BrokerCheck Report

BRYAN LEE CLAGGETT

CRD# 820866

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6

Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.

BRYAN L. CLAGGETT

CRD# 820866

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:

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

Registration History

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

B **RIDGEWAY & CONGER, INC.**
CRD# 113055
NEW WOODSTOCK, NY
04/2005 - 09/2006

B **FIRST MIDWEST SECURITIES, INC.**
CRD# 21786
BLOOMINGTON, IL
05/2003 - 04/2005

B **SAL FINANCIAL SERVICES, INC.**
CRD# 18456
BIRMINGHAM, AL
05/2002 - 02/2003

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	4
Customer Dispute	1

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

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.

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

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	08/01/1981

General Industry/Product Exams

Exam		Category	Date
B	General Securities Representative Examination	Series 7	04/10/1976

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	05/02/1981

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/.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Broker Qualifications

Professional Designations

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

No information reported.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	04/2005 - 09/2006	RIDGEWAY & CONGER, INC.	113055	NEW WOODSTOCK, NY
B	05/2003 - 04/2005	FIRST MIDWEST SECURITIES, INC.	21786	BLOOMINGTON, IL
B	05/2002 - 02/2003	SAL FINANCIAL SERVICES, INC.	18456	BIRMINGHAM, AL
B	01/1999 - 05/2002	AMERICAN INVESTMENT SERVICES, INC.	21111	OKLAHOMA CITY, OK
B	09/1992 - 01/1999	BIRCHTREE FINANCIAL SERVICES, INC.	15014	MINNEAPOLIS, MN
B	07/1987 - 06/1992	ROBERT THOMAS SECURITIES, INC	10147	ST. PETERSBURG, FL
B	03/1981 - 06/1987	INVESTMENT MANAGEMENT & RESEARCH, INC	6694	
B	02/1979 - 03/1981	SOUTHLAND SECURITIES, INC.	7493	
B	12/1977 - 02/1979	A. G. EDWARDS & SONS, INC.	4	
B	04/1976 - 01/1978	EDWARD D. JONES & CO., L.P.	250	

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
03/2005 - Present	RIDGEWAY & CONGER, INC.	REGISTERED REP	Y	NEW WOODSTOCK, NY, United States

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	4	0
Customer Dispute	1	N/A

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD N/K/A FINRA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/04/2006
Docket/Case Number:	2005000631501
Employing firm when activity occurred which led to the regulatory action:	INVESTMENT SERVICES, INC., BIRCHTREE FINANCIAL SERVICES, INC., FIRST MIDWEST SECURITIES, INC.
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPES OF SECURITIES
Allegations:	NASD RULES 2110 AND 3050 - RESPONDENT FORGED THE SIGNATURE OF A RELATIVE ON AN ACCOUNT TRANSFER FORM. RESPONDENT ALSO CREATED A DOCUMENT PURPORTING TO BE A FORM 1099 TAX FORM, WHICH SHOWED THE BROKERAGE ACCOUNT HAD A MONEY MARKET POSITION OF APPROXIMATELY $22,000, WHEN THERE WAS NO SUCH POSITION IN THE ACCOUNT. IN ADDITION, RESPONDENT PROVIDED THIS FORM TO A RELATIVE TO INTENTIONALLY DECEIVE HER AS TO THE POSITIONS AND BALANCES IN THE ACCOUNT. MOREOVER, RESPONDENT EXERCISED AUTHORITY OVER A BROKERAGE ACCOUNT, INCLUDING MAKING WITHDRAWALS, BUT FAILED TO DISCLOSE HIS AUTHORITY OVER THE ACCOUNT TO HIS MEMBER FIRM.
Current Status:	Final
Resolution:	Decision

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

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:	10/31/2007
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	NAC DECISION RENDERED SEPTEMBER 28, 2007, WHEREIN HEARING PANEL'S FINDINGS ARE MODIFIED AND SANCTIONS AFFIRMED THAT CLAGGETT FORGED TWO ACCOUNT TRANSFER DOCUMENTS AND PREPARED AND PROVIDED TO CUSTOMER A FALSE FORM 1099. NAC MODIFIED FINDINGS THAT CLAGGETT EXERCISED DISCRETIONARY AUTHORITY OVER THE PARTNERSHIP ACCOUNT FOR PURPOSES OF NASD RULE 3050 AND FIND, INSTEAD, THAT HE HAD A FINANCIAL INTEREST IN THE ACCOUNT. ACCORDINGLY, NAC FOUND THAT CLAGGETT VIOLATED RULES 3050 AND 2110 BY FAILING TO NOTIFY HIS FIRM IN WRITING OF HIS FINANCIAL INTEREST IN THE ACCOUNT. FOR HIS VIOLATIONS INVOLVING FORGERY AND FALSIFICATION, NAC AFFIRMED THE HEARING PANEL'S IMPOSITION OF A BAR. FOR HIS FAILURE TO NOTIFY IN WRITING ABOUT THE PARTNERSHIP ACCOUNT, NO SANCTIONS WERE IMPOSED IN LIGHT OF THE BAR. THE BAR IS EFFECTIVE AS OF SEPTEMBER 28, 2007. NAC ALSO IMPOSED COSTS OF $1,355. DECISION FINAL OCTOBER 31, 2007.
Regulator Statement	HEARING PANEL DECISION RENDERED SEPTEMBER 12, 2006, WHEREIN RESPONDENT IS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY. HEARING PANEL DECISION APPEALED TO THE NATIONAL ADJUDICATORY COUNCIL (NAC) ON OCTOBER 11, 2006.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD DEPT. OF ENFORCEMENT, ATLANTA DISTRICT OFFICE
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	
Date Initiated:	01/04/2006
Docket/Case Number:	2005000631501

