



IAPD Report

ROBERT JOSEPH DONOVAN

CRD# 1005325

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBERT JOSEPH DONOVAN (CRD# 1005325)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	12/02/2025
IA	WELLS FARGO ADVISORS	CRD# 19616	01/09/2026

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **53** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	UBS FINANCIAL SERVICES INC.	8174	ROCKLAND, MA	03/01/2012 - 12/11/2025
B	UBS FINANCIAL SERVICES INC.	8174	ROCKLAND, MA	01/04/2008 - 12/11/2025
B	CITIGROUP GLOBAL MARKETS INC.	7059	HINGHAM, MA	07/31/1993 - 01/23/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	12/02/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	12/02/2025
B FINRA	General Securities Representative	Approved	12/02/2025
B NYSE American LLC	General Securities Representative	Approved	12/02/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	12/02/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	12/02/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/02/2025
B Nasdaq Stock Market	General Securities Representative	Approved	12/02/2025
B New York Stock Exchange	General Securities Representative	Approved	12/02/2025
B Alabama	Agent	Approved	01/12/2026
B Alaska	Agent	Approved	01/14/2026



Qualifications

Regulator	Registration	Status	Date
B Arizona	Agent	Approved	01/09/2026
B Arkansas	Agent	Approved	01/12/2026
B California	Agent	Approved	12/02/2025
B Colorado	Agent	Approved	01/14/2026
B Connecticut	Agent	Approved	12/02/2025
B Delaware	Agent	Approved	01/12/2026
B District of Columbia	Agent	Approved	12/02/2025
B Florida	Agent	Approved	01/09/2026
IA Florida	Investment Adviser Representative	Approved	01/09/2026
B Georgia	Agent	Approved	12/02/2025
B Hawaii	Agent	Approved	03/31/2026
B Idaho	Agent	Approved	12/03/2025
B Illinois	Agent	Approved	05/28/2026
B Indiana	Agent	Approved	12/02/2025
B Iowa	Agent	Approved	01/13/2026
B Kansas	Agent	Approved	12/02/2025
B Kentucky	Agent	Approved	12/02/2025
B Louisiana	Agent	Approved	12/02/2025
B Maine	Agent	Approved	12/02/2025



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	12/02/2025
B Massachusetts	Agent	Approved	12/22/2025
B Michigan	Agent	Approved	12/02/2025
B Minnesota	Agent	Approved	01/09/2026
B Mississippi	Agent	Approved	01/09/2026
B Missouri	Agent	Approved	12/02/2025
B Montana	Agent	Approved	12/02/2025
B Nebraska	Agent	Approved	12/09/2025
B Nevada	Agent	Approved	01/12/2026
B New Hampshire	Agent	Approved	12/02/2025
B New Jersey	Agent	Approved	01/23/2026
B New Mexico	Agent	Approved	12/02/2025
B New York	Agent	Approved	12/02/2025
B North Carolina	Agent	Approved	01/21/2026
B North Dakota	Agent	Approved	03/18/2026
B Ohio	Agent	Approved	12/02/2025
B Oklahoma	Agent	Approved	01/12/2026
B Oregon	Agent	Approved	01/22/2026
B Pennsylvania	Agent	Approved	12/02/2025



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	02/03/2026
B Rhode Island	Agent	Approved	01/09/2026
B South Carolina	Agent	Approved	12/26/2025
B South Dakota	Agent	Approved	12/15/2025
B Tennessee	Agent	Approved	12/22/2025
B Texas	Agent	Approved	12/02/2025
B Utah	Agent	Approved	01/12/2026
B Vermont	Agent	Approved	12/02/2025
B Virgin Islands	Agent	Approved	01/12/2026
B Virginia	Agent	Approved	01/14/2026
B Washington	Agent	Approved	12/22/2025
B West Virginia	Agent	Approved	01/12/2026
B Wisconsin	Agent	Approved	12/02/2025
B Wyoming	Agent	Approved	12/02/2025

