

BrokerCheck Report

DAMIAN MARK BAIRD

CRD# 3097243

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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)

DAMIAN M. BAIRD

CRD# 3097243

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:

- 3 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 MOORS & CABOT, INC.**
CRD# 594
BOSTON, MA
06/2020 - 02/2023
- B MORGAN STANLEY**
CRD# 149777
WILLIAMSVILLE, NY
11/2018 - 05/2020
- B UBS FINANCIAL SERVICES INC.**
CRD# 8174
BUFFALO, NY
12/2013 - 11/2018

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
Criminal	1
Investigation	2
Customer Dispute	5
Judgment/Lien	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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - General Module Examination	Series 10	03/20/2003
B General Securities Sales Supervisor - Options Module Examination	Series 9	11/08/2002
B Investment Company Products/Variable Contracts Principal Examination	Series 26	02/19/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/28/1998
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/28/1998

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/01/2007
B Uniform Securities Agent State Law Examination	Series 63	07/29/1998

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 06/2020 - 02/2023	MOORS & CABOT, INC.	594	BOSTON, MA
B 11/2018 - 05/2020	MORGAN STANLEY	149777	WILLIAMSVILLE, NY
B 12/2013 - 11/2018	UBS FINANCIAL SERVICES INC.	8174	BUFFALO, NY
B 01/2005 - 12/2013	HSBC SECURITIES (USA) INC.	19585	DEPEW, NY
B 07/1998 - 01/2005	HSBC BROKERAGE (USA) INC.	6956	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
06/2020 - Present	Moors & Cabot	Financial Advisor	Y	Boston, MA, United States
12/2018 - 06/2020	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
11/2018 - 05/2020	Morgan Stanley	Financial Advisor	Y	Williamsville, NY, United States
12/2013 - 11/2018	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	BUFFALO, NY, United States
04/2013 - 12/2013	HSBC SECURITIES (USA) INC.	PREMIER RELATIONSHIP ADVISOR	Y	BUFFALO, 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.

LandD development LLC; Investment related Yes; New York; Real Estate; Sole Proprietor / Owner / Partner (proprietor, partner, officer, director, employee, trustee, agent); Dec 2017; During business hours: 0; After business hours: 1

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
Regulatory Event	0	2	0
Criminal	0	1	0
Customer Dispute	1	4	N/A
Investigation	2	N/A	N/A
Judgment/Lien	1	N/A	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:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	03/20/2023
Docket/Case Number:	20-02339
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Baird failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter



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:

03/20/2023

Sanctions Ordered:

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:	All Capacities
Duration:	Indefinite
Start Date:	03/20/2023
End Date:	

**Regulator Statement**

Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Baird is suspended on March 20, 2023 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Denial
Date Initiated:	08/07/2014
Docket/Case Number:	54079-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	No Product
Allegations:	MAKING A MATERIAL FALSE STATEMENT ON THE APPLICATION FOR REGISTRATION
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:	04/24/2015
Sanctions Ordered:	Denial
Regulator Statement	ON 4/24/2015, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF DAMIAN MARK BAIRD. MR. BAIRD NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. BAIRD MADE A MATERIAL MISSTATEMENT ON THE APPLICATION FOR REGISTRATION. PURSUANT TO



THE ORDER, MR. BAIRD'S APPLICATION FOR REGISTRATION AS AN ASSOCIATED PERSON OF UBS FINANCIAL SERVICES INC. IS DENIED WITHOUT PREJUDICE TO REAPPLY.

Reporting Source:	Broker
Regulatory Action Initiated By:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Denial
Date Initiated:	08/07/2014
Docket/Case Number:	54079-SR
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	No Product
Allegations:	THE DEPARTMENT ALLEGED MR. BAIRD PROVIDE INACCURATE INFORMATION ON THE APPLICATION FOR REGISTRATION.
Current Status:	Final
Resolution:	Stipulation and Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/13/2015
Sanctions Ordered:	Denial
Broker Statement	ON APRIL 24, 2015, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF DAMIAN MARK BAIRD. MR. BAIRD NEITHER ADMITTED NOR DENIED THE FINDINGS BUT CONSENTED TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT MR. BAIRD'S ANSWER TO QUESTION 14A(1)(B) ON FORM U-4 WAS AN OMISSION OF PART OF HIS LAW ENFORCEMENT RECORD THAT WAS REQUIRED TO BE DISCLOSED ON THE APPLICATION FOR BD AGENT REGISTRATION. PURSUANT TO THE ORDER, MR. BAIRD'S APPLICATION FOR REGISTRATION AS AN ASSOCIATED



PERSON OF UBS FINANCIAL SERVICES INC. WAS DENIED WITHOUT PREJUDICE AND MR. BAIRD IS ENTITLED TO SUBMIT A NEW APPLICATION FOR REGISTRATION.



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source: Broker

If charge(s) were brought against an organization over which broker exercised control:

Organization Name:

Investment Related Business: No

Broker's Position:

Formal Charges were brought in: State Court

Name of Court: ERIE COUNTY SUPERIOR COURT

Location of Court: BUFFALO, NEW YORK

Docket/Case #: 2007-1382

Charge Date: 04/19/2007

Charge(s) 1 of 2

Formal Charge(s)/Description: DRIVING WHILE INTOXICATED IN VIOLATION OF SECTION 1192.2,1193-1C1 OF THE VEHICLE AND TRAFFIC LAW.

