



IAPD Report

BRADLEY JOSEPH ROSS

CRD# 1325524

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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

BRADLEY JOSEPH ROSS (CRD# 1325524)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/17/2011
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	11/28/2011

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **42** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	FT. LAUDERDALE, FL	10/21/2009 - 12/02/2011
B	RAYMOND JAMES & ASSOCIATES, INC.	705	FT. LAUDERDALE, FL	04/13/2006 - 12/02/2011
B	JANNEY MONTGOMERY SCOTT LLC	463	FT. LAUDERDALE, FL	04/09/1999 - 05/10/2006

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	7



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 **42** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**
Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086
Firm ID#: 8174

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/17/2011
B FINRA	General Securities Representative	Approved	11/17/2011
B NYSE American LLC	General Securities Representative	Approved	01/03/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	11/17/2011
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	11/17/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	11/17/2011
B Nasdaq Stock Market	General Securities Representative	Approved	11/17/2011
B New York Stock Exchange	General Securities Representative	Approved	11/17/2011
B Alabama	Agent	Approved	12/15/2011
B Arizona	Agent	Approved	11/02/2018
B Arkansas	Agent	Approved	09/25/2014



Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	11/17/2011
B	Colorado	Agent	Approved	06/05/2014
B	Connecticut	Agent	Approved	02/08/2018
B	Delaware	Agent	Approved	07/18/2024
B	District of Columbia	Agent	Approved	04/18/2012
B	Florida	Agent	Approved	11/17/2011
IA	Florida	Investment Adviser Representative	Approved	11/28/2011
B	Georgia	Agent	Approved	11/17/2011
B	Illinois	Agent	Approved	11/17/2011
B	Indiana	Agent	Approved	07/17/2024
B	Kansas	Agent	Approved	02/04/2015
B	Kentucky	Agent	Approved	12/02/2020
B	Louisiana	Agent	Approved	07/02/2012
B	Maine	Agent	Approved	07/15/2024
B	Maryland	Agent	Approved	07/28/2017
B	Massachusetts	Agent	Approved	11/17/2011
B	Michigan	Agent	Approved	11/17/2011
B	Minnesota	Agent	Approved	07/16/2024
B	Mississippi	Agent	Approved	07/16/2024



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	11/17/2011
B New Hampshire	Agent	Approved	11/17/2011
B New Jersey	Agent	Approved	11/17/2011
B New Mexico	Agent	Approved	07/15/2024
B New York	Agent	Approved	08/31/2015
B North Carolina	Agent	Approved	12/05/2011
B Ohio	Agent	Approved	11/17/2011
B Oregon	Agent	Approved	09/18/2024
B Pennsylvania	Agent	Approved	11/17/2011
B Puerto Rico	Agent	Approved	07/24/2024
B Rhode Island	Agent	Approved	11/17/2011
IA Rhode Island	Investment Adviser Representative	Approved	09/15/2023
B South Carolina	Agent	Approved	06/06/2013
B Tennessee	Agent	Approved	08/16/2013
B Texas	Agent	Approved	11/30/2011
IA Texas	Investment Adviser Representative	Restricted Approval	01/02/2026
B Utah	Agent	Approved	08/31/2018
B Vermont	Agent	Approved	07/16/2024



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	03/24/2014
B Washington	Agent	Approved	11/30/2011
B West Virginia	Agent	Approved	04/16/2014
B Wisconsin	Agent	Approved	07/16/2024
B Wyoming	Agent	Approved	08/05/2024

Branch Office Locations

UBS FINANCIAL SERVICES INC.
401 EAST LAS OLAS BOULEVARD
LAS OLAS CENTRE
FT. LAUDERDALE, FL 33301



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	01/19/1985
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/13/2009
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1985
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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	10/21/2009 - 12/02/2011	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. LAUDERDALE, FL
B	04/13/2006 - 12/02/2011	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. LAUDERDALE, FL
B	04/09/1999 - 05/10/2006	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	FT. LAUDERDALE, FL
B	03/27/1997 - 03/17/1999	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	02/24/1995 - 04/01/1997	COBURN & MEREDITH, INC.	CRD# 164	SIMSBURY, CT
B	01/24/1995 - 02/27/1995	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	10/03/1994 - 02/24/1995	MERIDIAN, DUNHILL & CO., INC.	CRD# 15294	
B	09/21/1992 - 10/03/1994	DUNHILL EQUITIES, INC.	CRD# 21822	GARDEN CITY, NY
B	10/01/1990 - 09/16/1992	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/08/1989 - 10/05/1990	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	01/23/1985 - 02/09/1989	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
11/2011 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	FT LOUDERDALE, FL, 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	7

