

BrokerCheck Report

CHUCK A ROBERTS

CRD# 2064602

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

CHUCK A. ROBERTS

CRD# 2064602

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

B STIFEL, NICOLAUS & COMPANY, INCORPORATED
 1095 AVENUE OF THE AMERICAS
 3RD & 4TH FLOORS
 NEW YORK, NY 10036
 CRD# 793
 Registered with this firm since: 03/01/2016

IA STIFEL, NICOLAUS & COMPANY, INCORPORATED
 1095 AVENUE OF THE AMERICAS
 3RD & 4TH FLOORS
 NEW YORK, NY 10036
 CRD# 793
 Registered with this firm since: 04/11/2019

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:**

- 6 Self-Regulatory Organizations
- 31 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 MORGAN STANLEY**
 CRD# 149777
 NEW YORK, NY
 06/2009 - 03/2016
- B CITIGROUP GLOBAL MARKETS INC.**
 CRD# 7059
 NEW YORK, NY
 03/2005 - 06/2009
- B OPPENHEIMER & CO. INC.**
 CRD# 249
 NEW YORK, NY
 01/2003 - 03/2005

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	10



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 6 SROs and is licensed in 31 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Office Address: **501 NORTH BROADWAY
ST. LOUIS, MO 63102**

Firm CRD#: **793**

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/01/2016
B FINRA	General Securities Representative	Approved	03/01/2016
B NYSE American LLC	General Securities Representative	Approved	03/01/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/01/2016
B Nasdaq Stock Market	General Securities Representative	Approved	03/01/2016
B New York Stock Exchange	General Securities Representative	Approved	03/01/2016

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	06/19/2019
B Arizona	Agent	Approved	04/28/2016
B Arkansas	Agent	Approved	03/06/2019
B California	Agent	Approved	03/03/2016
B Colorado	Agent	Approved	05/20/2016
B Connecticut	Agent	Approved	03/22/2016
B Delaware	Agent	Approved	04/20/2016



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	District of Columbia	Agent	Approved	03/01/2016
B	Florida	Agent	Approved	03/04/2016
IA	Florida	Investment Adviser Representative	Approved	06/30/2020
B	Georgia	Agent	Approved	04/25/2016
B	Indiana	Agent	Approved	03/30/2016
B	Kansas	Agent	Approved	03/01/2016
B	Louisiana	Agent	Approved	03/01/2016
B	Maine	Agent	Approved	01/25/2022
B	Maryland	Agent	Approved	03/01/2016
B	Montana	Agent	Approved	05/05/2021
B	Nevada	Agent	Approved	10/25/2016
B	New Jersey	Agent	Approved	05/10/2016
B	New York	Agent	Approved	04/07/2016
IA	New York	Investment Adviser Representative	Approved	09/22/2021
B	North Carolina	Agent	Approved	06/29/2016
B	Ohio	Agent	Approved	03/01/2016
B	Pennsylvania	Agent	Approved	03/01/2016
B	Puerto Rico	Agent	Approved	12/21/2021
B	Rhode Island	Agent	Approved	03/01/2016
B	South Carolina	Agent	Approved	04/11/2016
B	Tennessee	Agent	Approved	04/27/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	03/01/2016
IA	Texas	Investment Adviser Representative	Restricted Approval	04/11/2019
B	Utah	Agent	Approved	11/06/2017
B	Vermont	Agent	Approved	03/01/2016
B	Virginia	Agent	Approved	03/07/2016
B	Washington	Agent	Approved	04/14/2016

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED

1095 AVENUE OF THE AMERICAS
3RD & 4TH FLOORS
NEW YORK, NY 10036

STIFEL, NICOLAUS & COMPANY, INCORPORATED

2340 COLLINS AVENUE
SUITE 200
MIAMI BEACH, FL 33139



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, 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 Futures Managed Funds Examination	Series 31	04/26/2004
B General Securities Representative Examination	Series 7	06/19/1990

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/28/2020
B Uniform Securities Agent State Law Examination	Series 63	06/28/1990

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 06/2009 - 03/2016	MORGAN STANLEY	149777	NEW YORK, NY
B 03/2005 - 06/2009	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B 01/2003 - 03/2005	OPPENHEIMER & CO. INC.	249	NEW YORK, NY
B 11/1998 - 01/2003	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY
B 08/1995 - 10/1998	M. J. WHITMAN, INC.	27870	NEW YORK, NY
B 05/1992 - 08/1995	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 06/1990 - 06/1992	LEHMAN BROTHERS INC.	7506	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	Employer Name	Position	Investment Related	Employer Location
03/2016 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	New York, NY, United States
01/2015 - 03/2016	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 01/2015	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	NEW YORK, NY, 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. Gurneys Resort Inn Spa Ltd; 272 Old Montauk Highway, Apt. E Montauk NY 11954; Purchase of apartment at Gurney's Inn Resort & Spa Ltd for partial use / rent; Owner; 11/17/2017; 0.00 Hour(s) Per Day; not during securities trading hours; Investment-Related.
2. Community-Police Relations Foundation; 1510 NE 131 St, North Miami, FL 33161; Charity dedicated to strengthening community and law

