

BrokerCheck Report

E KYLE DAVIS

CRD# 2995789

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7
Disclosure Events	8



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.

**E K. DAVIS**

CRD# 2995789

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 1200 Abernathy Rd Ste 1750
 Atlanta, GA 30328
 CRD# 6363
 Registered with this firm since: 01/16/2019

B AMERIPRISE FINANCIAL SERVICES, LLC
 1200 Abernathy Rd Ste 1750
 Atlanta, GA 30328-5662
 CRD# 6363
 Registered with this firm since: 01/16/2019

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
- 28 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 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
 ATLANTA, GA
 02/2013 - 01/2019
- IA RAYMOND JAMES & ASSOCIATES, INC.**
 CRD# 705
 ST. PETERSBURG, FL
 02/2013 - 01/2019
- IA MORGAN KEEGAN & COMPANY, INC.**
 CRD# 4161
 MEMPHIS, TN
 03/2007 - 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	2
Customer Dispute	4



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 28 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/16/2019
B	FINRA	Investment Banking Representative	Approved	01/16/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/28/2019
B	Arizona	Agent	Approved	02/25/2019
B	Arkansas	Agent	Approved	09/22/2022
B	California	Agent	Approved	02/28/2022
B	Colorado	Agent	Approved	01/16/2019
B	Florida	Agent	Approved	01/16/2019
B	Georgia	Agent	Approved	01/16/2019
IA	Georgia	Investment Adviser Representative	Approved	01/22/2019
B	Illinois	Agent	Approved	02/08/2019
B	Indiana	Agent	Approved	03/25/2021
B	Kentucky	Agent	Approved	01/16/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Louisiana	Agent	Approved	01/16/2019
B	Maryland	Agent	Approved	01/16/2019
B	Massachusetts	Agent	Approved	12/16/2022
B	Michigan	Agent	Approved	09/15/2022
B	Missouri	Agent	Approved	01/16/2019
B	Nevada	Agent	Approved	01/16/2019
B	New Jersey	Agent	Approved	01/16/2019
B	New York	Agent	Approved	10/10/2019
B	North Carolina	Agent	Approved	01/16/2019
B	Ohio	Agent	Approved	01/16/2019
B	Oregon	Agent	Approved	01/17/2019
B	Pennsylvania	Agent	Approved	02/03/2022
B	South Carolina	Agent	Approved	01/30/2019
B	Tennessee	Agent	Approved	01/16/2019
B	Texas	Agent	Approved	10/04/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/04/2021
B	Vermont	Agent	Approved	10/25/2023
B	Virginia	Agent	Approved	01/16/2019
B	Washington	Agent	Approved	10/20/2021

Branch Office Locations

Broker Qualifications



Employment 1 of 1, continued

AMERIPRISE FINANCIAL SERVICES, LLC

1200 Abernathy Rd Ste 1750

Atlanta, GA 30328-5662

AMERIPRISE FINANCIAL SERVICES, LLC

Marietta, GA



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, 4 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 Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	04/23/2003
B General Securities Representative Examination	Series 7	01/21/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/27/1999
B Uniform Securities Agent State Law Examination	Series 63	01/27/1998

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2013 - 01/2019	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA
IA 02/2013 - 01/2019	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA
B 03/2007 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA
IA 03/2007 - 02/2013	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA
IA 03/2003 - 04/2007	MORGAN STANLEY	7556	ATLANTA, GA
B 02/1998 - 04/2007	MORGAN STANLEY DW INC.	7556	ATLANTA, GA
B 01/1998 - 03/1998	VTR CAPITAL, INC.	21404	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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Atlanta, GA, United States
01/2019 - 03/2020	Ameriprise Financial Services, INC	Registered Representative	Y	Atlanta, GA, United States
02/2013 - 01/2019	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	ATLANTA, GA, 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.

No information reported.

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	4	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	
Date Initiated:	12/20/2007
Docket/Case Number:	0700248
Employing firm when activity occurred which led to the regulatory action:	MORGAN KEEGAN & COMPANY, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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: 12/20/2007

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details: CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.

Regulator Statement IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MS. MARY LOPEZ AT 312-793-3023.

Reporting Source: Broker

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Prohibition

Date Initiated: 12/20/2007

Docket/Case Number: 0700248

Employing firm when activity occurred which led to the regulatory action: MORGAN KEEGAN & COMPANY, INC.

Product Type: No Product

Allegations: CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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: 12/20/2007

Sanctions Ordered: Other: MONETARY/FINE

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,500.00

Portion Levied against individual: \$1,500.00

Payment Plan: LUMP SUM

Is Payment Plan Current: Yes

Date Paid by individual: 12/18/2007

Was any portion of penalty waived? No

Amount Waived:

Broker Statement IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MS. MARY LOPEZ AT 312-793-3023.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 04/26/2007

Docket/Case Number: [2006007384001](#)

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

**Product Type:****Allegations:**

NASD RULE 2110 AND INTERPRETIVE MATERIAL 2310-2: DAVIS EXECUTED SECURITIES TRANSACTIONS IN THE ACCOUNT OF A CUSTOMER WITHOUT CUSTOMER'S PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT.

