Allegations:** SUITABILITY

**Product Type:** Mutual Fund

**Alleged Damages:** \$25,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #11-01741](#)

**Date Notice/Process Served:** 04/28/2011

**Arbitration Pending?** No

**Disposition:** Denied

**Disposition Date:** 10/24/2011

**Disposition Detail:** CHRISTOPHER STORY WAS A SUBJECT OF THE CUSTOMERS' STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE, ALONG WITH HIS MEMBER FIRM, CONTRIBUTED TO THE SALES PRACTICE VIOLATION. ACCORDINGLY, CLAIMANTS' CLAIMS AGAINST STORY'S MEMBER FIRM ARE DENIED IN THEIR ENTIRETY.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS IN 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$25,000.00

**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 #:**

11-01741

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

04/28/2011

### Customer Complaint Information

**Date Complaint Received:**

05/13/2011

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

10/24/2011

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

\*\*AS OF 10/24/2011 AN AWARD WAS ENTERED DISMISSING ALL CLAIMS IN  
THEIR ENTIRETY.\*\*

### Disclosure 3 of 4

**Reporting Source:**

Broker

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

MORGAN KEEGAN & COMPANY, INC.

**Allegations:**

CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS  
PURCHASED BETWEEN 2003 AND 2006.

**Product Type:**

Mutual Fund

**Alleged Damages:**

\$0.00

**Alleged Damages Amount  
Explanation (if amount not  
exact):**

DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF  
\$5,000.

**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 #:** 10-03231 CHANGED TO 11-02120

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/13/2010

### Customer Complaint Information

**Date Complaint Received:** 09/13/2010

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/01/2012

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** AS OF 7/13/2012 THIS EVENT IS NO LONGER REPORTABLE.

### Disclosure 4 of 4

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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 #:** 10-03380

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/23/2010

### **Customer Complaint Information**

**Date Complaint Received:** 08/09/2010

**Complaint Pending?** No

**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:** 06/13/2012

**Settlement Amount:** \$4,842.00

**Individual Contribution Amount:** \$0.00

## End of Report



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