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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Claimant alleges over-concentration and unauthorized trading with respect to certain securities which are historically used as hedges against the market and inflation. Time frame: 2011 - Present.
Product Type:	Equity-OTC Mutual Fund Other: ETFs
Alleged Damages:	\$99,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	16-01405
Date Notice/Process Served:	05/19/2016
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/27/2017
Monetary Compensation Amount:	\$25,000.00



Individual Contribution Amount: \$0.00

Broker Statement "I categorically deny all the allegations as stated by this claimant. Just because this case was settled does not mean that there is any omission of liability or wrongdoing on my part whatsoever. The Firm settled this matter solely as a business decision to avoid the cost and uncertainty of the arbitration forum. I was not asked to personally contribute any monies toward the settlement of this case.

Disclosure 2 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: Time FRame: 2012 to 2014
The client alleges the FA refused to follow client's directives to sell, violated multiple fiduciary obligations including the buying of unsuitable investments and making unauthorized trading.

Product Type: Other: Mutual Funds; Equities

Alleged Damages: \$94,862.00

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: 04/14/2015

Complaint Pending? No

Status: Settled

Status Date: 12/15/2015

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: TIME FRAME: 2012 TO 2015
THE CLIENT ALLEGES THAT THE RECOMMENDATIONS TO INVEST IN GOLDEN QUEEN MINING LTD AND TOCQUEVILLE GOLD FUND WERE NOT CONSISTENT WITH THEIR RISK TOLERANCE. CLIENT STATES THAT " THIS WAS A TOTAL DISREGARD FOR MY RISK TOLERANCE AND AN RADICALLY UNSUITABLE RECOMMENDATION BASED ON BOTH MY RISK TOLERANCE AND INVESTMENT HISTORY.

Product Type: Other: MUTUAL FUNDS



Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,000.00
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: 05/19/2015
Complaint Pending? No
Status: Denied
Status Date: 07/21/2015
Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 7

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANT ALLEGES UNSUITABILITY AND OVERCONCENTRATION OF THEIR MONIES IN ONE SPECIFIC SECTOR WHICH CREATED INAPPROPRIATE RISK. TIME FRAME: 2013.

Product Type: Other: ETFS, MUTUAL FUNDS

Alleged Damages: \$400,000.00
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

Docket/Case #: 15-00185
Filing date of arbitration/CFTC reparation or civil litigation: 02/02/2015

Customer Complaint Information

Date Complaint Received: 02/02/2015
Complaint Pending? No
Status: Settled



Status Date: 01/12/2016
Settlement Amount: \$160,000.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: UBS Financial Services Inc.

Allegations: Breach of fiduciary duty, violations of FINRA Rules, violations of the Securities Exchange Act of 1934 and Rule 10b-5, control person liability, violations of state securities laws, negligence, breach of contract and the covenant of good faith and fair dealing, negligent and intentional misrepresentation, and violation of the Massachusetts Consumer Protection Act.

Product Type: Other: precious metals investment funds

Alleged Damages: \$1,057,225.45

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #14-03528](#)

Date Notice/Process Served: 11/20/2014

Arbitration Pending? No

Disposition: Award

Disposition Date: 07/26/2016

Disposition Detail: Respondents are jointly and severally liable for and shall pay to Claimant compensatory damages in the amount of \$225,000.00.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: CLAIMANT ALLEGES THAT FA RECOMMENDED OVERCONCENTRATION IN PRECIOUS METALS INVESTMENTS. TIME FRAME: NOVEMBER 2011 - DECEMBER 2014.