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

04/26/2007

Sanctions Ordered:

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

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM MAY 21, 2007 THROUGH JUNE 4, 2007. FINES PAID.

Reporting Source:

Broker

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

04/26/2007

Docket/Case Number:

[2006007384001](#)

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

MORGAN STANLEY DW, INC.

Product Type:

Other

Other Product Type(s):

BONDS



Allegations:	NASD RULE 2110 AND INTERPRETIVE MATERIAL 2310-2: DAVIS EXECUTED SECURITIES TRANSACTIONS IN THE ACCOUNT OF A CUSTOMER WITHOUT CUSTOMER'S PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/26/2007
Sanctions Ordered:	Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM MAY 21, 2007 TO JUNE 4, 2007.



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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James Associates
Allegations:	Breach of Fiduciary Duty, Negligence, Negligent Supervision, Fraud, Breach of Contract, Breach of Contract - Third Party Beneficiary, and violation of Section 10(b) of the Securities Exchange Act. 10/4/2012 - 10/31/2019
Product Type:	Unit Investment Trust
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 #:	19-03563
Filing date of arbitration/CFTC reparation or civil litigation:	12/03/2019

Customer Complaint Information

Date Complaint Received:	12/03/2019
Complaint Pending?	No
Status:	Settled
Status Date:	02/24/2021
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	RJA agreed to pay Claimant \$75,000 and all mediator's fees in this case, in



exchange for a full release of claims and a dismissal of the matter with prejudice.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Raymond James Associates
Allegations:	Breach of Fiduciary Duty, Negligence, Negligent supervision, Fraud, Breach of Contract, Breach of Contract - Third Party Beneficiary, and violation of Section 10(b) of the Securities Exchange Act. 10/4/2012 - 10/31/2019
Product Type:	Unit Investment Trust
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 #:	19-03563
Filing date of arbitration/CFTC reparation or civil litigation:	12/03/2019
Customer Complaint Information	
Date Complaint Received:	12/03/2019
Complaint Pending?	No
Status:	Settled
Status Date:	02/24/2021
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	RJA agreed to pay Claimant \$75,000 and all mediator's fees in this case, in exchange for a full release of claims and a dismissal of the matter with prejudice.



Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO., INCORPORATED
Allegations:	CUSTOMER ALLEGES THAT FINANCIAL ADVISOR REPRESENTED THAT INVESTMENT IN AUCTION RATE SECURITIES WAS A LIQUID INVESTMENT. UNABLE TO CONCLUDE THAT DAMAGES ARE UNDER \$5,000.
Product Type:	Other
Other Product Type(s):	AUCTION RATE SECURITIES
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	03/04/2008
Complaint Pending?	No
Status:	Settled
Status Date:	05/27/2008
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Firm Statement	THE FIRM PURCHASED AUCTION RATE SECURITIES FROM CLIENT AT PAR VALUE.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & COMPANY, INC.
Allegations:	CUSTOMER ALLEGES THAT FINANCIAL ADVISOR REPRESENTED THAT INVESTMENT IN AUCTION RATE SECURITIES WAS A LIQUID INVESTMENT. UNABLE TO CONCLUDE THAT DAMAGES ARE UNDER \$5,000.
Product Type:	Other: ARS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.



exact):

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: 03/04/2008

Complaint Pending? No

Status: Denied

Status Date: 03/14/2008

Settlement Amount:

Individual Contribution
Amount:

Broker Statement THE FIRM HAS PROVIDED THE CLIENT WITH A LENDING SOLUTION; CLAIM OTHERWISE DENIED.***AS OF 03/04/2010 THIS ITEM IS NO LONGER REPORTABLE.***

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: CLIENT ACCOUNTS WERE NOT PROPERLY GROUPED TO ACHIEVE APPROPRIATE BREAKPOINTS IN PRICING. ALLEGED COMPENSATORY DAMAGE UNSPECIFIED.

Product Type: Other

Other Product Type(s): ICS (VISION/ACCESS)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/20/2007

Complaint Pending? No



Status: Settled

Status Date: 07/13/2007

Settlement Amount: \$11,868.64

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: CLIENT ACCOUNTS WERE NOT PROPERLY GROUPED TO ACHIEVE APPROPRIATE BREAKPOINTS IN PRICING. ALLEGED COMPENSATORY DAMAGE UNSPECIFIED.

Product Type: Other

Other Product Type(s): ICS (VISION/ACCESS)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/20/2007

Complaint Pending? No

Status: Settled

Status Date: 07/13/2007

Settlement Amount: \$11,868.64

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Broker

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

Allegations: CUSTOMER CLAIMED UNAUTHORIZED TRADES WERE MADE. ORAL COMPLAINT. ALLEGED DAMAGES UNSPECIFIED.



Product Type:	Other
Other Product Type(s):	BONDS
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	12/29/2005
Complaint Pending?	No
Status:	Settled
Status Date:	01/27/2006
Settlement Amount:	\$11,386.20
Individual Contribution Amount:	\$0.00

End of Report



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