IAPD Report

HAL CAREY SUSSMAN

CRD# 1394280

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

HAL CAREY SUSSMAN (CRD# 1394280)

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 **06/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	12/12/2014
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	12/17/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	LOS ANGELES, CA	12/02/2010 - 12/12/2014
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	LOS ANGELES, CA	12/02/2010 - 12/12/2014
B	UBS FINANCIAL SERVICES INC.	8174	CENTURY CITY, CA	02/11/2009 - 12/09/2010

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
Criminal	2
Customer Dispute	4
Termination	1
Judgment/Lien	5

Report Summary

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	12/12/2014
B	California	Agent	Approved	12/12/2014
B	Florida	Agent	Approved	01/06/2015
B	Kansas	Agent	Approved	12/12/2014
B	Nevada	Agent	Approved	12/24/2014
B	New York	Agent	Approved	12/12/2014
B	Pennsylvania	Agent	Approved	12/18/2025
B	Puerto Rico	Agent	Approved	07/19/2022
B	Texas	Agent	Approved	07/10/2024
B	Utah	Agent	Approved	12/12/2014
B	Washington	Agent	Approved	08/25/2017

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
16133 VENTURA BLVD
SUITE 530

Qualifications

ENCINO, CA 91436

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	12/17/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	07/16/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
16133 VENTURA BOULEVARD
SUITE 530
ENCINO, CA 91436

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/17/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/29/1986

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	12/02/2010 - 12/12/2014	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	LOS ANGELES, CA
IA	12/02/2010 - 12/12/2014	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	LOS ANGELES, CA
B	02/11/2009 - 12/09/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	CENTURY CITY, CA
IA	02/11/2009 - 12/09/2010	UBS FINANCIAL SERVICES INC.	CRD# 8174	CENTURY CITY, CA
B	05/06/2003 - 03/02/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN RAFAEL, CA
IA	05/06/2003 - 03/02/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SAN RAFAEL, CA
IA	07/08/1997 - 05/08/2003	MORGAN STANLEY	CRD# 7556	SAN RAFAEL, CA
B	01/13/1994 - 05/08/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	01/11/1991 - 04/12/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	05/26/1989 - 01/22/1991	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	02/04/1986 - 05/16/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	08/21/1985 - 12/24/1985	B.O.C.L. SECURITIES CORP.	CRD# 15332	

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
09/2018 - Present	Sussman Wealth Strategies Group	Officer - CEO	N	Encino, CA, United States
12/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	ENCINO, CA, United States
12/2014 - Present	RAYMOND JAMES FINANCIAL SERVICES,INC	FINANCIAL ADVISOR	Y	ENCINO, CA, United States

Registration & Employment History

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.

(1)Name of Business: Sussman Wealth Strategies Group Address: 16133 Ventura Blvd Ste 530, Encino, CA, 91436, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 09/27/2018 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 11-20 Description of duties: This is the name of my financial advisory practice that I am affiliated with Raymond James with.
(2)Name of Business: YMF (Young Musicians Foundation) Address: 1044 East Jefferson Blvd. Suite A, Los Angeles, CA, 90011, United States Activity Type: Non profit Position/Title: Board Member, Finance/Investment Committee Member Investment Related: Yes Start Date: 01/18/2024 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Attend board meetings, vote on various functions.\nWill not be handling money

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
Criminal	2
Customer Dispute	4
Termination	1
Judgment/Lien	5

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Court Details:	MARIN COUNTY, CALIFORNIA DOCKET #: 2024050
Charge Date:	03/28/1979
Charge Details:	EMBEZZLEMENT 503 PC
Felony?	Yes
Current Status:	Final
Status Date:	04/10/1979
Disposition Details:	CASE DISMISSED, DEFENDANT DISCHARGED.
Broker Statement	I WAS ACCUSED OF EMBEZZLING AS SET OF DRUMS. I DID NOT, AND THE COURT AGREED THAT I HAD DONE NO CRIME. THEREFORE THE CASE WAS DISMISSED.

Disclosure 2 of 2

Reporting Source:	Individual
Court Details:	MUNICIPAL COURT, COUNTY OF SAN FRANCISCO, STATE OF CALIFORNIA ; CASE # 394096.
Charge Date:	12/20/1980
Charge Details:	POSSESION OF CONCENTRATED CANNABIS; RESISTING PEACE OFFICER; FELONY CHARGE.
Felony?	Yes
Current Status:	Final

Status Date:	03/07/1981
Disposition Details:	CHARGES AGAINST ME WAS DISMISSED ON 3/7/81.
Broker Statement	I WAS IN A CROWD OF PEOPLE, WRONGLY SINGLED OUT. THE COURT REALIZED THIS AND DISMISSED MY CASE.