Product Type: Other: COMMODITIES FUNDS

Alleged Damages: \$1,057,225.00

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: 08/04/2014



Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 11/25/2014
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [14-03528](#)

Date Notice/Process Served: 11/25/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/26/2016

Monetary Compensation Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., L.L.C.

Allegations: CLAIMANTS ALLEGED THAT MR. ROSS DELAYED IN CONVERTING 3,000 WARRANTS, RESULTING IN CLAIMANTS MISSING AND OPPORTUNITY EXERCISE FOR A HIGHER PROFIT. CLAIMANTS ALSO ALLEGE THAT THEY AUTHORIZED MR. ROSS TO SELL ONLY THAT AMOUNT OF SHARES NECESSARY TO MEET MARGIN REQUIREMENTS, BUT THAT HE SOLD SHARES IN EXCESS OF WHAT WAS NECESSARY TO MEET MARGIN CALLS. CLAIMANTS SEEK \$30,000 IN ACTUAL DAMAGES.

Product Type: Equity - OTC

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 10/06/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/21/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #99-03503

Date Notice/Process Served: 10/26/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/21/2000

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING ANY LIABILITY GRUNTAL PAID CLAIMANTS \$15,000 IN FULL AND FINAL SETTLEMENT OF THEIR CLAIM.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., L.L.C.

Allegations: CLAIMANTS ALLEGE THAT WHILE EMPLOYED AT GRUNTAL & CO., L.L.C., MR. ROSS DELAYED IN CONVERTING 3,000 WARRANTS, RESULTING IN A MISSED OPPORTUNITY FOR PROFITS. CLAIMANTS ALSO ALLEGE THAT THEY AUTHORIZED MR. ROSS TO SELL ONLY THAT AMOUNT OF SHARES NECESSARY TO MEET MARGIN REQUIREMENTS, BUT THAT ROSS'S SALES EXCEEDED WHAT WAS NECESSARY. CLAIMANTS SEEK \$30,000 IN ACTUAL DAMAGES

Product Type: Equity - OTC

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 10/06/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/21/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET # 99-03503

Date Notice/Process Served: 10/26/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/21/2000

Monetary Compensation \$15,000.00



Amount:
Individual Contribution Amount:

Broker Statement WITHOUT ADMITTING ANY LIABILITY GRUNTAL PAID CLAIMANTS \$15,000 IN FULL AND FINAL SETTLEMENT OF THEIR CLAIM.

Disclosure 7 of 7

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: COBURN & MEREDITH INC.

Allegations: CLIENT CLAIMS HER ACCOUNT WAS MISMANAGED, HAD INAPPROPRIATE INVESTMENTS IN FEBRUARY 1997

Product Type: Equity - OTC

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/25/2001

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: ARBITRATION #00-05374
Date Notice/Process Served: 06/25/2001
Arbitration Pending? Yes
Disposition:
Disposition Date: 06/27/2001

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Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: COUBURN & MEREDITY, INC

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT RECOMMEDATIONS, MATERIAL OMISSIONS, MISREPRESENTATIONS, FAILURE TO FOLLOW INSTRUCTIONS AND IMPROPER COMMISSION CHARGES. CLIENT SEEKS DAMAGES OF \$40,000.

Product Type:



Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement PENDING
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: COUBURN & MEREDITY, INC

Allegations: EMPLOYING FIRM: COBURN & MEREDITY, INC.
INVESTMENT PRODUCT - COMMON STOCK ALLEGATIONS - SUITABILITY AND
USE OF MARGIN ALLEGED DAMAGES - \$40,000

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY OTC

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 02/04/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/25/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: ARBITRATION # 00-05374

Date Notice/Process Served: 06/25/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/27/2001

Monetary Compensation Amount: \$9,999.00

Individual Contribution Amount: \$5,999.00

Broker Statement MS. KLINGA'S COMPLAINT FILED 2 YEARS AFTER THE



LAST TRANSACTION IN HER ACCOUNT. COBURN & MEREDITY ALONG WITH MR. ROSS DENY ALL CLAIMS MADE BY MS. KLINGA. THIS COMPLAINT IS COMPLETELY WITHOUT MERIT.



End of Report

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