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Employing firm when activity occurred which led to the regulatory action:	INVESTMENT MANAGEMENT AND RESEARCH, INC. AND MIDWEST SECURITIES. INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	FORGERY AND FALSIFICATION OF DOCUMENTS; FAILURE TO DISCLOSE AUTHORITY OVER AN ACCOUNT
Current Status:	Pending

Disclosure 2 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	MISSOURI SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/23/1992
Docket/Case Number:	AO-92-28
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	UNSUITABILITY; VIOLATING NASD RULES OF FAIR PRACTICE BY "SELLING AWAY".
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/23/1992
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT ENTERED INTO A CONSENT ORDER WHEREBY

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

REGULATIONS.

Regulator Statement Not Provided

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF MISSOURI OFFICE OF SECRETARY OF STATE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/23/1992

Docket/Case Number: AO-92-28

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

Product Type:

Other Product Type(s):

Allegations: APPLICATION TO REGISTER AS SECURITY AGENT WAS DENIED BY STATE OF FLORIDA SEPTEMBER 9, 1992

Current Status: Final

Resolution: Consent

Resolution Date: 11/23/1992

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: RESPONDENT STATED HE HAS READ AND WILL COMPLY WITH MO 15 CSR 30-51.169 AND MO 14 CSR 30-51.170

Broker Statement MY CRD WITH THE NASD HAS NO RESTRICTIONS.
SETTLING, NASD NEW 678 PREJUDICED MY REGISTRAITON WITH THE STATE OF FLORIDA. FLORIDA USED THE SETTLEMENT AS PRIMA FACIA EVIDENCE TO ISSUE A DENIAL FOR REGISTRATION. CORPORATE COUNCIL FOR RAYMOND JAMES SUGGESTED AN INFORMAL HEARING. THE HEARING
OFFICER WAS THE SAME PERSON WHO HAD ISSUED THE DENIAL. INFORMAL

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

HEARING CANNONT BE APPEALED. THE FLORIDA DENIAL ALL RELATED TO THE NASD SETTLEMENT. MISSOURI TALKED WITH THE SECURITY DEPARTMENT FOR ADDITIONAL BACKGROUND INFORMATION. UPON COMPLETION, THE STATE OF MISSOURI REGISTERED ME IN MISSOURI.

Disclosure 3 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA DIVISION OF SECURITIES AND INVESTOR PROTECT*See FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/04/1991
Docket/Case Number:	1504-S-5/91
Employing firm when activity occurred which led to the regulatory action:	ROBERT THOMAS SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	ON 4-10-92, THE STATE OF FLORIDA ISSUED A FINAL ORDER IN THE MATTER OF BRYAN L. CLAGGETT AS AN ASSOCIATED PERSON OF ROBERT THOMAS SECURITIES, INC. SHOULD YOU NEED ADDITIONAL INFORMATION, CONTACT PAM EPTING AT (904) 488- 9805
Current Status:	Final
Resolution:	Order
Resolution Date:	04/10/1992
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	THE ORDER SERVES AS A FINAL ORDER DENYING REGISTRATION OF SUBJECT INDIVIDUAL AS AN ASSOCIATED PERSON.
Regulator Statement	Not Provided