Registration and Employment History



Other Business Activities, continued

enforcement relations through outreach; Director - Advisory Board; Attend board meetings, discussing topics of interest, and general purpose; 03/15/2021; 5 Hours per Month; Not During Securities Trading Hours; Not Investment-Related.

3. CKAGC, LLC; 5775 Collins Ave, PH-2 Miami Beach, FL 33140; Hold personal assets; Managing member; 6/2/2022; 0 Hours per Day; Not During Securities Trading Hours; Investment-Related.

4. 57 Ocean Condominium Association, Inc; 5775 Collins Ave, Miami Beach, FL 33140; Board Member; 7/1/22; 2 hr/wk; Not During Securities Trading Hours; Not Investment-Related



Disclosure Events

What you should know about reported disclosure events:

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

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

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Customer Dispute	8	2	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
Date Initiated:	04/28/2010
Docket/Case Number:	1000087
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	No Product
Allegations:	RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E (1)(J) OF THE ACT.
Current Status:	Final
Resolution:	Order



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: 08/04/2010

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: RESPONDENT IS LEVIED COSTS OF INVESTIGATION IN THIS MATTER IN THE AMOUNT OF ONE THOUSAND DOLLARS (\$1,000.00), WHICH HAS BEEN PAID. RESPONDENT SHALL ABIDE BY AND CONFORM WITH ALL RESTRICTIONS REGARDING TRADING IN INITIAL PUBLIC OFFERINGS ("IPOS") AS PROMULGATED BY HIS EMPLOYING FIRM AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY ("FINRA"). THE AMENDED NOTICE OF HEARING DATED APRIL 28, 2010 IS DISMISSED.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement IF YOU HAVE QUESTIONS PLEASE CONTACT ATTORNEY DANIEL TUNICK (312) 793-3384.

Reporting Source: Broker

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Revocation

Date Initiated: 04/28/2010



Docket/Case Number: 1000087

Employing firm when activity occurred which led to the regulatory action: CITIGROUP GLOBAL MARKETS, INC.

Product Type: No Product

Allegations: RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E (1)(J) OF THE ACT, AS A RESULT OF THE PRIOR FINRA PROCEEDING.

Current Status: Final

Resolution: Dismissed

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: 08/04/2010

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: RESPONDENT IS LEVIED COSTS OF INVESTIGATION IN THIS MATTER IN THE AMOUNT OF ONE THOUSAND DOLLARS (\$1,000.00), WHICH HAS BEEN PAID. RESPONDENT SHALL ABIDE BY AND CONFORM WITH ALL RESTRICTIONS REGARDING TRADING IN INITIAL PUBLIC OFFERINGS ("IPOS") AS PROMULGATED BY HIS EMPLOYING FIRM AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY ("FINRA"). THE AMENDED NOTICE OF HEARING DATED APRIL 28, 2010 IS DISMISSED.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:



Was any portion of penalty waived? No

Amount Waived:

Broker Statement

THE ILLINOIS SECURITIES DEPARTMENT DISMISSED ITS NOTICE OF HEARING TO CONSIDER WHETHER A SUSPENSION BY FINRA PROVIDES GROUNDS FOR SANCTIONS UNDER ILLINOIS LAW. IT'S THE FIRM'S POSITION THAT THE FA HAS ALREADY BEEN PUNISHED BY THE FIRM AND FINRA AND FURTHER SANCTIONS BY ILLINOIS FOR THE VERY SAME ACTIONS WOULD BE UNNECESSARY, EXCESSIVELY PUNITIVE AND OUT OF PROPORTION TO THE ALLEGED VIOLATIONS. ILLINOIS DISMISSED THE MATTER WITH AN ORDER IN WHICH THE FA PAID \$1000 COSTS OF INVESTIGATION. THE FA AGREED TO ABIDE BY AND CONFORM WITH ALL RESTRICTIONS REGARDING TRADING IN INITIAL PUBLIC OFFERINGS ("IPOS") AS PROMULGATED BY HIS EMPLOYING FIRM AND THE FINANCIAL INDUSTRY REGULATORY AUTHORITY ("FINRA"). NO FURTHER SANCTIONS WERE IMPOSED.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 02/05/2010

Docket/Case Number: [2007010398801](#)

