

## BrokerCheck Report

### JIMMY J GALINDO

CRD# 2922619

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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](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).

**JIMMY J. GALINDO**

CRD# 2922619

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

**IA RBC CAPITAL MARKETS, LLC**  
 99 ALMADEN BOULEVARD  
 SUITE 300  
 SAN JOSE, CA 95113  
 CRD# 31194  
 Registered with this firm since: 12/09/2020

**B RBC CAPITAL MARKETS, LLC**  
 99 ALMADEN BOULEVARD  
 SUITE 300  
 SAN JOSE, CA 95113-1603  
 CRD# 31194  
 Registered with this firm since: 12/09/2020

**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:**

- 22 Self-Regulatory Organizations
- 43 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 MORGAN STANLEY**  
 CRD# 149777  
 PALO ALTO, CA  
 06/2009 - 11/2020
- IA MORGAN STANLEY**  
 CRD# 149777  
 PURCHASE, NY  
 06/2009 - 11/2020
- IA CITIGROUP GLOBAL MARKETS INC.**  
 CRD# 7059  
 NEW YORK, NY  
 04/2001 - 06/2009

**Disclosure Events**

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

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

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	2
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 22 SROs and is licensed in 43 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.  
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	12/09/2020
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	FINRA	General Securities Representative	Approved	12/09/2020
B	Investors' Exchange LLC	General Securities Representative	Approved	12/09/2020
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	12/09/2020
B	MEMX LLC	General Securities Representative	Approved	12/09/2020
B	MIAX PEARL, LLC	General Securities Representative	Approved	12/09/2020
B	NYSE American LLC	General Securities Representative	Approved	12/09/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	12/09/2020
B	NYSE National, Inc.	General Securities Representative	Approved	12/09/2020



## Broker Qualifications

### Employment 1 of 1, continued

SRO	Category	Status	Date
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	12/09/2020
<b>B</b> Nasdaq BX, Inc.	General Securities Representative	Approved	12/09/2020
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	12/09/2020
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	12/09/2020
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	12/09/2020
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	12/09/2020
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	12/09/2020

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alabama	Agent	Approved	05/12/2025
<b>B</b> Alaska	Agent	Approved	06/30/2025
<b>B</b> Arizona	Agent	Approved	12/09/2020
<b>B</b> California	Agent	Approved	12/09/2020
<b>IA</b> California	Investment Adviser Representative	Approved	12/10/2020
<b>B</b> Colorado	Agent	Approved	12/09/2020
<b>B</b> Connecticut	Agent	Approved	12/09/2020
<b>B</b> Delaware	Agent	Approved	11/19/2021
<b>B</b> District of Columbia	Agent	Approved	05/22/2024
<b>B</b> Georgia	Agent	Approved	12/11/2020
<b>B</b> Hawaii	Agent	Approved	07/12/2022
<b>B</b> Idaho	Agent	Approved	12/09/2020
<b>B</b> Illinois	Agent	Approved	02/02/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	06/25/2025
B	Iowa	Agent	Approved	05/09/2025
B	Kansas	Agent	Approved	05/08/2025
B	Kentucky	Agent	Approved	05/15/2025
B	Maryland	Agent	Approved	12/09/2020
B	Michigan	Agent	Approved	12/09/2020
B	Minnesota	Agent	Approved	07/21/2025
B	Mississippi	Agent	Approved	07/30/2025
B	Montana	Agent	Approved	12/09/2020
B	Nevada	Agent	Approved	02/10/2021
B	New Jersey	Agent	Approved	02/08/2021
B	New Mexico	Agent	Approved	12/09/2020
B	New York	Agent	Approved	12/09/2020
B	North Carolina	Agent	Approved	12/09/2020
B	North Dakota	Agent	Approved	05/12/2025
B	Ohio	Agent	Approved	10/23/2024
B	Oklahoma	Agent	Approved	05/13/2025
B	Oregon	Agent	Approved	01/05/2021
B	Pennsylvania	Agent	Approved	12/24/2020
B	Rhode Island	Agent	Approved	05/13/2025
B	South Carolina	Agent	Approved	05/08/2025



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Dakota	Agent	Approved	05/06/2025
B	Tennessee	Agent	Approved	12/22/2020
B	Texas	Agent	Approved	12/09/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	12/09/2020
B	Utah	Agent	Approved	01/05/2021
B	Vermont	Agent	Approved	05/07/2025
B	Virginia	Agent	Approved	07/31/2025
B	Washington	Agent	Approved	12/09/2020
B	West Virginia	Agent	Approved	05/21/2025
B	Wisconsin	Agent	Approved	12/09/2020
B	Wyoming	Agent	Approved	01/27/2021

### Branch Office Locations

**RBC CAPITAL MARKETS, LLC**  
 99 ALMADEN BOULEVARD  
 SUITE 300  
 SAN JOSE, CA 95113-1603

**RBC CAPITAL MARKETS, LLC**  
 Hollister, CA



## 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/21/1998

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/23/2001
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/19/1999

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> 06/2009 - 11/2020	MORGAN STANLEY	149777	PALO ALTO, CA
<b>IA</b> 06/2009 - 11/2020	MORGAN STANLEY	149777	PALO ALTO, CA
<b>IA</b> 04/2001 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	PALO ALTO, CA
<b>B</b> 12/1998 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	PALO ALTO, CA

### Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
12/2020 - Present	CITY NATIONAL BANK	EMPLOYEE OF AN AFFILIATE	Y	San Jose, CA, United States
12/2020 - Present	RBC CAPITAL MARKETS, LLC	REGISTERED REPRESENTATIVE	Y	SAN JOSE, CA, United States
01/2015 - 12/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 12/2020	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	PALO ALTO, CA, 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.

