

BrokerCheck Report
ARNOLD RILEY
CRD# 849550

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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.

ARNOLD RILEY

CRD# 849550

This broker is not currently registered.



Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

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

Registration History

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

B **LPL FINANCIAL LLC**
CRD# 6413
SUGAR LAND, TX
09/2024 - 12/2024

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
SUGAR LAND, TX
01/2018 - 10/2024

B **RAYMOND JAMES & ASSOCIATES, INC.**
CRD# 705
HOUSTON, TX
07/2005 - 12/2017

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	10

Investment Adviser Representative Information

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

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

Broker Qualifications



Registrations

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

This broker is not currently registered.

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	12/12/1983
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	11/02/1994
B Uniform Securities Agent State Law Examination	Series 63	12/05/1979

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2024 - 12/2024	LPL FINANCIAL LLC	6413	SUGAR LAND, TX
B 01/2018 - 10/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SUGAR LAND, TX
B 07/2005 - 12/2017	RAYMOND JAMES & ASSOCIATES, INC.	705	HOUSTON, TX
B 05/1995 - 07/2005	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 09/1990 - 05/1995	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO
B 04/1990 - 09/1990	LOVETT UNDERWOOD NEUHAUS & WEBB, INC.	22540	
B 08/1987 - 05/1990	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, NY
B 07/1979 - 08/1987	ROTAN MOSLE INC.	727	
B 09/1978 - 07/1979	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
09/2024 - Present	LPL Financial LLC	Registered Representative	Y	Sugar Land, TX, United States
01/2018 - Present	THE NOBLE GROUP	ASSOCIATE/EMPLOYEE	N	SUGAR LAND, TX, United States

Registration and Employment History



Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2018 - 09/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SUGAR LAND, TX, United States
01/2018 - 09/2024	Raymond James Financial Services, Inc	Financial Advisor	Y	Sugar Land, TX, United States
07/2005 - 01/2018	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	HOUSTON, TX, 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 - 09/12/2024 - The Noble Group - DBA for LPL Business (entity for LPL business) - Inv Related - 160 Hours/Month - 8 Hours During Trading - At reported business location(s).

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	10	N/A



Disclosure Event Details

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

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

Customer Dispute - 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 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.
Allegations: CLIENT ALLEGED INVESTMENTS DID NOT MEET HIS OBJECTIVE OF PROVIDING MONTHLY INCOME FOR 10-15 YEARS--10/2000-7/15/2005. DAMAGES UNSPECIFIED.
Product Type: Mutual Fund(s)
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/29/2008

Complaint Pending? No

Status: Settled

Status Date: 07/28/2008

Settlement Amount: \$9,950.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE.** CLIENT ALLEGED INVESTMENTS DID NOT MEET HIS OBJECTIVE OF PROVIDING MONTHLY INCOME FOR 10-15 YEARS - 10/2000 THRU 7/15/2005. DAMAGES UNSPECIFIED.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DOLLAR AMOUNT GIVEN - FIRM ESTIMATES IN EXCESS OF \$5,000.
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:	02/29/2008
Complaint Pending?	No
Status:	Settled
Status Date:	07/28/2008
Settlement Amount:	\$9,950.00
Individual Contribution Amount:	\$0.00
Broker Statement	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE.**

Disclosure 2 of 6

Reporting Source:	Regulator
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Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, COMMON LAW FRAUD, FRAUDULENT CONCEALMENT, NEGLIGENCE, NEGIGENT MISREPRESENTATION/OMISSION
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$0.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #07-02314
Date Notice/Process Served:	08/09/2007
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	08/28/2008
Disposition Detail:	STIPULATED AWARD ISSUED; ON AUGUST 11, 2008, CLAIMANT DISMISSED HER CLAIMS WITH PREJUDICE.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC
Allegations:	UNSUITABILITY, MISREPRESENTATION, OMISSIONS, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, FRAUDULENT CONCEALMENT, NEGLIGENCE, VIOLATION OF STATE SECURITIES LAWS, VIOLATION OF NASD AND NYSE RULES. 6/24/02-7/15/05

Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	09/04/2007
Complaint Pending?	No

Status:	Arbitration/Reparation
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Status Date: 09/04/2007

Settlement Amount:

Individual Contribution

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA CASE NUMBER: 07-02314](#)

Date Notice/Process Served: 09/04/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/28/2008

Monetary Compensation Amount: \$42,500.00

Individual Contribution Amount: \$0.00

Firm Statement NAMED RESPONDENT WAS DISMISSED FROM THE CASE AND DID NOT CONTRIBUTE TO THE SETTLEMENT WHICH WAS MADE BY THE FIRM FOR REASONS UNRELATED TO NAMED RESPONDENT'S ALLEGED CONDUCT. CLAIMANT HAS AGREED THAT THE CLAIMS SHOULD BE EXPUNGED FROM NAMED RESPONDENT'S RECORD.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: UNSUITABILITY, MISREPRESENTATION, OMISSIONS, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, FRAUDULENT CONCEALMENT, NEGLIGENCE, VIOLATION OF STATE SECURITIES LAWS, VIOLATION OF NASD AND NYSE RULES. 6/24/02 - 7/15/05

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 09/04/2007



Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 09/04/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA CASE#: 07-02314](#)

Date Notice/Process Served: 09/04/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/28/2008

Monetary Compensation Amount: \$42,500.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT VERBALLY ALLEGED THAT THE CONVERTIBLE BONDS PURCHASED IN HER ACCOUNT WERE UNSUITABLE.

