IAPD Report

WILLIAM LAWRENCE CHAMBERS

CRD# 1158898

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

[User Guidance](#)

www.adviserinfo.sec.gov

Report Summary

WILLIAM LAWRENCE CHAMBERS (CRD# 1158898)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	10/01/2007
IA	HUNTLEIGH ADVISORS, INC.	CRD# 113412	10/15/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	ST. LOUIS, MO	05/12/2000 - 10/02/2007
IA	ROBERT W. BAIRD & CO. INCORPORATED	8158	ST. LOUIS, MO	08/22/2000 - 07/07/2005
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	02/03/1994 - 05/31/2000

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	4

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 **37** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**

Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Firm ID#: 7456

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/01/2007
B	FINRA	General Securities Sales Supervisor	Approved	10/01/2007
B	Alabama	Agent	Approved	05/19/2026
B	Arizona	Agent	Approved	08/19/2015
B	Arkansas	Agent	Approved	11/16/2007
B	California	Agent	Approved	07/24/2008
B	Colorado	Agent	Approved	01/11/2011
B	Delaware	Agent	Approved	08/28/2017
B	Florida	Agent	Approved	10/01/2007
B	Georgia	Agent	Approved	10/12/2021
B	Idaho	Agent	Approved	09/10/2014
B	Illinois	Agent	Approved	10/01/2007
B	Indiana	Agent	Approved	10/04/2007

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	10/08/2007
B	Kansas	Agent	Approved	10/01/2007
B	Kentucky	Agent	Approved	01/11/2011
B	Maine	Agent	Approved	05/20/2026
B	Maryland	Agent	Approved	10/29/2018
B	Michigan	Agent	Approved	10/14/2021
B	Minnesota	Agent	Approved	12/24/2024
B	Mississippi	Agent	Approved	05/22/2026
B	Missouri	Agent	Approved	10/04/2007
B	Nebraska	Agent	Approved	09/10/2019
B	Nevada	Agent	Approved	10/01/2007
B	New Jersey	Agent	Approved	10/01/2007
B	New York	Agent	Approved	10/01/2007
B	North Carolina	Agent	Approved	01/12/2011
B	Ohio	Agent	Approved	10/01/2007
B	Oklahoma	Agent	Approved	01/18/2012
B	Oregon	Agent	Approved	10/01/2007
B	Pennsylvania	Agent	Approved	10/30/2018
B	South Carolina	Agent	Approved	10/03/2007

Qualifications

	Regulator	Registration	Status	Date
B	South Dakota	Agent	Approved	03/03/2025
B	Tennessee	Agent	Approved	06/14/2016
B	Texas	Agent	Approved	10/01/2007
B	Utah	Agent	Approved	10/01/2007
B	Virginia	Agent	Approved	10/01/2007
B	Washington	Agent	Approved	10/01/2007
B	Wisconsin	Agent	Approved	10/03/2019

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Employment 2 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**

Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Firm ID#: 113412

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	10/24/2024
IA	Missouri	Investment Adviser Representative	Approved	10/15/2024
IA	North Carolina	Investment Adviser Representative	Approved	10/16/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	05/20/2026

Qualifications

Branch Office Locations

HUNTLEIGH ADVISORS, INC.
7800 Forsyth Blvd - 5th Floor
St. Louis, MO 63105

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 2 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 (S10)	Series 10	04/01/2005
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	03/01/2005

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	08/29/1983
B	General Securities Representative Examination (S7)	Series 7	07/16/1983

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/22/2024
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1983