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

Product Type: Other: IPOS

Allegations: NASD RULES 2110, 2790 - CHUCK A. ROBERTS HAD KNOWLEDGE THAT A SALES ASSISTANT AND POSSIBLE OTHERS REPLACED CUSTOMER EMAIL ADDRESSES WITH THE SALES ASSISTANT'S FIRM EMAIL ADDRESS TO FACILITATE THE OPENING OF ONLINE ACCOUNTS AND TO LESSEN THE AMOUNT OF COMMUNICATIONS THAT WERE RECEIVED BY THE CUSTOMERS; THEREFORE, TRADE CONFIRMATIONS WERE SENT TO THE SALES ASSISTANT RATHER THAN THE CUSTOMERS ALTHOUGH THE CUSTOMERS CONTINUED TO RECEIVE THEIR MONTHLY ACCOUNT STATEMENTS, PROSPECTUSES AND 1099 FEDERAL TAX FORMS BY MAIL.



ROBERTS CAUSED HIS FIRM'S VIOLATION OF SEC RULE 17A-3 AND NASD RULE 3110. ROBERTS' RELATIVE OPENED SEVERAL ACCOUNTS AT HIS MEMBER FIRM WHICH ROBERTS SERVICED BUT FAILED TO DISCLOSE TO THE FIRM THAT THE INDIVIDUAL WHO OWNED THE ACCOUNTS WAS A RELATIVE. HAD ROBERTS MADE SUCH DISCLOSURE, THE ACCOUNT NUMBERS ASSIGNED TO THE ACCOUNTS WOULD CONTAIN A PREFIX IDENTIFYING THEM AS BEING EMPLOYEE RELATED.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 02/05/2010

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: FOUR WEEKS
Start Date: 03/15/2010
End Date: 04/11/2010

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$40,000.00
Portion Levied against individual: \$40,000.00
Payment Plan:
Is Payment Plan Current: No
Date Paid by individual: 02/24/2010
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, ROBERTS CONSENTED



TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;
THEREFORE, HE IS CENSURED, FINED \$40,000 AND SUSPENDED FROM
ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR FOUR
WEEKS. THE SUSPENSION IS IN EFFECT FROM MARCH 15, 2010 THROUGH
APRIL 11, 2010.

Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: NA

Date Initiated: 04/29/2009

Docket/Case Number: [2007010398801](#)

Employing firm when activity occurred which led to the regulatory action: CITIGROUP GLOBAL MARKETS, INC.

Product Type: Other: IPOS

Allegations: ALLEGATIONS WERE VIOLATIONS OF NASD RULES 2110, 2790 IN THAT CHUCK A. ROBERTS HAD KNOWLEDGE THAT A SALES ASSISTANT AND POSSIBLE OTHERS REPLACED CUSTOMER EMAIL ADDRESSES WITH THE SALES ASSISTANT'S FIRM EMAIL ADDRESS TO FACILITATE THE OPENING OF ONLINE ACCOUNTS AND TO LESSEN THE AMOUNT OF COMMUNICATIONS THAT WERE RECEIVED BY THE CUSTOMERS; THEREFORE, TRADE CONFIRMATIONS WERE SENT TO THE SALES ASSISTANT RATHER THAN THE CUSTOMERS ALTHOUGH THE CUSTOMERS CONTINUED TO RECEIVE THEIR MONTHLY ACCOUNT STATEMENTS, PROSPECTUSES AND 1099 FEDERAL TAX FORMS BY MAIL. ROBERTS CAUSED HIS FIRM'S VIOLATION OF SEC RULE 17A-3 AND NASD RULE 3110. ROBERTS' RELATIVE OPENED SEVERAL ACCOUNTS AT HIS MEMBER FIRM WHICH ROBERTS SERVICED BUT FAILED TO DISCLOSE TO THE FIRM THAT THE INDIVIDUAL WHO OWNED THE ACCOUNTS WAS A RELATIVE. HAD ROBERTS MADE SUCH DISCLOSURE, THE ACCOUNT NUMBERS ASSIGNED TO THE ACCOUNTS WOULD CONTAIN A PREFIX IDENTIFYING THEM AS BEING EMPLOYEE RELATED.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:	02/05/2010
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	FOUR WEEKS
Start Date:	03/15/2010
End Date:	04/11/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$40,000.00
Portion Levied against individual:	\$40,000.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	02/25/2010
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. ROBERTS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS.



