

BrokerCheck Report

ROBERT LEE LINK

CRD# 820264

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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:
 - 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.

ROBERT L. LINK

CRD# 820264

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B HUNTLEIGH SECURITIES CORPORATION**
CRD# 7456
ST. LOUIS, MO
11/1997 - 07/2021
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
06/1992 - 10/1997
- B PAINEWEBBER INCORPORATED**
CRD# 8174
WEEHAWKEN, NJ
07/1990 - 06/1992

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
Customer Dispute	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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, 3 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 AMEX Put and Call Exam	PC	11/05/1986
B General Securities Representative Examination	Series 7	03/20/1976

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	02/15/2012
B Uniform Securities Agent State Law Examination	Series 63	02/11/1980

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 11/1997 - 07/2021	HUNTLEIGH SECURITIES CORPORATION	7456	ST. LOUIS, MO
B 06/1992 - 10/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B 07/1990 - 06/1992	PAINEWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 04/1988 - 07/1990	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY
B 11/1986 - 04/1988	E. F. HUTTON & COMPANY INC	235	
B 01/1984 - 10/1986	DEAN WITTER REYNOLDS INC.	7556	
B 08/1982 - 01/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B 05/1977 - 08/1982	R. ROWLAND & CO., INCORPORATED	911	
B 04/1976 - 06/1977	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	

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
10/1997 - Present	HUNTLEIGH SECURITIES CORPORATION	NOT PROVIDED	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.

Registration and Employment History



Other Business Activities, continued

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
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	E.F. HUTTON & COMPANY
Allegations:	CUSTOMER V. MEMBER AND NON-MEMBERS FOR SUITABILITY MISREPRESENTATION FRAUD. DAMAGES: \$50,000.00. COUNTERCLAIM AGAINST [CUSTOMER] FOR \$10,477.48 DEBIT BALANCE IN COMMODITY TRADING, ACCOUNT
Product Type:	
Alleged Damages:	\$50,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NYSE - CASE #N/A
Date Notice/Process Served:	11/02/1988
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	06/29/1989
Disposition Detail:	AWARD AGAINST PARTY RESPONDENTS E.F. HUTTON & CO. AND ROBERT LINK SHALL PAY CLAIMANT [CUSTOMER] THE TOTAL SUM OF \$1436.00 REPRESENTING AN AWARD ON THE CLAIMANT THE AMOUNT OF \$11,813.00



MINUS \$10,477.00 OWED TO RESPONDENT ON THE COUNTERCLAIM, AND RESPONDENTS E.F. HUTTON AND ROBERT LINK SHALL PAY CLAIMANT [CUSTOMER] THE TOTAL SUM OF \$12,301.00. COSTS PAYABLE TO NYSE IN THE SUM OF \$800.00 IS ASSESSED AGAINST RESPONDENT E.F. HUTTON. **CLAIMANTS AGREE TO WITHDRAW COMMODITY CLAIM PENDING BEFORE THE NFA AND SUBMIT THOSE ISSUES TO THIS PANEL.*

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

E.F. HUTTON & COMPANY

Allegations:

PLAINTIFF OPENED SECURITIES AND COMMODITIES ACCOUNTS WITH HUTTON IN OCTOBER, 1986. THEY CLAIM THAT ACCOUNT EXECUTIVES [THIRD PARTY] AND ROBERT LINK ENGAGED IN TRANSACTIONS UNSUITABLE FOR PLAINTIFFS' INVESTMENT OBJECTIVES AND MISREPRESENTED THE INVESTMENTS AND THE DEGREES OF RISK INVOLVED.

ALLEGED COMPENSATORY - \$ 150,000.00
 ACTUAL COMPENSATORY - \$ 38,000.00
 PUNITIVE - \$1,500,000.00

Product Type:**Alleged Damages:**

\$50,000.00

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.:**

NEW YORK STOCK EXCHANGE



Date Notice/Process Served: 11/02/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/29/1989

Monetary Compensation Amount: \$24,114.00

Individual Contribution Amount: \$0.00

Firm Statement SHEARSON PAID THE FULL AMOUNT OF THE AWARD. NEITHER [THIRD PARTY] NOR ROBERT LINK CONTRIBUTED. AWARD AMOUNT: \$13,737.00. NOT PROVIDED

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: E.F. HUTTON & COMPANY

Allegations: PLAINTIFF CLAIMED THAT [OTHER FIRM EMPLOYEE] AND ROBERT LINK ENGAGED IN TRANSACTIONS IN THEIR COMMODITIES ACCOUNT THAT WERE UNSUITABLE FOR PLAINTIFFS' INVESTMENT OBJECTIVES, MISREPRESENTED THE INVESTMENTS AND DEGREE OF RISK INVOLVED. ALLEGED COMPENSATORY \$150,000. ACTUAL COMPENSATORY \$38,000. PUNITIVE \$1,500,000.

Product Type: Futures - Commodity

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 07/13/1987

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/17/1989

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NEW YORK STOCK EXCHANGE

Date Notice/Process Served: 11/02/1988

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/29/1989

**Monetary Compensation
Amount:** \$24,114.00

**Individual Contribution
Amount:** \$0.00

Broker Statement AWARDED \$13,737. SHEARSON PAID THE FULL AMOUNT
WITH NO CONTRIBUTION FROM ROBERT LINK OR [OTHER FIRM
EMPLOYEE]. NO
DISCIPLINARY ACTION TAKEN AGAINST ROBERT LINK.
THE FIRM'S INVESTIGATION DETERMINED THAT THE
COMPLAINT WAS WITHOUT MERIT. THERE ARE NO CUSTOMER
COMPLAINTS ON
FILE WITH THE FIRM AGAINST ROBERT LINK. THE FIRM PAID THE FULL
AMOUNT OF AWARD AND NO DISCIPLINARY ACTION WAS TAKEN.

End of Report



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