

BrokerCheck Report

DENNIS STEPHEN OLESZKOWICZ

CRD# 837970

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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.



DENNIS S. OLESZKOWICZ
CRD# 837970

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

- B

UBS FINANCIAL SERVICES INC.
325 N OLD WOODWARD AVE
SUITE 200
BIRMINGHAM, MI 48009
CRD# 8174
Registered with this firm since: 05/02/2003
- IA

UBS FINANCIAL SERVICES INC.
712 SOUTH EAST OCEAN BLVD.
GROUND FLOOR
STUART, FL 34994
CRD# 8174
Registered with this firm since: 09/12/2003

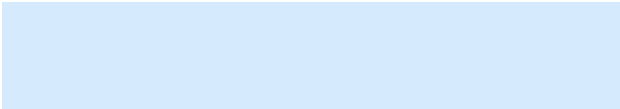
Report Summary for this Broker

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:

- 10 Self-Regulatory Organizations
- 38 U.S. states and territories



This broker has passed:

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

Registration History

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

- B

CITIGROUP GLOBAL MARKETS INC.
CRD# 7059
NEW YORK, NY
07/1993 - 05/2003
- IA

CITIGROUP GLOBAL MARKETS INC.
CRD# 7059
NEW YORK, NY
07/1993 - 05/2003
- B

LEHMAN BROTHERS INC.
CRD# 7506
NEW YORK, NY
08/1980 - 07/1993

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 10 SROs and is licensed in 38 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086**

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/02/2003
B	FINRA	General Securities Representative	Approved	05/02/2003
B	NYSE American LLC	General Securities Representative	Approved	05/02/2003
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/02/2003
B	NYSE Chicago, Inc.	General Securities Representative	Approved	07/13/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/02/2003
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	05/05/2003

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/02/2003
B	Arizona	Agent	Approved	05/02/2003
B	California	Agent	Approved	05/02/2003

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	08/20/2008
B	Connecticut	Agent	Approved	01/19/2011
B	District of Columbia	Agent	Approved	09/19/2007
B	Florida	Agent	Approved	05/02/2003
IA	Florida	Investment Adviser Representative	Approved	09/12/2003
B	Georgia	Agent	Approved	05/02/2003
B	Hawaii	Agent	Approved	05/29/2019
B	Illinois	Agent	Approved	05/02/2003
B	Indiana	Agent	Approved	05/30/2003
B	Iowa	Agent	Approved	04/13/2009
B	Kentucky	Agent	Approved	02/07/2008
B	Maine	Agent	Approved	02/01/2018
B	Maryland	Agent	Approved	11/18/2008
B	Massachusetts	Agent	Approved	06/30/2004
B	Michigan	Agent	Approved	05/02/2003
IA	Michigan	Investment Adviser Representative	Approved	09/17/2010
B	Minnesota	Agent	Approved	11/30/2011
B	Missouri	Agent	Approved	05/02/2003
B	Nevada	Agent	Approved	05/02/2003
B	New Jersey	Agent	Approved	03/28/2005
B	New Mexico	Agent	Approved	05/02/2003

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	05/02/2003
B	North Carolina	Agent	Approved	05/02/2003
B	Ohio	Agent	Approved	05/02/2003
B	Oklahoma	Agent	Approved	02/19/2010
B	Oregon	Agent	Approved	05/02/2003
B	Pennsylvania	Agent	Approved	05/02/2003
B	Rhode Island	Agent	Approved	08/25/2016
B	South Carolina	Agent	Approved	05/02/2003
B	South Dakota	Agent	Approved	02/13/2018
B	Tennessee	Agent	Approved	05/02/2003
B	Texas	Agent	Approved	05/02/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	08/26/2004
B	Utah	Agent	Approved	05/02/2003
B	Virginia	Agent	Approved	05/02/2003
B	Washington	Agent	Approved	04/05/2011
B	West Virginia	Agent	Approved	05/02/2003
B	Wisconsin	Agent	Approved	07/17/2003

Branch Office Locations

UBS FINANCIAL SERVICES INC.
 325 N OLD WOODWARD AVE
 SUITE 200
 BIRMINGHAM, MI 48009

Broker Qualifications



Employment 1 of 1, continued

UBS FINANCIAL SERVICES INC.
712 SOUTH EAST OCEAN BLVD.
GROUND FLOOR
STUART, FL 34994



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 0 principal/supervisory exams, 5 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 Foreign Currency Options Examination	Series 15	04/25/1986
B Interest Rate Options Examination	Series 5	10/17/1981
B AMEX Put and Call Exam	PC	09/08/1977
B General Securities Representative Examination	Series 7	05/21/1977

