BrokerCheck Report

MITCHELL ALAN BELLAK

CRD# 710911

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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.
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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.

MITCHELL A. BELLAK

CRD# 710911

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

IA **UBS FINANCIAL SERVICES INC.**
3801 PGA BLVD.
SUITE 1000
PALM BEACH GARDENS, FL 33410
CRD# 8174
Registered with this firm since: 08/02/2011

B **UBS FINANCIAL SERVICES INC.**
3801 PGA BLVD.
SUITE 1000
PALM BEACH GARDENS, FL 33410
CRD# 8174
Registered with this firm since: 07/29/2011

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 10 Self-Regulatory Organizations
- 9 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

B **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
JUPITER, FL
10/2009 - 08/2011

IA **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
10/2009 - 08/2011

IA **BANC OF AMERICA INVESTMENT SERVICES, INC.**
CRD# 16361
BOSTON, MA
04/1998 - 10/2009

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	1
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 10 SROs and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD**
WEEHAWKEN, NJ 07086

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	05/15/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	07/29/2011
B	FINRA	General Securities Principal	Approved	07/29/2011
B	FINRA	General Securities Representative	Approved	07/29/2011
B	FINRA	Municipal Securities Representative	Approved	07/29/2011
B	NYSE American LLC	General Securities Principal	Approved	07/29/2011
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	NYSE American LLC	Municipal Securities Representative	Approved	07/29/2011
B	NYSE Arca, Inc.	General Securities Principal	Approved	07/29/2011
B	NYSE Arca, Inc.	General Securities Representative	Approved	07/29/2011
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Principal	Approved	07/29/2011
B	Nasdaq ISE, LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq PHLX LLC	General Securities Principal	Approved	07/29/2011

Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	07/29/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/29/2011
B	New York Stock Exchange	General Securities Principal	Approved	07/29/2011
B	New York Stock Exchange	General Securities Representative	Approved	07/29/2011
B	New York Stock Exchange	Municipal Securities Representative	Approved	07/29/2011

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	07/29/2011
B	Connecticut	Agent	Approved	05/28/2025
B	Florida	Agent	Approved	08/02/2011
IA	Florida	Investment Adviser Representative	Approved	08/02/2011
B	Georgia	Agent	Approved	02/28/2012
B	Massachusetts	Agent	Approved	07/29/2011
B	Michigan	Agent	Approved	03/05/2012
B	New Jersey	Agent	Approved	12/23/2020
B	New York	Agent	Approved	07/29/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	04/03/2012

Branch Office Locations

UBS FINANCIAL SERVICES INC.
3801 PGA BLVD.
SUITE 1000
PALM BEACH GARDENS, FL 33410

Broker Qualifications

Employment 1 of 1, continued

UBS FINANCIAL SERVICES INC.
Palm Beach Gardens, FL

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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	08/05/1998

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/16/1985
B	Registered Representative Examination	Series 1	06/20/1980

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	01/18/2002
B	Uniform Securities Agent State Law Examination	Series 63	06/14/1985

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	10/2009 - 08/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JUPITER, FL
IA	10/2009 - 08/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JUPITER, FL
B	04/1998 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	JUPITER, FL
IA	04/1998 - 10/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	JUPITER, FL
B	03/1990 - 04/1998	BARNETT INVESTMENTS, INC.	14897	JACKSONVILLE, FL
B	10/1989 - 12/1989	J. B. HANAUER & CO.	6958	
B	03/1985 - 12/1989	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ

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
07/2011 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PALM BEACH GARDENS, FL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

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:**
    - 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	4	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	05/12/2000
Docket/Case Number:	00-114
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE APPLICANT WAS NOT OF GOOD BUSINESS REPUTE.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/12/2000
Sanctions Ordered:	Revocation/Expulsion/Denial

Other Sanctions Ordered:	ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATIONFOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).
Sanction Details:	ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATIONFOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).
Regulator Statement	ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATIONFOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF OHIO
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	10/14/1999
Docket/Case Number:	99-428
Employing firm when activity occurred which led to the regulatory action:	BANC OF AMERICA INVESTMENT SERVICES INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	HEARING RELATED TO APPLICATION OF LICENSING IN THE STATE OF OHIO
Current Status:	Final
Resolution:	Order

Resolution Date: 05/12/2001

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DENIED SECURITIES REGISTRATION IN THE STATE OF OHIO.

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: Broker

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: CLIENT ALLEGES MR. BELLACK'S RECOMMENDATION TO PURCHASE A GMAC BOND IN FEBRUARY 2005 WAS IN APPROPRIATE. CLIENT DOES NOT SPECIFY COMPENSATORY DAMAGES.

Product Type: Debt - Corporate

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/12/2005

Complaint Pending? No

Status: Settled

Status Date: 07/10/2006

Settlement Amount: $10,986.05

Individual Contribution Amount: $0.00

Disclosure 2 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: BARNETT INVESTMENTS, INC.

Allegations: BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: $35,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-03185
Date Notice/Process Served:	07/30/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/18/1997
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BARNETT INVESTMENTS, INC.
Allegations:	ALLEGED DAMAGES OF $35,000.00 CUSTOMER ALLEGES THEY WERE UNAWARE THE PURCHASED A MUTUAL FUND WITH MARKET FLUCTUATION AND THAT THERE INVESTMENT WAS NOT FDIC INSURED.
Product Type:	
Alleged Damages:	$35,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Assoc. of Securities Dealers; 96-03185
Date Notice/Process Served:	07/30/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/18/1997
Monetary Compensation Amount:	$22,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED FOR $22,000.00 I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOTMAKE ANY MONETARY CONTRIBUTION.

Disclosure 3 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	BARNETT INVESTMENTS, INC.
Allegations:	MISREPRESENTATION; OMISSION OF FACTS
Product Type:	
Alleged Damages:	$19,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #95-05883

Date Notice/Process Served:	01/10/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/09/1996
Disposition Detail:	CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BARNETT INVESTMENTS, INC.
Allegations:	ALLEGED DAMAGES OF $22,500 CUSTOMER ALLEGES SHE BOUGHT A US GOV'T SEC. FUND WITHOUT BEING INFORMED OF PRICE AND/OR DIVIDEND FLUCTUATIONS.
Product Type:	
Alleged Damages:	$19,500.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Assoc. of Securities Dealers; 95-05883
Date Notice/Process Served:	01/10/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/09/1996
Monetary Compensation Amount:	$11,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED FOR $11,000 I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOT MAKE ANY MONETARY CONTRIBUTION.

Disclosure 4 of 4

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	BARNETT SECURITIES, INC.
Allegations:	ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; ACCOUNT RELATED-NEGLIGENCE
Product Type:	
Alleged Damages:	$30,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #95-02313
Date Notice/Process Served:	06/19/1995
Arbitration Pending?	No
Disposition:	Settled

Disposition Date: 04/17/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
AWARD
AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BARNETT SECURITIES, INC.

Allegations: ALLEGED DAMAGES OF $30,000.00 CUSTOMER
ALLEGES HE WAS GUARANTEED HIS PRINCIPAL INVESTMENT, THAT HE
WAS
UNAWARE HE PURCHASED A MUTUAL FUND WITH MARKET FLUCTUATION
AND
THAT HE THOUGHT HE PURCHASED AN ANUITY

Product Type:

Alleged Damages: $30,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 95-02313
Date Notice/Process Served:	06/19/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/17/1996
Broker Statement	SETTLED FOR $21,250 IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOT MAKE ANY MONETARY PAYOUT.

End of Report

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