Reporting Source:	Broker

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Regulatory Action Initiated By:	STATE OF FLORIDA, DEPARTMENT OF BANKING, DIVISION OF SECURITIES
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/04/1991
Docket/Case Number:	1504-S-5/91
Employing firm when activity occurred which led to the regulatory action:	ROBERT THOMAS SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	SEPTEMBER 4, 1991, STATE OF FLORIDA DENIED APLICATION OF REGISTRATION AS AN ASSOCIATED PERSON OF ROBERT THOMAS SECURITIES, INC.
Current Status:	Final
Resolution:	Order
Resolution Date:	04/10/1992
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	DENIED REISTRATION AS AN ASSOCIATED PERSON OF ROBERT THOMAS SECURITIES IN FLORIDA
Broker Statement	ORIGINAL REQUEST MADE 10-4-89. VOLUNTARY WITHDREW DUE TO PENDING NEW-678. REAPPLIED JANUARY 1991. WAS NOT GIVEN NORMAL PROFESSIONAL COURTESY TO WITHDRAW BEFORE 9-4-91 INITIAL DENIAL. APPEARED WITHOUT COUNCIL BELIEVING INFORMAL JEARING WAS INFORMAL AND WOULD BE INFORMED OF OPTIONS. WAS NOT TOLD HEARING WOULD NOT CHANGE DEPARTMENTS'S INITIAL DENIAL NOR WAS I ADVISED OF ANY WITHDRAWAL OPTIONS. WAS NOT ADVISED OF THE IMPACT FINAL DENIAL LETTER 4/10/92 HAD ON CRD.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Disclosure 4 of 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/01/1989
Docket/Case Number:	NEW-678
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/02/1990
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. NEW-678 FILED MAY 1, 1989 BY DISTRICT NO. 5 AGAINST RESPONDENT BRYAN L. CLAGGETT ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2 AND 34, APPENDIX F (SUBSECTION 3) OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT CLAGGETT OFFERED AND SOLD SECURITIES WHICH WERE OUTSIDE THE REGULAR COURSE OF HIS EMPLOYMENT WITH HIS MEMBER FIRM, RESPONDENT FAILED TO GIVE PRIOR WRITTEN NOTICE OF THESE TRANSACTIONS TO RESPONDENT MEMBER IN CONTRAVENTION OF THE BOARD OF GOVERNORS' INTERPRETATION ON PRIVATE SECURITIES TRANSACTIONS; RECOMMENDED TWELVE (12)

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

PUBLIC
DIRECT PARTICIPATION PROGRAMS TO A PUBLIC CUSTOMER AND CAUSED THESE SECURITIES TO BE PURCHASED FOR THE CUSTOMER'S ACCOUNT WITHOUT REASONABLE GROUNDS FOR SUCH RECOMMENDATION.

DECISION RENDERED NOVEMBER 2, 1990, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT CLAGGETT WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED $5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR ONE
(1) DAY. 1/2/91 PRESS RELEASE: THE SUSPENSION WILL COMMENCE JANUARY 2, 1991 AND WILL CONCLUDE JANUARY 2, 1991.
$5,000.00 PAID ON 1/11/91 INVOICE# 90-05-1257

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD-DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT NO. 5.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/01/1989
Docket/Case Number:	NEW-678
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	FIRST CAUSE OF COMPLAINT- A VIOLATION OF ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULE OF FAIR PRACTICE. SECOND CAUSE OF COMPLAINT- SEPARATE AND DISTINCT VIOLATIONS OF ARTICLE III, SECTIONS 1,2,34, APPENDIX F, SUBSECTION 3 OF THE ASSOCIATION RULES OF FAIR PRACTICE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	11/02/1990
Sanctions Ordered:	Censure

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Monetary/Fine $5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT, BRYAN L. CLAGGET, ON SEPTMEMBER 6, 1990 WAS ACCEPTED BY THE ASSOCIATION. MR. CLAGGETT WAS FOUND TO HAVE VIOLATED ARTICLE III, SECTIONS 1,2, AND 34, APPENDIX, F, SUBSECTION 3 OF THE ASSOCIATIONS RULES OF FAIR PRACTICE. HE WAS CENSURED, FINED $5,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE
ASSOCIATION IN ANY CAPACITY FOR ONE (1) DAY. (CHANGE) - SUSPENSION COMMENCED WITH THE OPENING OF BUSINESS ON JANUARY 2,
1991 AND CONCLUDED AT THE CLOSE OF BUSINESS JANUARY 2, 1991.

Broker Statement Not Provided

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

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 named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SOUTHLAND SECURITIES, INC.
Allegations:	STATEMENT OF CLAIM FILED WITH NASD IN DECEMBER 1985. THE CUSOTMERS SOUGHT MONETARY DAMAGES IN THE SUM OF $20,000 BASED UPON THEIR ALLEGATIONS OF MISREPRESENTATIONS AND UNTRUE STATEMENTS OF MATERIAL FACTS.
Product Type:	
Alleged Damages:	$20,000.00

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.; 86-427
Date Notice/Process Served:	12/13/1985
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/20/1987
Monetary Compensation Amount:	$2,835.55

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

Individual Contribution Amount:	$3,135.55
Broker Statement	RESPONDENT WAS LIABLE FOR AND SHALL PAY CLAIMANTS THE SUM OF $2,835.55 INCLUSIVE OF INTEREST; CLAIM AGAINST SHOUTHLAND SECURITIES INC. IS DISMISSED IN ALL RESPECTS; CROSS-CLAIM OF RESPONDENT BRYAN L. CLAGGETT IS DISMISSED IN ALL RESPECTS; 300 FILING FEE REFUNDED TO CLAIMANTS AND ASSESSED AGAINST RESPONDENT CLAGGETT AND ANY ADDITIONAL COSTS, INCLUDING ATTORNEY FEES TO BE BORNE BY THE RESPECTIVE PARTIES. NO FINDING OF FACT WAS DETERMINED BY PANEL.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.

End of Report

This page is intentionally left blank.

©2024 FINRA. All rights reserved. Report about BRYAN L. CLAGGETT.