**BrokerCheck Report**

# JOHN WILLIAM MERIWETHER

CRD# 803369

## Dear Investor:

FINRA has generated the following BrokerCheck report for **JOHN WILLIAM MERIWETHER**. The information contained within this report has been provided by a FINRA member firm(s) and securities regulators as part of the securities industry's registration and licensing process and represents the most current information reported to the Central Registration Depository (CRD®) system.

FINRA regulates the securities markets for the ultimate benefit and protection of the investor. FINRA believes the general public should have access to information that will help them determine whether to conduct, or continue to conduct, business with a FINRA member or any of the member's associated persons. To that end, FINRA has adopted a public disclosure policy to make certain types of information available to you. Examples of information FINRA provides on currently registered individuals and individuals who were registered during the past two years include: actions by regulators, investment-related civil suits, customer disputes that contain allegations of sales practice violations against brokers, all felony charges and convictions, misdemeanor charges and convictions relating to securities violations, and financial events such as bankruptcies, compromises with creditors, judgments, and liens. FINRA also provides certain information on individuals whose registrations terminated more than two years ago.

The information in this report is not the only resource you should consult. FINRA recommends that you learn as much as possible about the individual broker or brokerage firm from other sources, such as professional references, local consumer and investment groups, or friends and family members who already have established investment business relationships.

FINRA BrokerCheck is governed by federal law, Securities and Exchange Commission (SEC) regulations and FINRA rules approved by the SEC. State disclosure programs are governed by state law, and may provide additional information on brokers and firms licensed by the state. Therefore, you should also consider requesting information from your state securities regulator. Refer to www.nasaa.org for a complete list of state securities regulators.

**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.

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**JOHN WILLIAM MERIWETHER**

**CRD# 803369**

This individual is no longer registered with FINRA. The individual's registration with FINRA was terminated prior to August 1999 when the enhanced CRD system was implemented. As a result, since the individual was not required to update their CRD record via the submission of a Form U4 to CRD since August 1999, BrokerCheck contains only limited information about this individual.

## Report Summary for this Broker

The report summary provides an overview of the broker's professional background and conduct. The individual broker, a FINRA-registered firm(s), and/or securities regulator(s) have provided the information contained in this report as part of the securities industry's registration and licensing process.

## Broker Qualifications

This broker is not currently registered with a FINRA firm.

This broker has passed:

- 1 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 0 State Securities Law Exams

## Registration History

This broker was previously registered with the following FINRA member firms:

**SALOMON BROTHERS INC.**
CRD# 740
NEW YORK NY
01/03/1975 to 09/17/1991

For additional registration details as reported by the individual broker, refer to the Registration History Section of this report**.**

## Disclosure of Regulatory Events

This section includes details regarding final regulatory events reported by or about this broker to CRD as part of the securities industry registration and licensing process.

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

**The following type of disclosure was reported:**

Regulatory Event

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# Broker Qualifications

## Industry Exams this Broker has Passed

This section includes all principal/supervisory, general product/industry, and/or state securities law exams that the broker has passed. Under certain, limited circumstances, a broker may receive a waiver of an exam requirement based on a combination of previous exams passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on a broker's specific qualifying work experience. Information regarding instances of exam waivers or the grandfathering of an exam requirement are not included as part of the BrokerCheck report.

**This individual has passed 1 principal/supervisory exams, 3 general industry/product exams, and 0 state securities law exam.**

| Exam Class | Exam Name | Category | Date |
|---|---|---|---|
| Principal/Supervisory Exams | Registered Principal Examination | Series 40 | 12/8/1977 |
| General Industry/Product Exams | National Commodity Futures Examination | Series 3 | 2/10/1994 |
| General Industry/Product Exams | Interest Rate Options Examination | Series 5 | 10/21/1981 |
| General Industry/Product Exams | Registered Representative Examination | Series 1 | 12/30/1974 |

Additional information about the securities industry's qualifications and continuing education requirements, as well as the examinations administered by FINRA to brokers and other securities professionals can be found at http://www.finra.org/Industry/Compliance/Registration/QualificationsExams/index.htm.

