

**BrokerCheck Report**

**TRAVIS KENT DILLARD**

CRD# 1741428

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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 <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](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)

**TRAVIS K. DILLARD**

CRD# 1741428

**Currently employed by and registered with the following Firm(s):****WELLS FARGO CLEARING SERVICES, LLC**

2195 E RIVER RD  
[SA-RBO]  
TUCSON, AZ 85718  
CRD# 19616

Registered with this firm since: 08/28/2015

**Report Summary for this Broker**

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

**Broker Qualifications****This broker is registered with:**

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

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****MORGAN STANLEY**

CRD# 149777  
TUCSON, AZ  
06/2009 - 09/2015

**MORGAN STANLEY & CO. INCORPORATED**

CRD# 8209  
TUCSON, AZ  
04/2007 - 06/2009

**MORGAN STANLEY DW INC.**

CRD# 7556  
TUCSON, AZ  
12/2004 - 04/2007

**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	6

**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 individual is currently registered with 5 SROs and is licensed in 21 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-050  
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	08/28/2015
NYSE American LLC	General Securities Representative	APPROVED	08/28/2015
Nasdaq PHLX LLC	General Securities Representative	APPROVED	08/28/2015
Nasdaq Stock Market	General Securities Representative	APPROVED	08/28/2015
New York Stock Exchange	General Securities Representative	APPROVED	08/28/2015

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alaska	Agent	APPROVED	09/18/2015	New Hampshire	Agent	APPROVED	08/28/2015
Arizona	Agent	APPROVED	08/28/2015	New Jersey	Agent	APPROVED	08/28/2015
California	Agent	APPROVED	08/28/2015	New York	Agent	APPROVED	08/28/2015
Colorado	Agent	APPROVED	08/28/2015	Ohio	Agent	APPROVED	04/27/2017
Connecticut	Agent	APPROVED	08/28/2015	Oklahoma	Agent	APPROVED	09/03/2015
Florida	Agent	APPROVED	08/28/2015	Oregon	Agent	APPROVED	08/28/2015
Georgia	Agent	APPROVED	08/28/2015	Pennsylvania	Agent	APPROVED	08/28/2015
Illinois	Agent	APPROVED	08/28/2015	South Carolina	Agent	APPROVED	08/28/2015
Minnesota	Agent	APPROVED	03/09/2016	Texas	Agent	APPROVED	08/28/2015



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
Virginia	Agent	APPROVED	08/28/2015
Washington	Agent	APPROVED	08/28/2015
Wisconsin	Agent	APPROVED	05/05/2016

### Branch Office Locations

#### WELLS FARGO CLEARING SERVICES, LLC

2195 E RIVER RD  
[SA-RBO]  
TUCSON, AZ 85718

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## 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 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
National Commodity Futures Examination	Series 3	04/04/1988
General Securities Representative Examination	Series 7	02/20/1988

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/26/1988
Uniform Investment Adviser Law Examination	Series 65	08/26/1999

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
06/2009 - 09/2015	MORGAN STANLEY	149777	TUCSON, AZ
04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	TUCSON, AZ
12/2004 - 04/2007	MORGAN STANLEY DW INC.	7556	TUCSON, AZ
07/1996 - 12/2004	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
12/1990 - 07/1996	SUTRO & CO. INCORPORATED	801	SAN FRANCISCO, CA
02/1988 - 12/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	TUCSON, AZ
08/2015 - 11/2016	WELLS FARGO ADVISORS, LLC	TUCSON, AZ
01/2015 - 08/2015	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIAT	NEW YORK, NY
06/2009 - 01/2015	MORGAN STANLEY SMITH BARNEY	TUCSON, AZ
04/2007 - 06/2009	MORGAN STANLEY & CO., INCORPORATED	TUCSON, AZ