Branch Office Locations

WELLS FARGO ADVISORS
 2989 PGA BLVD STE 200
 PALM BEACH GARDENS, FL 33410

WELLS FARGO ADVISORS
 125 HIGH ST
 STE 1359A
 BOSTON, MA 02110

WELLS FARGO ADVISORS
 PALM BEACH GARDENS, FL



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering 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
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	08/15/1981
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/02/1992
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 Uniform Securities Agent State Law Examination (S63)	Series 63	09/15/1981
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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/01/2012 - 12/11/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROCKLAND, MA
B	01/04/2008 - 12/11/2025	UBS FINANCIAL SERVICES INC.	CRD# 8174	ROCKLAND, MA
B	07/31/1993 - 01/23/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	HINGHAM, MA
B	02/19/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	08/26/1981 - 02/22/1988	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2025 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BOSTON, MA, United States
01/2008 - 12/2025	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	BRAINTREE, MA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	6

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS Financial Services INC
Allegations:	Allegations as stated by Claimant: Time frame: January to March 2020 Allegations: Claimants' counsel alleges unsuitability of certain investments, and that such investments resulted in principal losses. Claimants' counsel further alleges financial advisor executed transactions that resulted in a substantial tax bill without adequately discussing the tax consequences with Claimants.
Product Type:	Other: Equities
Alleged Damages:	\$550,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	20-03529
Filing date of arbitration/CFTC reparation or civil litigation:	10/15/2020

Customer Complaint Information



Date Complaint Received: 10/15/2020
Complaint Pending? No
Status: Settled
Status Date: 02/10/2023
Settlement Amount: \$40,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: THE CLIENT'S ATTORNEY ALLEGED UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS. 2000 - 2001. ALLEGED DAMAGES UNSPECIFIED.
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s): EQUITY - OTC
MUTUAL FUNDS
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/09/2002
Complaint Pending? No
Status: Denied
Status Date: 05/20/2002
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 3 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SMITH BARNEY, INC.
Allegations: CLIENT ALLEGED THAT THE INVESTMENTS MADE IN HIS ACCOUNT WERE UNSUITABLE. 1996-1999
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s): CORPORATE BONDS
Alleged Damages: \$107,000.00

Customer Complaint Information

Date Complaint Received: 01/04/2000



Complaint Pending? No
Status: Denied
Status Date: 03/13/2000
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE CLIENT'S CLAIM WAS DENIED.

Disclosure 4 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: CLIENT ALLEGED THAT HER FINANCIAL CONSULTANT "BREACHED FIDUCIARY DUTIES BY NOT MAKING FULL INITIAL DISCLOSURE TO [HER] REGARDING HIS BIASES AND BY INDUCING [HER] TO MAKE UNSOUND PURCHASES AND DISPROPORTIONATE ACCOUNT ALLOCATIONS THAT RUN CONTRARY TO THE SOUND, BALANCED ORIENTATION [SHE] SOUGHT EXPRESSLY."
Product Type: Equity Listed (Common & Preferred Stock)
Other Product Type(s): CORPORATE BOND
Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 11/01/1999
Complaint Pending? No
Status: Denied
Status Date: 12/13/1999
Settlement Amount:
Individual Contribution Amount:
Broker Statement PROVIDED DENIAL OF CLIENT'S CLAIM TO REGULATOR, CLIENT DID NOT WRITE BACK.

Disclosure 5 of 6

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: SUITABILITY
Product Type:
Alleged Damages: \$138,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-04301

Date Notice/Process Served: 01/06/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/01/1994

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMER CLAIMS LOSSES OF \$138,000.00 AS A RESULT OF OUTSIDE INVESTMENT ADVISOR TRADING ACCOUNT.

Product Type:

Alleged Damages: \$138,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/01/1994

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 93-04301

Date Notice/Process Served: 01/06/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/01/1994

Monetary Compensation Amount: \$16,000.00

**Individual Contribution
Amount:****Firm Statement**

SETTLED FOR \$16,000.00
SETTLED TO AVOID COST AND UNCERTAINTY OF
LITIGATION.