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# Registration History

## Previously Registered with the Following FINRA Firms

FINRA records show this broker previously held FINRA registrations with the following firms:

| Registration Dates | Firm Name | CRD # | Branch Location |
|---|---|---|---|
| 01/03/1975 to 09/17/1991 | SALOMON BROTHERS INC. | 740 | NEW YORK NY |

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# Disclosure of Regulatory Events

**Disclosures in BrokerCheck reports come from different sources:**

- **Self–disclosure**: Brokers are required to answer a series of questions on their application requesting securities industry registration (Form U4). For example, brokers are asked whether they have been involved in certain regulatory matters.
- **Regulator/Employer postings:** In addition, regulators and firms that have employed a broker also may contribute relevant information about such matters. All of this information is maintained in CRD.

**Certain Thresholds must be met before an event is reported to CRD; for example:**

- **A regulatory agency** must meet established standards before initiating a regulatory action and/or issuing sanctions. These standards typically include a reasonable basis for initiating the action after engaging in a fact-finding process.



Possible multiple reporting sources – please note:

Disclosure event details may be reported by more than one source (i.e., regulator or firm). When this occurs, all versions of the reported event will appear in the firm's BrokerCheck report.

# Disclosure Event Details

This report provides the information as it was reported to CRD by the individual broker, a member firm(s), and/or by securities industry regulators. Some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

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# Regulatory - Final

This section provides information regarding a final, regulatory action that was reported to CRD by the individual broker, a member firm and/or a securities regulator. The event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a self-regulatory organization, a federal regulator such as the SEC or the Commodity Futures Trading Commission (CFTC), or a foreign financial regulatory body) for a violation of investment-related rules or regulations.

## Disclosure 1 of 1 ~ Entry 1 of 2

**Reporting Source:** **Regulator**

**Details:**

U6 – REGINDVL

02/21/2003

SEC

Rev. Form U6 (08/1999)

U6 - REGULATORY ACTION DRP

This Disclosure Reporting Page is an AMENDED Regulatory Action

1. Regulatory Action initiated by: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

2. Principal Sanction/Relief Sought: Other Sanctions/Relief Sought:

3. Date Initiated (MM/DD/YYYY): 12/03/1992

4. Docket/Case Number: FILE NO. 3-7930

5. Employing Firm when activity occurred which led to the regulatory action: SALOMON BROTHERS INC.

6. Principal Product Type: No Product

Other Product Types:

7. Describe the allegations related to this regulatory action. (The information must fit within the space provided.):

SEC NEWS DIGEST, ISSUE NO. 92-233, ADMINISTRATIVE PROCEEDING RELEASE NO. 34-31554, DATED DECEMBER 3, 1992: THE SEC TODAY ANNOUNCED THE INSTITUTION AND THE SETTLEMENT OF PUBLIC ADMINISTRATIVE PROCEEDINGS AGAINST JOHN W. MERIWETHER PURSUANT TO SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT"). THE PROCEEDINGS RELATE TO THE FAILURE TO SUPERVISE REPRESENTATIVE WITH A VIEW TO PREVENTING VIOLATIONS OF THE FEDERAL SECURITIES LAWS BY REPRESENTATIVE IN CONNECTION WITH THE SUBMISSION OF FALSE BIDS IN AUCTIONS OF U.S. TREAUSRY SECURITIES. THE SEC, IN CONJUNCTION WITH INSTITUTION OF THESE ADMINISTRATIVE PROCEEDINGS, ALSO ISSUED A REPORT OF INVESTIGATION CONCERNING THE SUPERVISORY RESPONSIBILITIES OF

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BROKERAGE FIRM EMPLOYEES IN CERTAIN CIRCUMSTANCES RELEVANT TO THIS MATTER.

