

BrokerCheck Report

ROBERT D WILLIAMS

CRD# 826960

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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.

**ROBERT D. WILLIAMS**

CRD# 826960

Currently employed by and registered with the following Firm(s):**IA RAYMOND JAMES & ASSOCIATES, INC.**

11551 Ash Street
Suite 250
Leawood, KS 66211
CRD# 705

Registered with this firm since: 03/16/2023

B RAYMOND JAMES & ASSOCIATES, INC.

11551 Ash Street
Suite 250
Leawood, KS 66211
CRD# 705

Registered with this firm since: 03/16/2023

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:**

- 5 Self-Regulatory Organizations
- 15 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****IA OPPENHEIMER & CO. INC.**

CRD# 249
NEW YORK, NY
01/2004 - 03/2023

B OPPENHEIMER & CO. INC.

CRD# 249
LEAWOOD, KS
04/2003 - 03/2023

IA RBC DAIN RAUSCHER INC.

CRD# 31194
NEW YORK, NY
12/1999 - 04/2003

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	3
Termination	1



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 5 SROs and is licensed in 15 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

Main Office Address: **880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716**

Firm CRD#: **705**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/16/2023
B	FINRA	General Securities Sales Supervisor	Approved	03/16/2023
B	NYSE American LLC	General Securities Representative	Approved	03/16/2023
B	NYSE American LLC	General Securities Sales Supervisor	Approved	03/16/2023
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/16/2023
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/16/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	03/16/2023
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/16/2023
B	New York Stock Exchange	General Securities Representative	Approved	03/16/2023
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	03/16/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/16/2023
B	California	Agent	Approved	03/16/2023
B	Colorado	Agent	Approved	03/16/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	03/16/2023
B	Indiana	Agent	Approved	03/16/2023
B	Iowa	Agent	Approved	03/16/2023
B	Kansas	Agent	Approved	03/16/2023
IA	Kansas	Investment Adviser Representative	Approved	03/16/2023
B	Massachusetts	Agent	Approved	11/07/2023
B	Missouri	Agent	Approved	03/16/2023
B	Nevada	Agent	Approved	03/16/2023
B	Ohio	Agent	Approved	03/16/2023
B	Oklahoma	Agent	Approved	03/21/2023
B	Tennessee	Agent	Approved	03/16/2023
B	Texas	Agent	Approved	03/16/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	03/20/2023
B	Wyoming	Agent	Approved	03/16/2023

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.

11551 Ash Street
Suite 250
Leawood, KS 66211



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/07/1984

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	04/19/2006
B AMEX Put and Call Exam	PC	06/28/1977
B General Securities Representative Examination	Series 7	08/21/1976

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/18/1999
B Uniform Securities Agent State Law Examination	Series 63	02/28/1980

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
IA 01/2004 - 03/2023	OPPENHEIMER & CO. INC.	249	LEAWOOD, KS
B 04/2003 - 03/2023	OPPENHEIMER & CO. INC.	249	LEAWOOD, KS
IA 12/1999 - 04/2003	RBC DAIN RAUSCHER INC.	31194	LEAWOOD, KS
B 03/1998 - 04/2003	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY
B 06/1996 - 03/1998	DAIN RAUSCHER INCORPORATED	7600	
B 01/1981 - 06/1996	PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN
B 05/1978 - 02/1981	KIDDER, PEABODY & CO. INCORPORATED	7613	
B 09/1976 - 05/1978	H.O. PEET & CO., INC.	379	

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
03/2023 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Registered Representative	Y	Leawood, KS, United States
04/2003 - 03/2023	FAHNESTOCK & CO., INC.	REGISTERED REPRESENTATIVE	Y	KANSAS CITY, 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	3	N/A
Termination	N/A	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.

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:	NASD
Sanction(s) Sought:	
Date Initiated:	12/28/2005
Docket/Case Number:	E042003033303
Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER INC.
Product Type:	No Product
Allegations:	NASD CONDUCT RULES 2110 AND 3010-RESPONDENT FAILED TO EXECUTE HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES BECAUSE HE DID NOT REQUIRE A REPRESENTATIVE TO FOLLOW THE STEPS SET FORTH IN THE PROCEDURES
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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:	12/28/2005
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$10,000. FINES PAID.
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Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/28/2005
Docket/Case Number:	EO420030333-03
Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD CONDUCT RULES 2110 AND 3010-RESPONDENT FAILED TO EXECUTE HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES BECAUSE HE DID NOT REQUIRE A REPRESENTATIVE TO FOLLOW THE STEPS SET FORTH IN THE PROCEDURES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/28/2005
Sanctions Ordered:	Censure



Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT
CONSENTED TO THE DISCRIBED SANCTION AND TO THE ENTRY OF
FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$10,000.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER
Allegations:	CLIENT REQUESTS REIMBURSEMENT OF FEES-IN-LIEU OF COMMISSIONS, MARGIN INTEREST AND REIMBURSEMENT OF LOSSES RELATED TO HIS OCTOBER 2001 INVESTMENT IN FIDELITY ADVISOR FUNDS. CLIENT CLAIMS BOB WILLIAMS MADE TRADES AND USED MARGIN WITHOUT HIS AUTHORIZATION. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF \$5000.
Product Type:	Other
Other Product Type(s):	MANAGED/WRAP ACCOUNTS; MUTUAL FUNDS
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	12/17/2003
Complaint Pending?	No
Status:	Settled
Status Date:	02/16/2004
Settlement Amount:	\$8,500.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER
Allegations:	CLIENT REQUESTS REIMBURSEMENT OF FEES-IN-LIEU OF COMMISSIONS, MARGIN INTEREST AND REIMBURSEMENT OF LOSSES RELATED TO HIS OCTOBER 2001 INVESTMENT IN FIDELITY ADVISOR FUNDS. CLIENT CLAIMS BOB WILLIAMS MADE TRADES AND USED MARGIN WITHOUT HIS



AUTHORIZATION. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF \$5000.

Product Type: Other

Other Product Type(s): MANAGED/WRAP ACCOUNTS; MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/17/2003

Complaint Pending? No

Status: Settled

Status Date: 02/16/2004

Settlement Amount: \$8,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Regulator

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

Allegations: EXECUTIONS-FAILURE TO EXECUTE; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$12,263.37

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02117

Date Notice/Process Served: 08/30/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/27/1996

**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;
 ATTORNEY'S FEES, 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 MONETARY RELIEF, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC,
 AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:

Firm

**Employing firm when
activities occurred which led
to the complaint:**

PIPER JAFFRAY, INC.

Allegations:

ALLEGED FAILURE TO EXECUTE;BREACH OF
 FIDUCIARY DUTY;BREACH OF CONTRACT & NEGLIGENCE DAMAGES
 SOUGHT:
 \$12,263.37.

Product Type:**Alleged Damages:**

\$12,263.37

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.; 94-02117



Date Notice/Process Served: 08/30/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/27/1996

Monetary Compensation Amount: \$12,000.00

Individual Contribution Amount:

Firm Statement THE ARBITRATION WAS DISMISSED. BECAUSE OF THE ANTICIPATED COST AND UNCERTAINTY OF ARBITRATION, [CUSTOMER] WAS PAID \$12,000 FOR RELEASE OF ALL CLAIMS. APPLICANT WAS NAMED IN HIS CAPACITY AS BRANCH MANAGER. THIS WAS NOT AGAINST HIM AS AN INDIVIDUAL INVESTMENT EXECUTIVE.

Reporting Source: Broker

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

Allegations: ALLEGED FAILURE TO EXECUTE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT AND NEGLIGENCE RESULTING IN DAMAGES OF \$12,263.37.

Product Type:

Alleged Damages: \$12,263.37

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.; 94-02117
Date Notice/Process Served:	08/30/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/27/1996
Monetary Compensation Amount:	\$12,000.00
Individual Contribution Amount:	
Broker Statement	THE ARBITRATION WAS DISMISSED BECAUSE OF THE ANTICIPATED COST AND UNCERTAINTY OF ARBITRATION. CUSTOMER DIST NO 5 WAS PAID \$12,000.00 BY PIPER JAFFRAY, MR. WILLIAM'S FORMER EMPLOYER, FOR RELEASE OF ALL CLAIMS. MR. WILLIAMS WAS NOT THE INVESTMENT EXECUTIVE FOR THIS ACCOUNT BUT WAS NAMED IN THIS ARBITRATION IN HIS CAPACITY AS BRANCH MANAGER.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER

Allegations: CLIENT REQUESTS REIMBURSEMENT OF LOSSES STEMMING FROM MR. WILLIAMS UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY OTC

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 10/26/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER

Allegations: CLIENT REQUESTS REIMBURSEMENT OF LOSSES STEMMING FROM MR. WILLIAMS UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Equity - OTC

Alleged Damages: \$20,000.00



Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 10/26/2004

Settlement Amount:

**Individual Contribution
Amount:**



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Employer Name: RBC DAIN RAUSCHER
Termination Type: Discharged
Termination Date: 04/25/2003
Allegations: FAILURE TO FOLLOW INSTRUCTIONS AS BRANCH MANAGER
Product Type: No Product
Other Product Types:

Reporting Source: Broker
Employer Name: RBC DAIN RAUSCHER
Termination Type: Discharged
Termination Date: 04/25/2003
Allegations: FAILURE TO FOLLOW INSTRUCTIONS AS BRANCH MANAGER
Product Type: No Product
Other Product Types:

End of Report



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