### 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.

FREDERICK ENTERTAINMENT  
INVESTOR  
1 E DESERT SKY RD #12

## Registration and Employment History



### Other Business Activities, continued

TUCSON, AZ 85737

CONCERT PROMOTION 5-20 HOURS A QUARTER

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## 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	0	6	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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Morgan Stanley Smith Barney
<b>Allegations:</b>	Claimant alleged, inter alia, unsuitability with respect to investments in accounts - 2011 to 2015.
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$500,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<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>	16-03060
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/19/2016



## Customer Complaint Information

**Date Complaint Received:** 10/28/2016  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 06/06/2017  
**Settlement Amount:** \$87,500.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** The Firm settled the arbitration, without any admission of liability, to avoid the costs and uncertainty of litigation. Travis Dillard was not a named party.

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** Morgan Stanley Smith Barney  
**Allegations:** Claimant alleged, inter alia, unsuitability with respect to investments in accounts - 2011 to 2015.  
**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$500,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** No  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA  
**Docket/Case #:** 16-03060  
**Filing date of arbitration/CFTC reparation or civil litigation:** 10/19/2016

## Customer Complaint Information

**Date Complaint Received:** 10/28/2016



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/06/2017
<b>Settlement Amount:</b>	\$87,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	The Firm settled the arbitration, without any admission of liability, to avoid the costs and uncertainty of litigation. Travis Dillard was not a named party.

#### Disclosure 2 of 6

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Morgan Stanley Smith Barney
<b>Allegations:</b>	Claimant alleged, inter alia, unsuitability with respect to investments in accounts - 2011 to 2015.
<b>Product Type:</b>	Equity-OTC Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$500,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<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>	16-03047
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/18/2016

#### Customer Complaint Information

<b>Date Complaint Received:</b>	10/26/2016
<b>Complaint Pending?</b>	No



**Status:** Settled  
**Status Date:** 06/05/2017  
**Settlement Amount:** \$87,500.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** The Firm settled the arbitration, without any admission of liability, to avoid the costs and uncertainty of litigation. Travis Dillard was not a named party.

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** Morgan Stanley Smith Barney  
**Allegations:** Claimant alleged, inter alia, unsuitability with respect to investments in accounts - 2011 to 2015.  
**Product Type:** Equity-OTC  
 Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$500,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** No  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA  
**Docket/Case #:** 16-03047  
**Filing date of arbitration/CFTC reparation or civil litigation:** 10/18/2016

### Customer Complaint Information

**Date Complaint Received:** 10/28/2016  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 06/05/2017



<b>Settlement Amount:</b>	\$87,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	The Firm settled the arbitration, without any admission of liability, to avoid the costs and uncertainty of litigation. Travis Dillard was not a named party.

### Disclosure 3 of 6

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Morgan Stanley Smith Barney
<b>Allegations:</b>	Claimants alleged unsuitability with respect to equity investments in accounts - 2014 to 2016.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$95,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<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>	16-02368
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	08/11/2016

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/16/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	04/05/2017
<b>Settlement Amount:</b>	\$30,000.00



**Individual Contribution Amount:** \$0.00

**Firm Statement** The Firm settled the arbitration, without any admission of liability, to avoid the costs and uncertainty of litigation.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Morgan Stanley Smith Barney

**Allegations:** Claimants alleged unsuitability with respect to equity investments in accounts - 2014 to 2016.

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

**Alleged Damages:** \$95,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 16-02368

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/11/2016

### Customer Complaint Information

**Date Complaint Received:** 08/16/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/05/2017

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

**Individual Contribution Amount:** \$0.00

**Broker Statement** The Firm settled the arbitration, without any admission of liability, to avoid the costs





and uncertainty of litigation. Mr. Dillard is in the process of attempting to have this matter expunged. Mr. Dillard is/not a named party. Mr. Dillard followed Morgan Stanley strategy and Morgan Stanley's research.