8. Current status ? Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved: Order

11. Resolution Date (MM/DD/YYYY): 12/03/1992

12. Resolution Detail:

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

Monetary/Fine Amount: $ 50,000.00

Suspension

B. Other Sanctions Ordered:

C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against the subject, date paid and if any portion of penalty was waived:

RESPONDENT BE, AND HE HEREBY IS: (I) SUSPENDED FROM ASSOCIATING WITH ANY BROKER, DEALER, MUNICIPAL SECURITIES DEALER, INVESTMENT COMPANY OR INVESTMENT ADVISER FOR A PERIOD OF THREE (3) MONTHS; AND (II) ORDERED TO PAY A CIVIL PENALTY AGGREGATING $50,000 OURSUANT TO SECTION 21B(A)(4) OF THE EXCHANGE ACT.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction and the total amount invested.(The information must fit within the space provided.)

## Disclosure 1 of 1 ~ Entry 2 of 2

**Reporting Source:** **Individual**

**Details:**

U4 - INITIAL 09/04/2002 THE GRISWOLD COMPANY, INCORPORATED (32944) Rev. Form U4 (03/2002) REGULATORY ACTION DRP

This Disclosure Reporting Page is an INITIAL response to report details for affirmative responses to Questions 14C, 14D, 14E, 14F and 14G(1) on Form U-4;

1. Regulatory Action initiated by: SECURITIES EXCHANGE COMMISSION AND THE DEPARTMENT OF JUSTICE.

2. Principal Sanction: Suspension

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Other Sanctions: SUSPENSION FROM ASSOCIATING WITH ANY BROKER, DEALER, MUNICIPAL SECURITIES DEALER, INVESTMENT COMPANY OR INVESTMENT ADVISOR FOR A PERIOD OF THREE (3) MONTHS. ALSO ORDERED TO PAY $50,000 CIVIL PENALTY.

3. Date Initiated (MM/DD/YYYY): 12/03/1992

4. Docket/Case Number: SEC RELEASE NO. 31554 ADMIN FILE 3-7930

5. Employing Firm when activity occurred which led to the regulatory action: SALOMON BROTHERS

6. Principal Product Type: Debt - Government  Other Product Types:

7. Describe the allegations related to this regulatory action. (Your information must fit within the space provided.):

IN AUGUST, 1991, MR. MERIWETHER WAS A DIRECTOR OF SALOMON BROTHERS WHICH WAS THE SUBJECT OF PROCEEDINGS BY THE SEC AND THE DEPT. OF JUSTICE. ON 8/18/1991, MR. MERIWETHER RESIGNED HIS POSITION AT SALOMON BROTHERS AFTER AN INTERNAL INVESTIGATION UNCOVERED IRREGULARITIES AND RULE VIOLATIONS IN CONNECTION WITH THE SUBMISSION OF BIDS BY AN EMPLOYEE IN CERTAIN AUCTIONS IN U.S. TREASURY SECURITIES. MR. MERIWETHER SUBSEQUENTLY CONSENTED TO THE ENTRY OF AN ORDER BY THE SEC, DATED 12/3/1992, IN WHICH THE SEC MADE FINDINGS OF FACT (WHICH MR. MERIWETHER NEITHER ADMITTED NOR DENIED) AND CONCLUDED THAT HE AND OTHER SENIOR OFFICERS HAD FAILED TO REASONABLY SUPERVISE THE EMPLOYEE WITH A VIEW TO PREVENTING VIOLATIONSOF THE FEDERAL SECURITIES LAWS.

8. Current status ? Final

9. If on appeal, regulatory action appealed to: (SEC, SRO, Federal or State Court) and Date Appeal Filed:

If Final or On Appeal, complete all items below. For Pending Actions, complete Item 13 only.