Product Type: Debt - Corporate

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 10/18/2005

Complaint Pending? No

Status: Settled



Status Date: 10/18/2005
Settlement Amount: \$17,500.00
Individual Contribution Amount: \$0.00
Firm Statement THE CLAIM WAS SETTLED FOR \$17,500.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: CITIGROUP GMI
Allegations: THE CLIENT VERBALLY ALLEGED THAT THE CONVERTIBLE BONDS PURCHASED IN HER ACCOUNT WERE UNSUITABLE.
Product Type: Debt - Corporate
Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 10/18/2005
Complaint Pending? No
Status: Settled
Status Date: 10/18/2005
Settlement Amount: \$17,500.00
Individual Contribution Amount: \$0.00

Disclosure 4 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CITIGROUP GMI
Allegations: THE CLIENTS ALLEGED UNSUITABLE INVESTMENTS - FROM 2001 THROUGH JULY 14, 2005.
DAMAGES UNSPECIFIED.
Product Type: Debt - Corporate



Other Product Type(s): EQUITIES; MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/28/2005

Complaint Pending? No

Status: Settled

Status Date: 02/01/2006

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Firm Statement THE CLAIM WAS SETTLED FOR \$15,000.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENTS ALLEGED UNSUITABLE INVESTMENTS - FROM 2001 THROUTH JULY 14, 2005. DAMAGES UNSPECIFIED.

Product Type: Debt - Corporate

Other Product Type(s): EQUITIES; MUTUAL FUNDS

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/28/2005

Complaint Pending? No

Status: Settled

Status Date: 02/01/2006

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

**Disclosure 5 of 6**

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC
Allegations: BREACH OF FIDUCIARY DUTY, MISREPRESENTATION AND NEGLIGENCE FROM MAY 1998 TO JULY 2002.

Product Type: Equity - OTC
Other Product Type(s): EQUITY-LISTED
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 07/28/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/05/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET NUMBER: 03-06472

Date Notice/Process Served: 01/05/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/17/2006

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$0.00

Firm Statement AS PART OF THE SETTLEMENT, ALL CLAIMS AGAINST THE FA WERE DISMISSED.



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: ALLEGED BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, MISMANAGEMENT AND NON-DISCLOSURES BTWN. 01/99-7/02.
Product Type: Equity - OTC
Other Product Type(s): EQUITY-LISTED
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 07/28/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/05/2005
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET NUMBER: 03-06472
Date Notice/Process Served: 01/05/2005
Arbitration Pending? No
Disposition: Settled
Disposition Date: 05/17/2006
Monetary Compensation Amount: \$110,000.00
Individual Contribution Amount: \$0.00

Disclosure 6 of 6



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SMITH BARNEY, INC.
Allegations: CLIENT'S NIECE ALLEGES THAT THE STOCK AND CORPORATE BOND INVESTMENTS MADE IN THE CLIENT'S ACCOUNT WERE UNSUITABLE. ALLEGED DAMAGES UNSPECIFIED BUT IN EXCESS OF \$5,000. SMITH BARNEY, INC.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/03/1999

Complaint Pending? No

Status: Settled

Status Date: 06/18/1999

Settlement Amount: \$9,500.00

Individual Contribution Amount:

Broker Statement THE CLAIM WAS SETTLED FOR \$9,500.
NOT PROVIDED



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 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CITIGROUP GMI
Allegations: CLIENT ALLEGED BONDS WERE UNSUITABLE - 2004 THROUGH 2005. DAMAGES UNSPECIFIED.
Product Type: Debt - Corporate

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/05/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/13/2005

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM ABANDONED.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE** CLIENT ALLEGED BONDS WERE UNSUITABLE - 2004 THROUGH 2005. DAMAGES UNSPECIFIED.



Product Type: Debt - Corporate

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/05/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/13/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement **UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$10,000 OR MORE** CLAIM ABANDONED

Disclosure 2 of 4

Reporting Source: Broker

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

Allegations: ALLEGING UNSUITABLE TRANSACTIONS AND THAT TRANSACTIONS WERE MADE WITHOUT THEIR KNOWLEDGE.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 03/06/2003

Complaint Pending? No

Status: Denied

Status Date: 07/10/2003

Settlement Amount:

Individual Contribution Amount:



Disclosure 3 of 4

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: THE CLIENT ALLEGED THAT THE FC MADE RECOMMENDATIONS INAPPROPRIATE TO THE NATURE OF THE ACCOUNT. NOVEMBER 1999 THROUGH FEBRUARY 2002. ALLEGED DAMAGES UNSPECIFIED.
Product Type: Debt - Corporate
Other Product Type(s): EQUITY - LISTED
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/05/2002
Complaint Pending? No
Status: Denied
Status Date: 06/25/2002
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 4 of 4

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: THE CLIENT ALLEGED THAT THERE HAS BEEN A DRAMATIC DEPARTURE IN THE PAST TWO YEARS IN HIS INVESTMENT GOALS OF CURRENT INCOME TO MORE SPECULATIVE INVESTMENTS. SEPTEMBER 1999 THROUGH SEPTEMBER 2001.
Product Type: Equity Listed (Common & Preferred Stock)



Other Product Type(s): MUTUAL FUNDS
DEBT - CORPORATE & GOVERNMENT

Alleged Damages: \$117,983.00

Customer Complaint Information

Date Complaint Received: 10/19/2001

Complaint Pending? No

Status: Denied

Status Date: 02/22/2002

Settlement Amount:

Individual Contribution

Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.

End of Report



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