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: NOT GUILTY

Disposition of charge: Dismissed

Charge(s) 2 of 2

Formal Charge(s)/Description: DRIVING WHILE INTOXICATED IN VIOLATION OF SECTION 1192-3, 1193-1 OF THE VEHICLE AND TRAFFIC LAW.

No of Counts: 1

Felony or Misdemeanor: Felony



Plea for each charge:	NOT GUILTY
Disposition of charge:	Reduced
Date of Amended Charge:	01/10/2008
Charge was Amended or reduced to:	DRIVING WHILE INTOXICATED, VTL.1192-3, "U" MISDEMEANOR
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY TO "U" MISDEMEANOR
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	03/12/2008
Disposition Date:	01/10/2008
Sentence/Penalty:	SENTENCED ON 3/12/2008 TO 3 YEARS PROBATION; FINED \$750.00; LICENSED REVOKED FOR 6 MONTHS.



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 2

Reporting Source:	Regulator
Initiated By:	FINRA
Notice Date:	07/14/2023
Details:	FINRA Case #20230776692/20230782402. On July 14, 2023, FINRA made a preliminary determination to recommend that disciplinary action be brought against Damian Baird alleging violations of FINRA Rule 8210 and 2010 in that he failed to respond to FINRA requests for documents and information and also requested on-the-record testimony.
Is Investigation pending?	Yes

Disclosure 2 of 2

Reporting Source:	Firm
Initiated By:	Erie County, NY and Tonawanda, NY Police Department.
Notice Date:	03/01/2023
Details:	Clients contacted law enforcement concerning the customer complaint described in Section 7E, particularly that the check deposited by the clients in the amount of \$50,000 may have been altered and was made payable to Damian Baird. Case # 23-309707 is being handled by Officer Okun of Tonawanda Police Department. The matter was referred to Assistant DA Brian Disaro of Erie County, NY.
Is Investigation pending?	Yes
Firm Statement	See DRP description for item 7E.



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

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	HSBC BROKERAGE (USA) INC.
Allegations:	BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, COMMON LAW FRAUD, DECEPTIVE ACTS AND PRACTICES, UNSUITABILITY, MISREPRESENTATION, OMISSION OF MATERIAL FACTS, FAILURE TO FOLLOW CUSTOMER DIRECTIVES
Product Type:	Mutual Fund(s)
Other Product Type(s):	UNIT INVESTMENT TRUST
Alleged Damages:	\$55,547.06
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #03-04471
Date Notice/Process Served:	06/17/2003
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/21/2005
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$49,963.06

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	HSBC BROKERAGE (USA) INC.
Allegations:	CLIENT ALLEGES UNSUITABLE TRANSACTION, MISREPRESENTING OR OMMITTING MATERIAL FACTS AND ENGAGING IN DECEPTIVE ACTS AND PRACTICES.
Product Type:	Mutual Fund(s)



Other Product Type(s): UNIT INVESMENT TRUST.

Alleged Damages: \$55,547.06

Customer Complaint Information

Date Complaint Received: 07/02/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/02/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 03-04471.](#)

Date Notice/Process Served: 07/02/2003

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/21/2005

Monetary Compensation Amount: \$49,963.06

Individual Contribution Amount: \$0.00



Customer Dispute - Settled

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:	HSBC SECURITIES (USA) INC.
Allegations:	CLAIMANTS ALLEGE THAT THE INVESTMENT RECOMMENDED WAS UNSUITABLE.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$150,000.00

Customer Complaint Information

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

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NUMBER 05-02715
Date Notice/Process Served:	05/28/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/04/2006
Monetary Compensation Amount:	\$42,000.00
Individual Contribution Amount:	\$21,000.00



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 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: HSBC SECURITIES (USA) INC.

Allegations: CUSTOMER CLAIMS HE WANTED A LARGE BLOCK OF HIS FUNDS INVESTED MOST CONSERVATIVELY, BASICALLY AS CLOSE TO A CASH-EQUIVALENT AS POSSIBLE. CLAIMS RR'S RECOMMENDATION TO INVEST IN RMUNX DID NOT MEET THIS CRITERIA. ALLEGED COMPENSATORY DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/30/2008

Complaint Pending? No

Status: Denied

Status Date: 03/05/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: HSBC BROKERAGE (USA) INC.

Allegations: CLIENT ALLEGED REGISTERED REPRESENTATIVE FAILED TO DISCLOSE RELEVANT INFORMATION.

Product Type: Mutual Fund(s)



Alleged Damages: \$53,026.00

Customer Complaint Information

Date Complaint Received: 07/30/2002

Complaint Pending? No

Status: Denied

Status Date: 09/19/2002

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Moors and Cabot, Inc.

Allegations: [REDACTED] were contacted by their new advisor. Account [REDACTED] was opened and never funded. Account [REDACTED] was another account in which clients wrote a check for \$50,000 on February 3, 2023 for deposit. The bank's fraud department contacted the clients with concerns that the check which was presented for payment on February 24, 2023 may have been altered and was made payable to Damian Baird.

Product Type: No Product

Alleged Damages: \$50,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/01/2023

Complaint Pending? Yes

Status:

Status Date: 03/20/2023

Settlement Amount:

Individual Contribution Amount:



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	NY State Department of Taxation and Finance
Judgment/Lien Amount:	\$23,815.89
Judgment/Lien Type:	Tax
Date Filed with Court:	12/22/2021
Date Individual Learned:	03/30/2022
Type of Court:	NY State
Name of Court:	NY State Department of Taxation and Finance
Location of Court:	Albany, NY
Docket/Case #:	E-041287215-E002-5
Judgment/Lien Outstanding?	Yes

End of Report



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