

BrokerCheck Report

JOHN JOSEPH GRAVES

CRD# 715944

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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



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.

**JOHN J. GRAVES**

CRD# 715944

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

IA HUNTLEIGH ADVISORS, INC.
 7800 Forsyth Blvd.
 5th Floor
 St. Louis, MO 63105
 CRD# 113412
 Registered with this firm since: 10/03/2017

B HUNTLEIGH SECURITIES CORPORATION
 7800 FORSYTH BLVD.
 5TH FLOOR
 ST. LOUIS, MO 63105
 CRD# 7456
 Registered with this firm since: 11/22/2004

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
- 20 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 OPPENHEIMER & CO. INC.**
 CRD# 249
 NEW YORK, NY
 03/1990 - 11/2004
- B B.C. CHRISTOPHER SECURITIES CO.**
 CRD# 60
 KANSAS CITY, MO
 12/1988 - 03/1990
- B PAINEWEBBER INCORPORATED**
 CRD# 8174
 07/1986 - 12/1988

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 1 SRO and is licensed in 20 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**

Main Office Address: **7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105**

Firm CRD#: **113412**

	U.S. State/ Territory	Category	Status	Date
IA	Missouri	Investment Adviser Representative	Approved	10/03/2017
IA	Virginia	Investment Adviser Representative	Approved	02/13/2020

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

7800 Forsyth Blvd.
5th Floor
St. Louis, MO 63105

Employment 2 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**

Main Office Address: **7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105**

Firm CRD#: **7456**

Broker Qualifications



Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	11/22/2004

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	11/18/2010
B Arizona	Agent	Approved	08/12/2009
B Colorado	Agent	Approved	06/28/2017
B Florida	Agent	Approved	10/14/2005
B Georgia	Agent	Approved	12/17/2018
B Illinois	Agent	Approved	11/22/2004
B Iowa	Agent	Approved	11/22/2004
B Minnesota	Agent	Approved	01/12/2011
B Mississippi	Agent	Approved	11/22/2004
B Missouri	Agent	Approved	11/22/2004
B Nebraska	Agent	Approved	02/24/2011
B New Jersey	Agent	Approved	11/22/2004
B North Carolina	Agent	Approved	11/22/2004
B North Dakota	Agent	Approved	02/22/2013
B Ohio	Agent	Approved	02/14/2012
B Rhode Island	Agent	Approved	08/18/2015
B Texas	Agent	Approved	07/27/2006
B Utah	Agent	Approved	07/20/2021
B Virginia	Agent	Approved	01/18/2011

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory		Category	Status	Date
B	Wisconsin	Agent	Approved	06/28/2016

Branch Office Locations

HUNTLEIGH SECURITIES CORPORATION
7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	09/20/1980

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/17/2017
B Uniform Securities Agent State Law Examination	Series 63	09/05/1980

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 03/1990 - 11/2004	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 12/1988 - 03/1990	B.C. CHRISTOPHER SECURITIES CO.	60	KANSAS CITY, MO
B 07/1986 - 12/1988	PAINWEBBER INCORPORATED	8174	
B 09/1980 - 07/1986	PRUDENTIAL-BACHE SECURITIES INC.	7471	

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
09/2017 - Present	Huntleigh Advisors, Inc.	Advisor Representative	Y	St. Louis, MO, United States
11/2004 - Present	HUNTLEIGH SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	ST. LOUIS, MO, 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.
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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 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

Reporting Source: Regulator

Regulatory Action Initiated By: MARYLAND DIVISION OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/22/1995

Docket/Case Number:

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

Product Type:

Other Product Type(s):

Allegations: THE DIVISION ALLEGED GRAVES FAILED TO RESPOND TO REQUESTS FOR INFORMATION IN CORRESPONDENCE FORM AND AN ORDER TO SHOW CAUSE. THE ORDER PROVIDED THAT FAILURE TO WITHDRAW ITS AGENT APPLICATION OR REQUEST A HEARING WITHIN 15 DAYS FROM THE DATE OF RECEIPT WOULD RESULT IN A FINAL ORDER OF DENIAL BEING ISSUED.



Current Status: Final

Resolution: Order

Resolution Date: 03/22/1995

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: NO REQUEST FOR A HEARING WAS RECEIVED.
APPLICATION FOR AGENT REGISTRATION IS DENIED.

