

BrokerCheck Report

ROBERT EARL FAULKNER

CRD# 849152

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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 E. FAULKNER**

CRD# 849152

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

IA HUNTLEIGH ADVISORS, INC.
 7800 FORSYTH BLVD
 5TH FLOOR
 ST. LOUIS, MO 63105
 CRD# 113412
 Registered with this firm since: 04/19/2001

B HUNTLEIGH SECURITIES CORPORATION
 7800 FORSYTH BLVD.
 5TH FLOOR
 ST. LOUIS, MO 63105
 CRD# 7456
 Registered with this firm since: 04/07/2000

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:

- 1 Self-Regulatory Organization
- 14 U.S. states and territories

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 SALOMON SMITH BARNEY INC.**
 CRD# 7059
 NEW YORK, NY
 07/1993 - 04/2000
- B LEHMAN BROTHERS INC.**
 CRD# 7506
 NEW YORK, NY
 04/1984 - 07/1993
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 02/1978 - 04/1984

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	2
Customer Dispute	1
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 1 SRO and is licensed in 14 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: HUNTLEIGH ADVISORS, INC.
Main Office Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm CRD#: 113412

	U.S. State/ Territory	Category	Status	Date
IA	Arkansas	Investment Adviser Representative	Approved	04/01/2019
IA	Florida	Investment Adviser Representative	Approved	12/07/2024
IA	Missouri	Investment Adviser Representative	Approved	04/19/2001
IA	New York	Investment Adviser Representative	Approved	12/22/2022

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

7800 FORSYTH BLVD
5TH FLOOR
ST. LOUIS, MO 63105

Employment 2 of 2

Firm Name: HUNTLEIGH SECURITIES CORPORATION
Main Office Address: 7800 FORSYTH BLVD.
5TH FLOOR



Broker Qualifications

Employment 2 of 2, continued

ST. LOUIS, MO 63105

Firm CRD#: 7456

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	04/07/2000

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	05/15/2006
B Arkansas	Agent	Approved	04/07/2000
B California	Agent	Approved	04/07/2000
B Florida	Agent	Restricted Approval	10/24/2000
B Georgia	Agent	Approved	04/26/2000
B Illinois	Agent	Approved	08/25/2006
B Kansas	Agent	Approved	05/02/2000
B Maryland	Agent	Approved	06/22/2017
B Michigan	Agent	Approved	12/19/2012
B Mississippi	Agent	Approved	11/02/2012
B Missouri	Agent	Approved	04/27/2000
B New York	Agent	Approved	12/22/2022
B Texas	Agent	Approved	03/13/2003
B Virginia	Agent	Approved	06/04/2020

Branch Office Locations

HUNTLEIGH SECURITIES CORPORATION

7800 FORSYTH BLVD.

5TH FLOOR

Broker Qualifications



Employment 2 of 2, continued

ST. LOUIS, MO 63105



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 Interest Rate Options Examination	Series 5	12/12/1981
B General Securities Representative Examination	Series 7	02/18/1978

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/23/1992
B Uniform Securities Agent State Law Examination	Series 63	04/16/1980

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 - 04/2000	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B 04/1984 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 02/1978 - 04/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
B 03/1978 - 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
04/2000 - Present	HUNTLEIGH SECURITIES CORPORATION	REPRESENTATIVE	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.

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	2	0
Customer Dispute	0	1	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	07/15/2004
Docket/Case Number:	0400086
Employing firm when activity occurred which led to the regulatory action:	HUNTLEIGH SECURITIES CORPORATION
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENTS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.
Current Status:	Final
Resolution:	Consent



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: 08/23/2004

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: CONSENT ORDER OF WITHDRAWAL

Sanction Details: RESPONDENT WILL WITHDRAW HIS SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR A PERIOD OF TWO YEARS. RESPONDENT WILL ALSO PAY FOR THE COST OF INVESTIGATION.