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/28/2003
B Uniform Securities Agent State Law Examination	Series 63	05/22/1980

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 07/1993 - 05/2003	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
IA 07/1993 - 05/2003	CITIGROUP GLOBAL MARKETS INC.	7059	SOUTHFIELD, MI
B 08/1980 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 09/1978 - 09/1980	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B 06/1977 - 09/1978	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
05/2003 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	BIRMINGHAM, MI, United States
05/2003 - Present	UBS PAINEWEBBER, INC	FINANCIAL ADVISOR	Y	BIRMINGHAM, MI, 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.

- 1) LOA, INC., 201 S ST JOHN ST HIGHLAND, MI 48356. REAL ESTATE, RENTAL, OWNER, CLIENT OF UBS, START DATE 01/02/1980.
- 2) OLESZKOWICZ JENSEN BEACH CONDO RENTAL / CONDO RENTAL / 9400 S. OCEAN DRIVE JENSEN BEACH, FL 34957 / OWNER / START DATE 06/02/1993 - / 1 HR. PER MONTH.

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.
 -
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:	MICHIGAN
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/19/1983
Docket/Case Number:	83-47-S
Employing firm when activity occurred which led to the regulatory action:	SHEARSON LEHMAN BROTHERS
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	12/19/1993
Sanctions Ordered:	Cease and Desist/Injunction

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

DOCKET NO. 83-47-S, CONSENT ORDER TO CEASE AND DESIST PURSUANT TO THE MICHIGAN UNIFORM SECURITIES ACT WAS ENTERED AGAINST DENNIS OLEXZKOWICZ FOR VIOLATIONS OF THE MICHIGAN SECURITIES ACT, SECTION 204 (A)(1)(Y), IN THAT OLESZKOWICZ SOLD UNREGISTERED SECURITIES.

Reporting Source:

Broker

Regulatory Action Initiated By:

STATE OF MICHIGAN

Sanction(s) Sought:

Other

Other Sanction(s) Sought:**Date Initiated:**

12/19/1983

Docket/Case Number:

83-47-S

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

SHEARSON LEHMAN BROTHERS

Product Type:

Other

Other Product Type(s):**Allegations:**

CONSENT ORDER TO CEASE AND DESIST PURSUANT TO THE MICHIGAN UNIFORM SECURITIES ACT WAS ENTERED AGAINST ME FOR VIOLATIONS OF THE MICHIGAN SECURITIES ACT, SECTION 204(A)(1)(Y), IN THAT I SOLD UNREGISTERED SECURITIES

Current Status:

Final

Resolution:

Consent

Resolution Date:

12/19/1983

Sanctions Ordered:

Cease and Desist/Injunction

Other Sanctions Ordered:

N/A

Sanction Details:

N/A

Broker Statement

DOCKET NO. 83-47-S, CONSENT ORDER TO CEASE AND DESIST PURSUANT TO THE MICHIGAN UNIFORM SECURITIES ACT WAS ENTERED AGAINST I



FOR VIOLATIONS OF THE MICHIGAN SECURITIES ACT, SECTION 204
(A)(1)(Y), IN THAT I SOLD UNREGISTERED 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 3

Reporting Source:	Broker	
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.	
Allegations:	<p>Allegations as stated by Claimant: 9/2020 - 1/2021</p> <p>Time frame:</p> <p>Allegations: Claimants allege that, contrary to the instructions of the Successor Trustee, funds in the inherited accounts were placed into a regular investment account rather than into an Inherited IRA account. Claimants allege they relied upon the Firm to ensure that documentation provided would be consistent with the objective of setting up an Inherited IRA account and deferring taxation on the funds as permitted under the tax code, and due to alleged breaches of fiduciary duty, negligence, negligent misrepresentation, suitability, Reg. BI, and violations of the Michigan Uniform Securities Act ("MUSA") MCL 451.2509, they suffered damages of approximately \$200,000.</p>	
Product Type:	Other: IRA - Equities	
Alleged Damages:	\$200,000.00	
Is this an oral complaint?	No	
Is this a written complaint?	Yes	
Is this an arbitration/CFTC reparation or civil litigation?	Yes	
Arbitration/Reparation forum or court name and location:	FINRA Arbitration	
Docket/Case #:	22-00199	
Filing date of arbitration/CFTC reparation or civil litigation:	02/02/2022	

Customer Complaint Information

Date Complaint Received: 02/02/2022



Complaint Pending?	No
Status:	Settled
Status Date:	07/14/2023
Settlement Amount:	\$92,500.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Time Frame: January 2012-September 2012. Claimant alleges a failure to follow instructions to remove the restricted status of his stock shares, resulting in lost opportunity damages.
Product Type:	Equity-OTC
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	\$50,000+

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-02408
Date Notice/Process Served:	09/17/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/23/2015
Monetary Compensation Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00

**Disclosure 3 of 3**

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS, INC.