Regulator Statement REGISTRATION DENIED 3/22/95. CONTACT: ELLEN E.
CHERRY, (410) 576-6494.

Reporting Source: Broker

Regulatory Action Initiated By: MARYLAND DIVISION OF SECURITIES

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/22/1995

Docket/Case Number:

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

Product Type:

Other Product Type(s):

Allegations: THE DIVISION ALLEGED AGENT FAILED TO RESPOND
TO REQUESTS FOR INFORMATION IN CORRESPONDENCE FORM AND AN
ORDER
TO SHOW CAUSE. THE ORDER PROVIDED FAILURE TO WITHDRAW IT'S
AGENT APPLICATION OR REQUEST A HEARING WITHIN 15 DAYS FROM THE
DATE OF RECEIPT WOULD RESULT IN A FINAL ORDER OF DENIAL.

Current Status: Final

Resolution: Order

Resolution Date: 03/22/1995

Sanctions Ordered: Revocation/Expulsion/Denial



Other Sanctions Ordered:

Sanction Details:

NO REQUEST FOR A HEARING WAS RECEIVED.
APPLICATION FOR AGENT REGISTRATION IS DENIED.

Broker Statement

NO PROCEEDING SCHEDULED OR HELD. MARYLAND DIV OF
SECURITIES DENIED STATE REGISTRATION PENDING INFORMATION FROM
JANE ESTES, MARY AND HAYNES, WILLIAM MILLS NASD ARBITRATION
HEARING WHICH WAS SETTLED ON 5/23/95 ON ADVICE OF PAINWEBBER
COUNCIL - SEE RECORD. I NEVER RECEIVED A NOTICE REQUESTING
INFO FROM MARYLAND DIVISION OF SECURITIES.



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: PRUDENTIAL SECURITIES INCORPORATED

Allegations: THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES DURING THE PERIOD 2/82 - 2/86. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES NO DAMAGES WERE ALLEGED BUT THE AMOUNTS OF ACTUAL LOSS (OUT OF POCKET) IS/ARE APPROX \$9,932

Product Type:

Alleged Damages: \$9,932.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: \$29,827.00

Individual Contribution Amount:

Firm Statement

SETTLEMENTS WITH THE ABOVE CLIENTS HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNTS OF THE SETTLEMENTS IS/ARE APPROX \$29,827 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JAN 1 1980 TO JAN 1 1991 THE ABOVE REFERENCED CLIENTS SUBMITTED CLAIM FORMS IN RESPONSE TO THIS MAILING. THE CLAIM FORMS



WAS/WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENTS AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: I WAS EMPLOYED AT PRUDENTIAL SECURITIES FROM 1980 - 1986 I WAS NEVER ADVISED OF THE [CUSTOMER'S] COMPLAINT WHICH AROSE FROM PRUDENTIALS SETTLEMENT WITH THE SEC INVITING INVESTORS TO COMPLAIN ABOUT INVESTMENTS IN PRUDENTIAL SPONSORED L.P.'S

Product Type:

Alleged Damages: \$9,932.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: \$29,827.00

Individual Contribution Amount:

Broker Statement SETTLEMENTS WITH THE ABOVE CLIENT HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT OF SETTLEMENTS ARE APPROX \$29,827 NOT PROVIDED

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when PRUDENTIAL SECURITIES, INC.



activities occurred which led to the complaint:

Allegations: THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 6/85 TO 9/85. THE ABOVE MENTIONED REGISTERED REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE AMOUNT OF ACTUAL LOSS (OUT-OF-POCKET) IS: \$20,554

Product Type:

Alleged Damages: \$20,554.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: \$19,908.00

Individual Contribution Amount:

Firm Statement

A SETTLEMENT FOR THE ABOVE CLIENT HAS REACHED IN THE CLAIMS RESOLUTION PROCESS . THE DOLLAR AMOUNT OF THE SETTLEMENTS IS AS FOLLOWS: \$19,908
THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:

PRUDENTIAL SECURITIES, INC.