Regulator Statement NOTICE OF HEARING ISSUED, HEARING SCHEDULED FOR AUGUST 11, 2004. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324. HEARING SCHEDULED ON THIS MATTER IS HEREBY DISMISSED.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/24/2004

Docket/Case Number: 0400086

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

Product Type: Options

Other Product Type(s):

Allegations: STATE OF ILLINOIS IS REQUESTING A HEARING REGARDING THE AMERICAN STOCK EXCHANGE DISCIPLINARY PANEL DECISION IN AMEX CASE NO. 01-02

Current Status: Final

Resolution: Consent



Resolution Date: 08/23/2004

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: CONSENT ORDER OF WITHDRAWAL

Sanction Details: MR. FAULKNER VOLUNTARILY WITHDREW HIS ILLINOIS REGISTRATION AND WILL NOT REAPPLY FOR TWO YEARS. THE FORMAL HEARING ON THE MATTER WAS DISMISSED WITHOUT FURTHER PROCEEDINGS. THE \$500 FINE WAS TO COVER THE COST OF THE INVESTIGATION.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: THE AMERICAN STOCK EXCHANGE IS ALSO SEEKING HEIGHTENED SUPERVISION FOR ROBERT EARL FAULKNER.

Date Initiated: 02/27/2003

Docket/Case Number: 01-02

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

Product Type: Options

Other Product Type(s):

Allegations: ROBERT FAULKNER VIOLATED EXCHANGE RULE 345(A)(4) IN THAT HE FAILED TO REPORT A CUSTOMER COMPLAINT TO HIS EMPLOYER, AND CORRESPONDED WITH A CUSTOMER FROM HIS HOME ADDRESS IN CONTRAVENTION OF THE POLICIES OF HIS EMPLOYER; VIOLATED EXCHANGE RULE 924(A) IN THAT HE EFFECTED TWO UNAUTHORIZED TRADES IN A CUSTOMER ACCOUNT IN MAY 1995; VIOLATED EXCHANGE RULE 341, COMMENTARY .08(5)(2) IN THAT HE GUARANTEED A CUSTOMER AGAINST LOSSES; AND VIOLATED EXCHANGE RULE 341, COMMENTARY .08(5)(9) IN THAT HE FAILED TO INFORM THE EXCHANGE OR HIS EMPLOYER THAT HE BECAME INVOLVED IN LITIGATION AND AN ADMINISTRATIVE PROCEEDING.

Current Status: Final



Resolution:	Decision
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:	12/15/2003
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	FOR FAILING TO REPORT A CUSTOMER COMPLAINT TO HIS FIRM AND CORRESPONDING WITH A CUSTOMER FROM HIS HOME ADDRESS, EFFECTING UNAUTHORIZED TRADES, GUARANTEEING A CUSTOMER AGAINST LOSS, AND FAILING TO INFORM THE EXCHANGE OR HIS FIRM THAT HE HAD BECOME INVOLVED IN LITIGATION AND AN ARBITRATION PROCEEDING, FAULKNER WAS SUSPENDED IN ALL CAPACITIES FOR 90 CALENDAR DAYS AND REQUIRED TO SUBMIT TO A NINE-MONTH PERIOD OF HEIGHTENED SUPERVISION.
Sanction Details:	FAULKNER'S SUSPENSION BEGINS ON JANUARY 31, 2004, AND RUNS THROUGH FRIDAY, APRIL 30, 2004. THE PERIOD OF HEIGHTENED SUPERVISION BEGINS UPON HIS RE-ENTRANCE TO THE INDUSTRY AFTER COMPLETING HIS 90 DAY SUSPENSION.
Regulator Statement	PLEASE CONTACT THE ERIC BROWN, SENIOR ATTORNEY IN THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE, FOR FURTHER DETAILS.

