

**BrokerCheck Report**

**GREGG D TEMPLETON**

CRD# 2412775

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## 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 <http://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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**GREGG D. TEMPLETON**

CRD# 2412775

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
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

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

**AEGIS CAPITAL CORP.**

CRD# 15007  
NEW YORK, NY  
01/2016 - 03/2016

**FSC SECURITIES CORPORATION**

CRD# 7461  
NEW YORK, NY  
09/2015 - 01/2016

**OPPENHEIMER & CO. INC.**

CRD# 249  
NEW YORK, NY  
01/2007 - 08/2015

### 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	7
Termination	1

### 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.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	10/28/1993
Futures Managed Funds Examination	Series 31	12/28/1998

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/18/1993

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
01/2016 - 03/2016	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
09/2015 - 01/2016	FSC SECURITIES CORPORATION	7461	NEW YORK, NY
01/2007 - 08/2015	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
12/1998 - 06/2006	MORGAN STANLEY DW INC.	7556	NEW YORK, NY
11/1996 - 11/1998	GKN SECURITIES CORP.	19415	NEW YORK, NY
10/1996 - 11/1996	FIRST METROPOLITAN SECURITIES, INC.	7594	NEW YORK, NY
01/1996 - 10/1996	STATE CAPITAL MARKETS CORPORATION	13685	NEW YORK, NY
02/1994 - 01/1996	GRUNTAL & CO. INCORPORATED	372	NEW YORK, NY
10/1993 - 01/1994	ROYCE INVESTMENT GROUP, INC.	10494	WOODBURY, NY

### 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 Dates	Employer Name	Employer Location
01/2016 - Present	AEGIS CAPITAL CORP	NEW YORK, NY
09/2015 - 01/2016	FSC	NEW YORK, NY
01/2007 - 08/2015	OPPENHEIMER & CO. INC.	NEW YORK, NY

### 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.

## Registration and Employment History





## 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.
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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
Customer Dispute	1	6	N/A





Termination	N/A	1	N/A
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## 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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	STATE CAPITAL MARKETS CORPORATION
<b>Allegations:</b>	EXECUTIONS-FAILURE TO EXECUTE; OTHER; ACCOUNT RELATED-BREACH OF CONTRACT
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$6,000.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">NASD - CASE #97-01024</a>
<b>Date Notice/Process Served:</b>	03/07/1997
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Other
<b>Disposition Date:</b>	09/23/1997
<b>Disposition Detail:</b>	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$4,525.00 JOINTLY AND SEVERALLY; INTEREST, RELIEF HAS BEEN AWARDED (PARTIAL OR



FULL)

.....

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** STATE CAPITAL MARKETS CORPORATION

**Allegations:** FAILURE TO EXECUTE A SELL ORDER-ALLEGED DAMAGES \$6,000.-

**Product Type:** Other

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

**Alleged Damages:** \$6,000.00

**Customer Complaint Information**

**Date Complaint Received:** 09/23/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 09/23/1997

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 97-01024](#)

**Date Notice/Process Served:** 03/07/1997

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 09/23/1997

**Monetary Compensation Amount:** \$4,525.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** CUSTOMER WAS AWARDED \$4,525.- JOINTLY AND SEVERALLY



CUSTOMER IS ONLY SEEKING PAYMENT FROM THE  
FIRM-NOT MYSELF. I WAS NAMED AS THE 2ND RESPONDENT IN THE CASE  
AND I AM NOT BEING HELD LIABLE.



## 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 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	CLAIMANT ALLEGES UNAUTHORIZED TRADING, FROM 5/18/2012 TO 5/18/2012
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$61,475.00
<b>Is this an oral complaint?</b>	Yes
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/14/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	07/19/2016
<b>Settlement Amount:</b>	\$61,475.00
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	Claimant alleges that Templeton misappropriated \$19,500 by withdrawing funds from Claimant's account for Templeton's personal use. Claimant also alleges that



Templeton made unsuitable investments and asserts additional claims for fraud, breach of fiduciary duty, breach of contract and negligent supervision/hiring. FROM 7/1/2010 TO 3/31/2015.

**Product Type:** Penny Stock  
Promissory Note

**Alleged Damages:** \$220,000.00

**Alleged Damages Amount Explanation (if amount not exact):** CLAIMANT ALLEGES IN EXCESS OF \$220,000 IN DAMAGES

**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

**Docket/Case #:** 16-00111

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/12/2016

### Customer Complaint Information

**Date Complaint Received:** 01/20/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/20/2016

**Settlement Amount:** \$562,500.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO INC.



**Allegations:** Claimant alleges that Templeton misappropriated \$19,500 by withdrawing funds from Claimant's account for Templeton's personal use. Claimant also alleges that Templeton made unsuitable investments and asserts additional claims for fraud, breach of fiduciary duty, breach of contract and negligent supervision/hiring. FROM 7/1/2010 TO 3/31/2015.