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/12/2000 - 10/02/2007	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	ST. LOUIS, MO
IA	08/22/2000 - 07/07/2005	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	ST. LOUIS, MO
B	02/03/1994 - 05/31/2000	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	08/08/1988 - 01/31/1994	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	07/18/1988 - 01/31/1994	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	04/11/1988 - 07/30/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	
B	07/21/1983 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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
09/2024 - Present	HUNTLEIGH ADVISORS, INC.	Investment Advisor Representative	Y	ST. LOUIS, MO, United States
10/2007 - Present	HUNTLEIGH SECURITIES CORPORATION	SALES MANAGER	Y	ST. LOUIS, MO, 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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HUNTLEIGH SECURITIES CORPORATION
Allegations:	CLIENT FILED A COMPLAINT WITH THE ILLINOIS DEPARTMENT OF INSURANCE, CLAIMING SHE WAS NOT FULLY INFORMED ABOUT THE SURRENDER CHARGES ON A VARIABLE ANNUITY SHE PURCHASED IN NOVEMBER 2010. PAPERWORK SIGNED BY THE CLIENT AT THE TIME OF SALE, AS WELL AS A STATEMENT BY THE RR CONFIRM SHE WAS AWARE OF THE SURRENDER CHARGES.
Product Type:	Annuity-Variable
Alleged Damages:	$15,500.00
Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATE AMOUNT OF THE SURRENDER CHARGES WHICH WOULD BE INCURRED IF CONTRACT WAS LIQUIDATED.
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:	02/23/2015
Complaint Pending?	No

Status: Closed/No Action

Status Date: 02/23/2017

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE INFORMATION AND DOCUMENTATION AVAILABLE CONFIRM THE CONTRACT WAS SUITABLE AT THE TIME OF SALE AND THAT THE CLIENT WAS AWARE OF THE CONTRACT'S SURRENDER CHARGES. NO FURTHER ACTION WAS TAKEN - COMPLAINT HAS BEEN CLOSED.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: [CUSTOMER] AS TRUSTEE OF [CUSTOMER] FAMILY IRREVOCABLE TRUST, ALLEGES THAT MR. CHAMBERS RECOMMENDED TWO INCOME FUNDS, THE EATON VANCE CLASSIC SENIOR FLOATING RATE FUND AND THE VAN KAMPEN AMERICAN CAPITAL SENIOR INCOME TRUST, THAT WERE NOT SUITABLE DUE TO THIER LIQUIDATION COSTS. [CUSTOMER] FURTHER ALLEGES THAT ME. CHAMBERS SWITCHED THEM FROM THE EATON VANCE FUND TO THE VAN KAMPEN FUND WITHOUT THEIR AUTHORIZATION AND THAT THEIR SALE OF THE VAN KAMPEN FUND CAUSED THEM LOSSES OF $384,042.16.

Product Type: Mutual Fund(s)

Alleged Damages: $384,042.16

Customer Complaint Information

Date Complaint Received: 03/01/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/16/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #01-03561

Date Notice/Process Served: 07/16/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/27/2002

Monetary Compensation $232,500.00

Amount:

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBS OPPENHEIMER CORP. A/K/A CIBC WORLD MARKETS

Allegations: THE TRUSTEE OF [CUSTOMER]S FAMILY IRREVOCABLE TRUST ALLEGES THAT INVESTMENTS IN TWO INCOME FUNDS, THE EATON VANCE CLASSIC SENIOR FUND AND THE VAN KAMPEN AMERICAN CAPITAL SENIOR INCOME TRUST, WERE UNSUITABLE AND THAT THE EXCHANGE FROM THE EATON VANCE FUND TO THE VAN KAMPEN FUND WAS UNAUTHORIZED. IN ADDITION THE TRUSTEE ALLEGES THE SALE OF THE VAN KAMPEN FUND CAUSED A LOSS OF $384,042.16. HOWEVER, THE TRANSACTIONS WERE AUTHORIZED BY ANOTHER TRUSTEE WHO WAS IN PLACE AT THE TIME.

Product Type: Mutual Fund(s)

Alleged Damages: $384,042.16

Customer Complaint Information

Date Complaint Received: 07/13/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/01/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NUMBER 01-03561

Date Notice/Process Served: 07/13/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/27/2002

Monetary Compensation Amount: $232,500.00

Individual Contribution Amount: $0.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: THE CUSTOMER COMPLAINT ALLEGES THAT MR. CHAMBERS