#### Disclosure 4 of 6

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY & CO. INCORPORATED
<b>Allegations:</b>	IT IS ALLEGED THAT INVESTMENT PURCHASED ON JUNE 1, 2007 WAS UNSUITABLE FOR CUSTOMER.
<b>Product Type:</b>	Other: HEDGE FUNDS
<b>Alleged Damages:</b>	\$100,000.00
<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>	No

#### Customer Complaint Information

<b>Date Complaint Received:</b>	03/19/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	06/01/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	09-02931
<b>Date Notice/Process Served:</b>	06/01/2009
<b>Arbitration Pending?</b>	No



<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	01/13/2012
<b>Monetary Compensation Amount:</b>	\$10,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	THIS CLAIM WAS DENIED AS ENTIRELY WITHOUT MERIT, AND WAS SETTLED BY THE FIRM SOLELY TO AVOID THE TIME AND EXPENSE OF LITIGATION; THE RR WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT.

#### Disclosure 5 of 6

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY SMITH BARNEY
<b>Allegations:</b>	CLAIMANT ALLEGES, INTER ALIA, THAT FROM DECEMBER 2005 - 2008 FINANCIAL ADVISOR DID NOT PROPERLY MANAGE HER ACCOUNT.
<b>Product Type:</b>	Other: EQUITY LISTED-PRIMARY
<b>Alleged Damages:</b>	\$1,000,000.00
<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>	09-04387
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/16/2009

#### Customer Complaint Information

<b>Date Complaint Received:</b>	08/24/2009
<b>Complaint Pending?</b>	No



<b>Status:</b>	Settled
<b>Status Date:</b>	03/10/2011
<b>Settlement Amount:</b>	\$50,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	MORGAN STANLEY, AFTER OUR INVESTIGATION, STRENUOUSLY DENIES ANY WRONGDOING ON THE PART OF MR. DILLARD OR ANY OTHER FIRM EMPLOYEE. THIS SETTLEMENT IS BEING MADE PURELY TO AVOID THE COSTS AND UNCERTAINTIES ASSOCIATED WITH A HEARING.

#### Disclosure 6 of 6

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	SALOMON SMITH BARNEY
<b>Allegations:</b>	CLAIMANT ALLEGES THAT DURING 2000 THROUGH 2002 HER FUNDS WERE INVESTED IN VOLATILE, HIGH RISK, SPECULATIVE STOCKS, FAILING TO INVEST HER FUNDS CONSERVATIVELY. CLAIMANT ALSO ALLEGES BREACH OF FIDUCIARY DUTIES, UNSUITABILITY, NEGLIGENCE, FRAUD, FAILURE TO FOLLOW INSTRUCTIONS, BREACH OF DUTY OF FAIR DEALING AND FAILURE TO SUPERVISE.
<b>Product Type:</b>	Mutual Fund(s)
<b>Alleged Damages:</b>	\$300,000.00

#### Customer Complaint Information

<b>Date Complaint Received:</b>	08/22/2003
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	08/22/2003
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

#### Arbitration Information



**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 03-06755

**Date Notice/Process Served:** 08/22/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/15/2004

**Monetary Compensation Amount:** \$97,500.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Broker

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

**Allegations:** CLAIMANT ALLEGES BREACH FIDUCIARY DUTY, UNSUITABILITY, FAILURE TO FOLLOW DIRECTIONS, BREACH OF DUTY OF FAIR DEALING, NEGLIGENCE, LOST OPPORTUNITY, FAILURE TO SUPERVISE, RESPONDEAT SUPERIOR AND SECURITIES FRAUD. THE TIME PERIOD APPEARS TO BE FROM 1/2000 THROUGH 11/2002.

**Product Type:** Equity - OTC

**Other Product Type(s):** EQUITY LISTED

**Alleged Damages:** \$300,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/09/2003

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 12/15/2004

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information



<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD 03-06755
<b>Date Notice/Process Served:</b>	09/29/2003
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	12/15/2004
<b>Monetary Compensation Amount:</b>	\$97,500.00
<b>Individual Contribution Amount:</b>	\$0.00

## End of Report



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