Reporting Source:	Broker
Regulatory Action Initiated By:	AMERICAN STOCK EXCHANGE
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	THE AMEX IS ALSO SEEKING A CENSURE AND HEIGHTENED SUPERVISION FOR MR. FAULKNER.
Date Initiated:	02/27/2003
Docket/Case Number:	01-02
Employing firm when activity occurred which led to the regulatory action:	SALOMON SMITH BARNEY



Product Type:	Options
Other Product Type(s):	
Allegations:	MR. FAULKNER IS CHARGED WITH VIOLATIONS OF EXCHANGE RULES BY EFFECTING TWO UNAUTHORIZED TRANSACTIONS, GUARANTEEING A CUSTOMER AGAINST LOSSES, AND FAILING TO REPORT TO HIS EMPLOYER A CUSTOMER COMPLAINT AND HIS INVOLVEMENT IN LITIGATION
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/04/2004
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	HEIGHTENED SUPERVISION FOR 9 MONTHS
Sanction Details:	90-DAY SUSPENSION, BEGINNING 1/31/04, ENDING 4/30/04
Broker Statement	A TRADE ERROR WAS MADE IN A CUSTOMER'S ACCOUNT, RESULTING IN A LOSS. WHEN THE CUSTOMER WAS INFORMED THAT THE RR WOULD BE CHARGED WITH THE LOSS, HE AND THE RR AGREED TO TRY TO RECOVER THE LOSS BY TRADING THE ACCOUNT - BUT THE ACCOUNT LOST MORE MONEY AND THE CUSTOMER SUED THE FIRM. AFTER SETTLEMENT WITH THE CUSTOMER, THE CASE EVOLVED INTO A REGULATORY ACTION.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY INC.
Allegations:	CLAEMANT ALLEGES THAT ON 5/12/95 AND 5/19/95, FAULKNER ENGAGED IN AUTHORIZED TRADING WITH RESPECT TO MCDONNELL DOUGLAS CALLS. ADDITIONAL ALLEGATIONS INCLUDE FRAUD, BREACH OF FIDUCIARY DUTY, MISPRESENTATION, VIOLATION OF SEC AND NASD RULES AND CONVERSION, AS WELL AS FAILURE TO SUPERVISE.
Product Type:	Options
Alleged Damages:	\$131,933.00

Customer Complaint Information

Date Complaint Received:	02/28/2000
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/28/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD, CASE NUMBER : 00-00567
Date Notice/Process Served:	02/28/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/06/2001
Monetary Compensation Amount:	\$110,000.00



Individual Contribution Amount: \$60,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: CLAIMANT ALLEGES THAT ON 5/12/95 AND 5/19/95, FAULKNER ENGAGED IN UNAUTHORIZED TRADING WITH RESPECT TO MCDONNELL DOUGLAS CALLS. ADDITIONAL ALLEGATIONS INCLUDE FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, VIOLATION OF SEC AND NASD RULES AND CONVERSION, AS WELL AS FAILURE TO SUPERVISE.

Product Type: Options

Alleged Damages: \$131,933.00

Customer Complaint Information

Date Complaint Received: 02/28/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/06/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 00-00567

Date Notice/Process Served: 03/06/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/06/2001

Monetary Compensation Amount: \$110,000.00



Individual Contribution Amount: \$60,000.00



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:	Broker
Employer Name:	SALOMON SMITH BARNEY
Termination Type:	Discharged
Termination Date:	03/28/2000
Allegations:	FAILED TO REPORT CUSTOMER COMPLAINT THAT RESULTED IN ARBITRATION.
Product Type:	Options
Other Product Types:	
Broker Statement	I MADE AN ORDER ENTRY MISTAKE IN MAY 1995 THAT RESULTED IN A DUPED TRADE. CLIENT DID NOT WANT THE TRADE BUT SAID THAT WE COULD WORK IT OUT BY TRADING OVER THE NEXT 4 YEARS. A LOSS OF \$100,000 RESULTED. CLIENT FILED ARBITRATION TO RECOVER LOSS. I FAILED TO REPORT INITIAL AND SUBSEQUENT COMPLAINT.

End of Report



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