	MISREPRESENTED MATERIAL FACTS REGARDING THE ANNUITIES HE RECOMMENDED TO CUSTOMER. THE CUSTOMER SEEKS RECOVERY OF DAMAGES IN EXCESS OF $5,000.00.
Product Type:	Debt - Corporate
Other Product Type(s):	ANNUITIES
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	02/26/2001
Complaint Pending?	No
Status:	Denied
Status Date:	04/04/2001
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CBIC WORLD MARKETS CORP
Allegations:	THE CUSTOMER COMPLAINT ALLEGES THAT MR CHAMBERS MISREPRESENTED MATERIAL FACTS REGARDING THE ANNUITIES HE RECOMMENDED TO CUSTOMER. THE CUSTOMER SEEKS RECOVERY OF DAMAGES IN EXCESS OF $5,000.00.
Product Type:	Annuity(ies) - Fixed
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	02/26/2001
Complaint Pending?	No
Status:	Denied
Status Date:	04/04/2001
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN HUTTON INC.
Allegations:	
Product Type:	
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received: 03/01/1987

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Firm Statement HUTTON SOUGHT TO RECOVER A DEBIT OF $26,327. IN THE ACCOUNT OF [CUSTOMER]. THERE WAS TWO OTHER RELATED ACCOUNTS, BOTH ESTATE ACCOUNTS WITH [OTHER CUSTOMER NAMED] AS EXECUTOR. HUTTON CONTENDED THAT THE DEBIT AROSE BECAUSE [OTHER CUSTOMER NAMED] ORDERED STOCK TO BE TRANSFERRED BETWEEN ACCOUNTS AND TO BE SOLD, BUT DID NOT SIGN THE NECESSARY DOCUMENTS AFTER PROMISING TO DO SO, AND THE STOCK HAD TO BE BOUGHT BACK AND THEN SOLD AGAIN. HUTTON BROUGHT SUIT IN STATE COURT. [CUSTOMER]'S ATTORNEY CONTENDED THAT THE TRANSFERS OF STOCK
WERE MADE WITHOUT APPROPRIATE AUTHORIZATION AND WITHOUT PROPER
DOCUMENTATION, AND HE THREATENED TO SUE HUTTON AND THE BROKER,
WILLIAM F. CHAMBERS IN FEDERAL COURT. LARGELY TO AVOID THE TIME AND EXPENSES OF BEING INVOLVED IN TWO CIVIL LAWSUITS, HUTTON DECIDED TO SETTLE THE DISPUTE BY PAYING THE CUSTOMER $15,000. OF THE $16,327. DEBIT BALANCE, APPROXIMATELY $17,000 WAS RECOVERED AND $9,000. WAS WRITTEN OFF.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN HUTTON INC.

Allegations: $300,000 FOR FINANCIAL AND EMOTIONAL STRESS.

Product Type: Mutual Fund(s)

Alleged Damages: $300,000.00

Customer Complaint Information

Date Complaint Received: 03/01/1987

Complaint Pending? No

Status: Settled

Status Date: 08/15/1987

Settlement Amount: $15,000.00

Individual Contribution Amount: $0.00

Broker Statement IN ORDER TO AVOID THE TIME AND EXPENSE OF
LITIGATION SHEARSON SETTLED WITH THE CLIENT FOR $15,000. I DID NOT CONTRIBUTE TO THE SETTLEMENT. THE DEBIT BALANCE IN MS.

[CUSTOMER]'S ACCOUNT WAS SOLELY THE RESULT OF HER SON, [OTHER CUSTOMER NAMED] (EXECUTOR OF PARENTS' ESTATE). FAILING TO PROVIDE THE REQUIRED LEGAL DOCUMENTATION TO SELL THE STOCK CERTIFICATES. THE FIRM HAD TO BUY BACK THE STOCK AND RE-SELL AT A LOWER MARKET PRICE. IN DISCUSSING THE MATTER WITH ME, SHE BLAMED HER SON'S IRRESPONSIBLITY.
NOT CONTRIBUTE TO THE SETTLEMENT.
THE DEBIT BALANCE IN [CUSTOMER]'S ACCOUNT WAS
SOLELY THE RESULT OF HER SON, [OTHER CUSTOMER NAMED]
(EXECUTOR OF HER
PARENTS' ESTATE), FAILING TO PROVIDE THE REQUIRED LEGAL DOCUMENTATION TO SELL THE STOCK CERTIFICATES. THE FIRM HAD TO BUY BACK THE STOCK AND RE-SELL AT A LOWER MARKET PRTCE. IN DISCUSSING THE MATTER WITH ME, SHE BLAMED HER SON'S IRRESPONSIBILITY.

End of Report

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