10. How was matter resolved: Consent

11. Resolution Date (MM/DD/YYYY): 12/03/1992

12. Resolution Detail:

A. Were any of the following Sanctions Ordered? (Check all appropriate items):

Monetary/Fine Amount: $ 50,000.00

Suspension

B. Other Sanctions Ordered: ORDERED TO PAY $50,000 CIVIL PENALTY, WHICH WAS PAID BY MR. MERIWETHER IN DECEMBER, 1992.

C. Sanction detail: if suspended, enjoined or barred, provide duration including start date and capacities affected (General Securities Principal, Financial Operations Principal, etc.). If requalification by exam/retraining was a condition of the sanction, provide length of time given to requalify/retrain, type of exam required and whether condition has been satisfied. If disposition resulted in a fine, penalty, restitution, disgorgement or monetary compensation, provide total amount, portion levied against you, date paid and if any portion of penalty was waived:

SUSPENSION FROM ASSOCIATING WITH ANY BROKER, DEALER, MUNICIPAL SECURITIES DEALER, INVESTMENT COMPANY OR INVESTMENT ADVISOR FOR A PERIOD OF THREE (3) MONTHS.

13. Provide a brief summary of details related to the action status and (or) disposition and include relevant terms, conditions and dates. (Your information must fit

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within the space provided.)

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# About this BrokerCheck Report

BrokerCheck reports are part of a FINRA initiative to disclose information about FINRA-registered firms and individual brokers to help investors determine whether to conduct, or continue to conduct, business with these firms and brokers. The information contained within these reports is collected through the securities industry's registration and licensing process.

**Who provides the information in BrokerCheck?**
Information made available through BrokerCheck is obtained from CRD as reported through the industry registration and licensing process.

The forms used by brokerage firms, to report information as part of the firms registration and licensing process, Forms BD and BDW, are established by the SEC and adopted by all state securities regulators and SROs. FINRA and the North American Securities Administrators Association (NASAA) establish the Forms U4 and U5, the forms that are used for the registration and licensing process for individual brokers. These forms are approved by the SEC. Regulators report disciplinary information for firms and individual brokers via Form U6.

**How current is the information contained in BrokerCheck?**
Brokerage firms and brokers are required to keep this information accurate and up-to-date (typically not later than 30 days after learning of the event). BrokerCheck data is updated when a firm, broker, or regulator submits new or revised information to CRD. Generally, updated information is available on BrokerCheck Monday through Friday.

**What information is NOT disclosed through BrokerCheck?**
Information that has not been reported to CRD or that is not required to be reported is not disclosed through BrokerCheck, such as vacated regulatory actions.

Additional information not disclosed through BrokerCheck includes Social Security Numbers, residential history information, and physical descriptive information. On a case-by-case basis, FINRA reserves the right to exclude information that contains confidential customer information, offensive and potentially defamatory language or information that raises significant identity theft or privacy concerns that are not outweighed by investor protection concerns. FINRA Rule 8312 describes in detail what information is and is not disclosed through BrokerCheck.

Under FINRA's current public disclosure policy, in certain limited circumstances, most often pursuant to a court order, information is expunged from CRD. Further information about expungement from CRD is available in FINRA Notices 99-09, 99-54, 01-65, and 04-16 at www.finra.org.

For further information regarding FINRA's BrokerCheck program, please visit FINRA's Web Site at www.finra.org/brokercheck or call the FINRA BrokerCheck Hotline at (800) 289-9999. The hotline is open Monday through Friday from 8 a.m. to 8 p.m., Eastern Time (ET).

For more information about the following, select the associated link:

- About BrokerCheck Reports: http://www.finra.org/brokercheck_reports
- Glossary**:** http://www.finra.org/brokercheck_glossary
- Questions Frequently Asked about BrokerCheck Reports: http://www.finra.org/brokercheck_faq
- Terms and Conditions: http://brokercheck.finra.org/terms.aspx

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