Customer Dispute - Award / Judgment

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT BEGINNING IN 2008 THE FINANCIAL ADVISOR MADE UNSUITABLE AND UNAUTHORIZED TRADES. CLAIMANTS ALSO ALLEGE THAT FA MADE MISPRESENTATIONS REGARDING INVESTMENTS IN THE CLAIMANTS' ACCOUNTS.
Product Type:	Equity Listed (Common & Preferred Stock) Other: HEDGE FUND
Alleged Damages:	\$313,249.78
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-04327
Date Notice/Process Served:	09/20/2010
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	06/18/2013
Monetary Compensation Amount:	\$202,228.00
Individual Contribution Amount:	\$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

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

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Customer alleges that he was misled about the risks and characteristics of certain investments.
Product Type:	Other: Structured Notes
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	No damage amount was alleged, but the firm has made a good faith determination that the damages from the alleged conduct could be \$5,000 or more.
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:	04/11/2023
Complaint Pending?	No
Status:	Denied
Status Date:	04/26/2023
Settlement Amount:	
Individual Contribution Amount:	



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 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the Florida securities and investor protection act.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Structured Notes
Alleged Damages:	\$5,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges damages "in excess of \$5,000,000."
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 #:	23-01705
Filing date of arbitration/CFTC reparation or civil litigation:	06/09/2023

Customer Complaint Information

Date Complaint Received:	06/09/2023
Complaint Pending?	Yes
Settlement Amount:	


**Individual Contribution
Amount:**

Disclosure 2 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the California Corporations Code.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Structured Notes
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges damages "of \$1,000,000 to \$5,000,000."
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 #:	23-01546
Filing date of arbitration/CFTC reparation or civil litigation:	05/26/2023

Customer Complaint Information

Date Complaint Received:	05/26/2023
Complaint Pending?	Yes
Settlement Amount:	

**Individual Contribution
Amount:**



Disclosure 3 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the Florida securities and investor protection act.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Structured Notes
Alleged Damages:	\$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges damages "of \$500,000 to \$1,000,000."
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 #:	23-01526
Filing date of arbitration/CFTC reparation or civil litigation:	05/24/2023

Customer Complaint Information

Date Complaint Received:	05/24/2023
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 8

Reporting Source:	Broker
--------------------------	--------



Employing firm when activities occurred which led to the complaint: STIFEL, NICOLAUS & COMPANY, INCORPORATED

Allegations: Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the Florida securities and investor protection act.

Product Type: Equity Listed (Common & Preferred Stock)
Other: Structured Notes

Alleged Damages: \$5,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant alleges damages "in excess of \$5,000,000."

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 #: 23-01342

Filing date of arbitration/CFTC reparation or civil litigation: 05/11/2023

Customer Complaint Information

Date Complaint Received: 05/12/2023

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STIFEL, NICOLAUS & COMPANY, INCORPORATED



Allegations:	Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the Florida securities and investor protection act.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Structured Notes
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	damages of \$1,000,000 to \$5,000,000
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 #:	23-01288
Filing date of arbitration/CFTC reparation or civil litigation:	05/09/2023

Customer Complaint Information

Date Complaint Received:	05/10/2023
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 6 of 8

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege a breach of fiduciary duty, negligence, fraud, breach of contract, violation of the Florida securities and investor protection act, and violation of ERISA.



Product Type: Equity Listed (Common & Preferred Stock)
Other: Structured Notes

Alleged Damages: \$5,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant alleges damages "in excess of \$5,000,000

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 #: 23-01270

Filing date of arbitration/CFTC reparation or civil litigation: 05/08/2023

Customer Complaint Information

Date Complaint Received: 05/10/2023

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STIFEL, NICOLAUS & COMPANY, INCORPORATED

Allegations: Claimants allege breach of fiduciary duty, negligence, fraud, breach of contract, and violation of the Florida securities and investor protection act.

Product Type: Equity Listed (Common & Preferred Stock)
Other: Structured Notes

Alleged Damages: \$5,000,000.00



Alleged Damages Amount Explanation (if amount not exact): Claimant alleges damages "in excess of \$5,000,000."

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 #: 23-01185

Filing date of arbitration/CFTC reparation or civil litigation: 05/01/2023

Customer Complaint Information

Date Complaint Received: 05/03/2023

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 8 of 8

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: STIFEL, NICOLAUS & COMPANY, INCORPORATED

Allegations: Claimant alleges negligence (breach of FINRA Rules), negligent misrepresentation, and breach of fiduciary duty in connection with an outside investment in a hedge fund and with investments purchased at Stifel.

Product Type: Other: Hedge fund and structured notes

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant alleges damages "in an amount to be determined at trial, but believed to exceed \$1,000,000."



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 #: 22-02429
**Filing date of
arbitration/CFTC reparation
or civil litigation:** 10/21/2022

Customer Complaint Information

Date Complaint Received: 10/24/2022
Complaint Pending? Yes
Settlement Amount:
**Individual Contribution
Amount:**

End of Report



This page is intentionally left blank.