NAME OF ENTITY: Gateway City Church  
 ADDRESS: 5883 Eden Park Place, San Jose, CA 95135  
 INVESTMENT/NOT INVESTMENT RELATED: No  
 BUSINESS DESCRIPTION: Religious Institution  
 START DATE: 08/12/24

## Registration and Employment History



### Other Business Activities, continued

CAPACITY: Committee/Council Member

DUTIES: review policy/governance for the church. Vote on candidates applying for ordinations & licensing, vote on candidates applying for eldership, vote on candidates applying for youth leader positions, vote on adding additional churches to the organization & high level approval of annual budget.

HOURS DEVOTED PER MONTH: 1

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

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## 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	2	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 2

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	Insurance Commissioner of the State of California
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	02/29/2024
<b>Docket/Case Number:</b>	24-000-35-A
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Morgan Stanley
<b>Product Type:</b>	Insurance
<b>Allegations:</b>	In response to FINRA's recent AWC findings, without admitting or denying the AWC findings, from 05/2013 - 04/2018, Respondent changed the representative code for 248 trades, causing the trade confirmations to show an inaccurate representative code. As a result, Respondent caused Morgan Stanley, employer at the time, to maintain inaccurate books and records, in violation of FINRA Rules 4511 and 2010.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order



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

Yes

**Resolution Date:** 02/29/2024

**Sanctions Ordered:** Suspension

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** Insurance

**Duration:** 5 Days

**Start Date:** 05/20/2024

**End Date:** 05/24/2024

## Disclosure 2 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 01/02/2024

**Docket/Case Number:** [2020068810001](#)

**Employing firm when activity occurred which led to the regulatory action:** Morgan Stanley

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Galindo consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by changing the representative code for trades which made the trade confirmations show an inaccurate representative code. The findings stated that Galindo entered into an agreement through which he and another representative working from the same branch office agreed to service certain customer accounts, including executing trades for those accounts, under a joint



representative code (also known as joint production number) that they shared with a retired representative. The agreement set forth what percentages of the commissions Galindo, the other representative, and the retired representative earned on trades placed using the joint representative code. Although the firm's system correctly prepopulated the trades with the applicable joint representative code, Galindo changed the code for the trades to a different representative code that he shared only with the other representative because he mistakenly believed that his agreement with the retired representative did not apply to new assets added to accounts subject to the agreement. Galindo's actions resulted in his receiving higher commissions from the trades than what he was entitled to receive pursuant to the agreement. Galindo's firm paid restitution to the retired representative and Galindo reimbursed the firm \$38,216, which was the approximate amount of additional commissions that he received.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/02/2024
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>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?</b>	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:	One month
Start Date:	02/05/2024
End Date:	03/04/2024

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/17/2024
Was any portion of penalty waived?	No

Amount Waived:

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/02/2024
<b>Docket/Case Number:</b>	<a href="https://www.finra.org/rules-guidance/oversight-enforcement/finra-disciplinary-actions?search=2020068810001">https://www.finra.org/rules-guidance/oversight-enforcement/finra-disciplinary-actions?search=2020068810001</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Morgan Stanley
<b>Product Type:</b>	No Product
<b>Allegations:</b>	<p>Without admitting or denying the findings, Galindo consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by changing the representative code for trades which made the trade confirmations show an inaccurate representative code. The findings stated that Galindo entered into an agreement through which he and another representative working from the same branch office agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code (also known as joint production number) that they shared with a retired representative. The agreement set forth what percentages of the commissions Galindo, the other representative, and the retired representative earned on trades placed using the joint representative code. Although the firm's system correctly prepopulated the trades with the applicable joint representative code, Galindo changed the code for the trades to a different representative code that he shared only with the other representative because he mistakenly believed that his agreement with the retired representative did not apply to new assets added to accounts subject to the agreement. Galindo's actions resulted in his receiving higher commissions from the trades than what he was entitled to receive pursuant to the agreement. Galindo's firm paid restitution to the retired representative and Galindo reimbursed the firm \$38,216, which was the approximate amount of additional commissions that he received.</p>
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/02/2024
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	One Month
<b>Start Date:</b>	02/05/2024
<b>End Date:</b>	03/04/2024
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY SMITH BARNEY
<b>Allegations:</b>	CLIENT ALLEGES HE AGREED TO THE FA'S RECOMMENDED SCHEDULE TO SELL HIS STOCK OPTIONS AND SOME OF THE OPTIONS WERE NOT SOLD AS INSTRUCTED AND EXPIRED WORTHLESS 09/21/11-11/14/11.
<b>Product Type:</b>	Other: EMPLOYEE/EMPLOYER STOCK OPTION PLAN
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNSPECIFIED
<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>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/04/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/20/2012
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## 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:** MSSB

**Termination Type:** Discharged

**Termination Date:** 11/13/2020

**Allegations:** Concerns that the representative submitted transactions under production numbers that were inconsistent with agreement with another representative resulting in a shortfall of revenue credited to the other representative.

**Product Type:** No Product

**Reporting Source:** Broker

**Employer Name:** MSSB

**Termination Type:** Discharged

**Termination Date:** 11/13/2020

**Allegations:** Concerns that the representative submitted transactions under production numbers that were inconsistent with agreement with another representative resulting in a shortfall of revenue credited to the other representative.

**Product Type:** No Product

## End of Report



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