**Product Type:** Penny Stock  
Promissory Note

**Alleged Damages:** \$220,000.00

**Alleged Damages Amount Explanation (if amount not exact):** CLAIMANT ALLEGES IN EXCESS OF \$220,000 IN DAMAGES

**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

**Docket/Case #:** 16-00111

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/12/2016

### Customer Complaint Information

**Date Complaint Received:** 01/20/2016

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 3 of 4

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLIENT ALLEGES UNAUTHORIZED TRANSACTIONS TOOK PLACE IN HIS



ACCOUNT. NO TIME PERIOD SPECIFIED, BUT ACCOUNT OPENED IN FEBRUARY 2015.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$45,000.00

**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:** 12/02/2015

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/23/2016

**Settlement Amount:** \$30,000.00

**Individual Contribution  
Amount:** \$0.00

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLIENT ALLEGES UNAUTHORIZED TRANSACTIONS TOOK PLACE IN HIS ACCOUNT. NO TIME PERIOD SPECIFIED, BUT ACCOUNT OPENED IN FEBRUARY 2015.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$45,000.00

**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:** 12/02/2015

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

I deny all allegations stated against me. The client ([customer]) and I discussed the 5 opening transactions early last year with NO other transactions in the clients account since my departure from Oppenheimer late July 2015. He indicated on his new account form that he earns \$500,000 a year, has over 10 years of Investment Experience, currently has over \$7 Million dollars invested in the stock market at Barclays and UBS, a \$10 Million dollar Net Worth and has a 3-5 Time Horizon for the funds in this new account. He confirmed that he received his trade confirmations (as well as his Business Manager and CPA) also receiving his monthly and quarterly statements for most of 2015. (Documented by Incoming Emails to me). Client and I have communicated verbally as well as electronically dozens of times about his account and positions. His business manager and CPA, [third party], has been CC'ed on most emails (as per the client, [customer], numerous verbal and digital requests). Shortly after account was opened, his CPA contacted me to discuss his trades and account as well as emailed both of us a few months later an update, which he included the current monthly statement. The client again confirmed receipt by replying to both of us through email. This is a completely frivolous claim and sour grapes almost a year later.

#### Disclosure 4 of 4

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.

**Allegations:** CUSTOMER ALLEGED INVESTMENTS WERE UNSUITABLE. DAMAGES ARE UNSPECIFIED.

**Product Type:** Debt - Corporate

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 03/14/2003

**Complaint Pending?** No

**Status:** Settled



<b>Status Date:</b>	03/24/2003
<b>Settlement Amount:</b>	\$5,575.91
<b>Individual Contribution Amount:</b>	\$0.00



## 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:** GKN

**Allegations:** MISREPRESENTATION, SUITABILITY CONCERNING THE PURCHASE OF 2,300 USCI INC COMMON SHARES IN 8/98 AT G.K.N. ALLEGED DAMAGES DETERMINED TO EXCEED \$5000

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 02/16/1999

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 04/26/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** CUSTOMER AGREED TO SETTLE FOR \$2500. GENERAL RELEASE LETTER WAS SENT TO CUSTOMER WITH INSTRUCTIONS TO SIGN AND NOTORIZE AND MAIL TO FIRM TO RELEASE FUNDS. LETTER HAS NOT BEEN SENT TO FIRM AS OF 4/26/99 AN ADDITIONAL LETTER WAS SENT TO CUSTOMER ON 4/15/99 INSTRUCTING CUSTOMER THAT MATTER WILL BE CLOSED IF THE GENERAL RELEASE LETTER IS NOT RECEIVED BY 4/26/99

**Reporting Source:** Broker



**Employing firm when activities occurred which led to the complaint:** GKN SECURITIES CORP.

**Allegations:** MISREPRESENTATION, SUITABILITY CONCERNING THE PURCHASE OF 2,300 USCI INC. COMMON SHARES IN 8/1998 AT GKN ALLEGED DAMAGES DETERMINED TO EXCEED \$5000

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$5,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 02/16/1999

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 04/26/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THIS CASE WAS REVIEWED WITHOUT ANY INPUT OR CONSENT OF MY OWN. I LEFT GKN IN OCTOBER OF 1998. I MADE NO CONTRIBUTION TOWARD SETTLEMENT. CUSTOMER AGREED TO SETTLE FOR \$2500 AND WAS SENT A GENERAL RELEASE LETTER ON 4/15/99 INSTRUCTING CUSTOMER THAT MATTER WILL BE CLOSED IF THE GENERAL RELEASE LETTER WAS NOT RECEIVED BY 4/26/99.



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	OPPENHEIMER & CO. INC.
<b>Allegations:</b>	Claimant alleges a variety of claims in connection with his purchase of \$6.75 million of securities in a company, including claims for fraud and breach of contract.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$6,750,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	16-02363
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/12/2016

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/24/2016
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

<b>Reporting Source:</b>	Broker
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**Employing firm when activities occurred which led to the complaint:** OPPENHEIMER & CO. INC.

**Allegations:** CLIENT'S ATTORNEY ALLEGES THAT DEFRAUDED THE CLIENT THROUGH MISREPRESENTATIONS AND OMISSIONS WITH REGARD TO A SECURITY, THE TIME PERIOD SPECIFIED IS BETWEEN IN OR ABOUT DECEMBER 2013 AND MAY 2015.

**Product Type:** Equity-OTC

**Alleged Damages:** \$6,750,000.00

**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:** 01/20/2016

**Complaint Pending?** Yes

**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

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	MORGAN STANLEY DW INC.
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	06/19/2006
<b>Allegations:</b>	FAILED TO OBTAIN APPROVAL FOR WEBSITE AND TO NOTIFY FIRM OF MATERIAL CHANGE IN PREVIOUSLY APPROVED OUTSIDE BUSINESS ACTIVITY
<b>Product Type:</b>	Other
<b>Other Product Types:</b>	N/A
<hr/>	
<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	MORGAN STANLEY
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	06/19/2006
<b>Allegations:</b>	RESIGNED WHEN THE FIRM FAILED TO ACKNOWLEDGE COMPLETED OUTSIDE BUSINESS ACTIVITY FORMS PREVIOUSLY APPROVED AND FILED.
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	OUTSIDE BUSINESS ACTIVITY PREVIOUSLY DISCLOSED AND SPECIFICALLY APPROVED.

## End of Report



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