Allegations:

I WAS EMPLOYED AT PRUDENTIAL SECURITIES FROM 1980 - 1986. I WAS NEVER ADVISED OF THE [CUSTOMERS'] COMPLAINT. IT AROSE FROM PRUDENTIALS SETTLEMENT WITH THE SEC WHICH INVITED INVESTORS IN ANY PRUDENTIAL SPONSORED L.P. TO COME FORTH AND REGISTER COMPLAINTS.

Product Type:

Alleged Damages: \$20,554.00

Customer Complaint Information

Date Complaint Received: 10/21/1993

Complaint Pending? No

Status: Settled

Status Date: 10/21/1993

Settlement Amount: \$19,908.00

Individual Contribution Amount:

Broker Statement

A SETTLEMENT FOR THE ABOVE CLIENT WAS REACHED IN THE CLAIMS RESOLUTION PROCESS THE DOLLAR AMOUNT OF THE SETTLEMENTS IS AS FOLLOWS: \$19,908 NOT PROVIDED

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations:

ALLEGED MISREPRESENTATION UNSUITABILITY & FRAUD IN CONNECTION WITH PURCHASES OF LPs IN 1987 & 1988. ALLEGED DAMAGES OF \$250K.

Product Type:

Alleged Damages: \$250,000.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/10/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1992-002449

Date Notice/Process Served: 06/24/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/10/1995

Monetary Compensation Amount: \$49,000.00

Individual Contribution Amount:

Firm Statement THE CASE WAS SETTLED FOR \$49K IN ORDER TO AVOID THE EXPENSE & UNCERTAINTIES OF LITIGATION.
PREPARED BY: ALICE K. JUMP (201) 902-6659

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: RECOMMENDING UNSUITABLE INVESTMENTS, MISREPRESENTATION, BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD, ALLEGED AMOUNT \$250,000.

Product Type:

Alleged Damages: \$250,000.00



Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/10/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE; 1992-002449

Date Notice/Process Served: 06/24/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/10/1995

Monetary Compensation Amount: \$49,000.00

Individual Contribution Amount:

Broker Statement THE CASE WAS SETTLED FOR \$49,000 IN ORDER TO AVOID THE EXPENSE & UNCERTAINTIES OF LITIGATION.
Not Provided

Disclosure 4 of 4

Reporting Source: Regulator

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

Allegations: SUITABILITY; MISREPRESENTATION; CHURNING; OMISSION OF FACTS

Product Type:

Alleged Damages: \$400,000.00



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-01826

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/23/1995

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; 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; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

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

Allegations: Alleged unsuitable purchases of LPs. Products include Krupp, Polaris, Geodyne, Dyco, TME, CPA 8 & Boston F.Q.H. Claimants alleged compensatory damages of \$400K & punitives of \$1 million.

Product Type:

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 05/23/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD.; 93-01826

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/23/1995

Monetary Compensation Amount: \$212,000.00

Individual Contribution Amount:

Firm Statement The case was settled for \$300K w/o admitting liability. Claimants executed a full release & transferred the partnerships to PW. The partnerships have an estimated value of \$88K for an estimated net cost to PW of approx. \$212K.
Prepared by: [3rd party]

Reporting Source: Broker

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

Allegations: SUITABILITY, MISREPRESENTATION, CHURNING.
DAMAGES ASKED AMT. COMPENSATORY \$400,000 & PUNITIVE \$1,000,000.

Product Type:

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No



Status: Arbitration/Reparation

Status Date: 05/23/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD.; 93-01826

Date Notice/Process Served: 07/21/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/23/1995

Monetary Compensation Amount: \$212,000.00

Individual Contribution Amount:

Broker Statement

CASE SETTLED FOR \$300,000 WITHOUT ADMITTING LIABILITY. CLAIMANTS EXECUTED A FULL RELEASE, TRANSFERRED THE PARTNERSHIPS TO PAINWEBBER. PAINWEBBER COUNCIL ADVISED ME TO AGREE TO SETTLEMENT AS NO FINDING OF ANY WRONG DOING ON MY PART. THIS ARBITRATION WAS HINDERING PAINE WEBBER'S ATTEMPT TO SETTLE THEIR SUIT WITH THE SEC'S OVER THE MISMANAGMENT AND INAPPROPRIATE MARKETING OF PROPRIETARY LIMITED PARTNERSHIPS IN WHICH THE PLAINTIFF'S FATHER (THEN DECEASED) WAS INVESTED.

End of Report



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