Allegations:

Product Type:

Alleged Damages: \$317,240.00

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.; 87-1513

Date Notice/Process Served: 08/01/1987

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/20/1988

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$24,000.00

Broker Statement AN NASD ARBITRATION CLAIM ENTITLED "[CUSTOMER] V. OLESKOWICZ AND SHEARSON LEHMAN BROTHERS, INC." THE CLAIM (#87-1513) WAS COMMENCED BY CUSTOMER [CUSTOMER]



IN AUGUST OF 1987 AND SOUGHT \$317,240 COMPENSATORY DAMAGES AND \$1,000,000 PUNITIVE DAMAGES ARISING FROM LOSSES HE SUSTAINED IN THE PURCHASE AND SALE OF OPTION IN GENENTECH INC. STOCK FROM AUGUST 1986 THROUGH JANUARY 1987. [CUSTOMER] ASSERTED CLAIMS FOR MISREPRESENTATION, SECURITIES FRAUD, COMMON LAW FRAUD AND BREACH OF FIDUCIARY DUTY AND CONTRACT. SPECIFICALLY, [CUSTOMER] ASSERTED THAT MR. OLESKOWICZ TOLD HIM THAT HIS MAXIMUM EXPOSURE IN THE OPTIONS PROGRAM WAS \$50,000. AN INVESTIGATION BY THE FIRM REVEALED THAT WHEN [CUSTOMER] OPENED HIS ACCOUNTS IN 1983, HE HAD A TOTAL NET WORTH OF \$1,500,000 THAT HAD SUBSTANTIALLY INCREASED IN 1986, HAD AN ANNUAL INCOME OF \$100,000 AND WAS 34 YEARS OF AGE. IT WAS ALSO DETERMINED THAT [CUSTOMER] HAD, AT HIS REQUEST, TRADED OPTIONS IN A SIMILAR FASHION FOR AT LEAST 5 YEARS PRIOR TO THE PERIOD HE COMPLAINED OF BOTH AT SHEARSON AND IN HIS ACCOUNTS AT OTHER BROKERAGE FIRMS AND THAT HE ASSISTED MR. OLESKOWICZ IN DESIGNING THE PROGRAM TO TRADE THE GENENTECH OPTIONS. THE FIRM HAS CONCLUDED THAT THERE WERE NO IMPROPRIETIES BY SHEARSON OR MR. OLESKOWICZ WITH RESPECT TO [CUSTOMER] AND NO DISCIPLINARY ACTION HAS BEEN TAKEN AGAINST MR. OLESKOWICZ. HOWEVER, FOR ECONOMIC REASONS A SETTLEMENT OF \$75,000 WAS REACHED ON OCTOBER 20, 1988. MR. OLESKOWICZ HAS AGREED TO CONTRIBUTE \$24,000 TO THE SETTLEMENT. MR. OLESKOWICZ HAS BEEN IN THE BUSINESS FOR OVER TEN YEARS AND THIS IS HIS ONLY COMPLAINT. IT IS ANTICIPATED A GENERAL RELEASE RUNNING TO SHEARSON AND MR. OLESKOWICZ WILL BE EXECUTED SHORTLY.



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: Broker

Employing firm when activities occurred which led to the complaint: UBS Financial Services INC

Allegations: Time Frame: September 09, 2020 to November 25, 2020

What were the allegations against the individual?

The Attorney for the Trustee alleges the FA and CSA failed to transfer the IRA account into a new Inherited IRA, so that the trust could then distribute the assets to the trust beneficiaries over a five year period. The Attorney further alleges this will cause erroneous tax reporting at the end of the year.

Product Type: Other: No Product

Alleged Damages: \$1,803,717.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/25/2020

Complaint Pending? No

Status: Denied

Status Date: 01/14/2021

Settlement Amount:

Individual Contribution Amount:

End of Report



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