Reporting Source:

Individual

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

MERRILL LYNCH

Allegations:

CUSTOMER CLAIMS LOSSES OF \$138,000 AS A
RESULT OF OUTSIDE INVESTMENT ADVISOR TRADING ACCOUNT

Product Type:**Alleged Damages:**

\$138,000.00

Customer Complaint Information**Date Complaint Received:****Complaint Pending?**

No

Status:

Arbitration/Reparation

Status Date:

11/01/1994

Settlement Amount:**Individual Contribution
Amount:****Arbitration Information****Arbitration/Reparation Claim
filed with and Docket/Case
No.:**

NASD; 93-04301

Date Notice/Process Served:

01/06/1994

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

11/01/1994

**Monetary Compensation
Amount:**

\$16,000.00

**Individual Contribution
Amount:****Broker Statement**

NOT PROVIDED
[CUSTOMER] RETAINED INTERINVEST A MERRILL LYNCH
APPROVED [THIRD PARTY] COUNSELOR TO MANAGE HER ACCOUNT. SHE
SIGNED
A LIMITED POWER OF ATTORNEY GRANTING [THIRD PARTY] TRADING
AUTHORITY OVER HER ACCOUNT. [THIRD PARTY] MADE ALL
INVESTMENT DECISIONS FOR THE CLIENT. MY ROLE ENTAILED
EXECUTING
ALL TRADES FOR THE ACCOUNT. [CUSTOMER] NEVER EXPRESS CONCERN
ABOUT
THE MANNER IN WHICH HER ACCOUNT WAS BEING HANDLED BY
[THIRD PARTY]. [THIRD PARTY] REMAINED ON MERRILL'S LIST OF



APPROVED
 [THIRD PARTY] MANAGERS AT ALL TIMES. MERRILL LYNCH SUCESSFULLY
 PETITIONED LIST OF APPROVED [THIRD PARTY] MANAGERS AT ALL TIMES.
 MERRILL LYNCH SUCESSFULLY PETITIONED THE NY STATE SUPREME
 COURT
 WHEREBY ALL CLAIMS RELATING TO EVENTS PRIOR TO SEPT. 20, 1987
 WOULD BE BARRED AND ALL CLAIMS FOR ATTORNEY FEES AND PUNITIVE
 DAMAGES WERE ALSO BARRED.

Disclosure 6 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations:

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN CONVERSION; 88-03251

Date Notice/Process Served: 08/02/1988

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/22/1990

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Firm Statement

"ON AUGUST 2, 1988, CUSTOMER [CUSTOMER] FILED AN
 ARBITRATION CLAIM (CASE #88-03251). THE CUSTOMER COMPLAINS THAT
 UNSUITABLE TRANSACTIONS WERE PURCHASED IN HIS ACCOUNT.
 FINANCIAL CONSULTANT (DONOVAN) WAS JUST THE ORDER TAKER. ON
 MARCH 22, 1990, THIS CASE WAS SETTLED FOR \$15,000. TRADES WERE
 PLACED BY AN OUTSIDE INVESTMENT ADVISOR WHO HAD POWER OF
 ATTORNEY FROM CUSTOMER."



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: THERE WERE NO ALLEGATIONS AGAINST ME. [CUSTOMER] FILED AGAINST MERRILL LYNCH AND [THIRD PARTY] (HOLDER OF [CUSTOMER] DISCRETIONARY POWER OF ATTORNEY). THE POWER OF ATTORNEY ALSO ALL'D MERRILL TO EXECUTE ORDERS GIVEN BY [THIRD PARTY]. AS AN EMPLOYEE OF MERRILL, I CARRIED OUT THESE ORDERS, BUT PLAYED NO PART IN THE SELECTION OF THE TRANSACTION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN CONVERSION; 88-03251

Date Notice/Process Served: 08/02/1988

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/22/1990

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement \$15,000.00 SETTLEMENT PAID, UPON INFORMATION AND BELIEF BY MERRILL LYNCH, I AM NOT AWARE OF ANY FELONY, MISDEMEANOR, SUSPENSION OR RESTRICTION. I DID NOT CONTRIBUTE TO THE SETTLEMENT.
NOT PROVIDED



End of Report

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