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:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	THE CLIENT IS ALLEGING THE FA FAILED TO FOLLOW INSTRUCTIONS AND MAKE PURCHASES WHEN INSTRUCTED. TIME FRAME: JANUARY 4, 2010 TO OCTOBER 29, 2010.
Product Type:	Other: MISCELLANEOUS
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE ALLEGED DAMAGES ARE 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:	03/24/2011
Complaint Pending?	No
Status:	Denied
Status Date:	05/31/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $15,000 OR MORE** THE CLIENT IS ALLEGING THE FA FAILED TO FOLLOW INSTRUCTIONS AND MAKE PURCHASES WHEN INSTRUCTED. TIME FRAME: JANUARY 4, 2010 TO OCTOBER 29, 2010.
Product Type:	Other: MISCELLANEOUS

Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE ALLEGED DAMAGES ARE 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:	03/24/2011
Complaint Pending?	No
Status:	Denied
Status Date:	05/31/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $15,000 OR MORE**

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITI GLOBAL MARKETS INC.
Allegations:	CLIENTS ALLEGE MISREPRESENTATION WITH RESPECT TO MAT THREE 2006-1 INVESTMENT. ALLEGED TIME FRAME 2006. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.
Product Type:	Other: PROPRIETARY ALTERNATIVE INVESTMENT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO EXACT DAMAGE FIGURE CLAIMED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-05574
Filing date of	12/10/2010

arbitration/CFTC reparation or civil litigation:

Customer Complaint Information

Date Complaint Received:	02/04/2011
Complaint Pending?	No
Status:	Settled
Status Date:	04/16/2012
Settlement Amount:	$742,255.35
Individual Contribution Amount:	$0.00
Firm Statement	THE FIRM SETTLED THIS CASE TO AVOID THE COST AND RISK ASSOCIATED WITH ARBITRATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITI GLOBAL MARKETS INC.
Allegations:	CLIENTS ALLEGE MISREPRESENTATION WITH RESPECT TO MAT THREE 2006-1 INVESTMENT. ALLEGED TIME FRAME 2006. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.
Product Type:	Other: PROPRIETARY ALTERNATIVE INVESTMENT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO EXACT DAMAGE FIGURE CLAIMED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-05574
Filing date of arbitration/CFTC reparation or civil litigation:	12/10/2010

Customer Complaint Information

Date Complaint Received:	02/04/2011
Complaint Pending?	No
Status:	Settled
Status Date:	04/16/2012

Settlement Amount:	$742,255.35
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM SETTLED THIS CASE TO AVOID THE COST AND RISK ASSOCIATED WITH ARBITRATION.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	THE CLIENTS ALLEGE MISREPRESENTATION, INTER ALIA, WITH RESPECT TO MAT THREE INVESTMENT. ALLEGED TIME FRAME FEBRUARY 2008. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS. ALLEGED TIME FRAME 2005.
Product Type:	Other: HEDGE FUND
Alleged Damages:	$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-01183
Filing date of arbitration/CFTC reparation or civil litigation:	03/18/2011

Customer Complaint Information

Date Complaint Received:	04/13/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/02/2011
Settlement Amount:	$185,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THIS CASE WAS SETTLED TO AVOID THE COST AND RISK OF ARBITRATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	THE CLIENTS ALLEGE MISREPRESENTATION, INTER ALIA, WITH RESPECT

	TO MAT THREE INVESTMENT. ALLEGED TIME FRAME FEBRUARY 2008. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS. ALLEGED TIME FRAME 2005.
Product Type:	Other: HEDGE FUND
Alleged Damages:	$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-01183
Filing date of arbitration/CFTC reparation or civil litigation:	03/18/2011

Customer Complaint Information

Date Complaint Received:	04/13/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/02/2011
Settlement Amount:	$185,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS CASE WAS SETTLED TO AVOID THE COST AND RISK OF ARBITRATION.

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2008 THE FA MISREPRESENTED THE RISKS INVOLVED IN RECOMMENDED INVESTMENTS.
Product Type:	Debt-Municipal
Alleged Damages:	$2,900,000.00
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 #:	09-03427
Filing date of arbitration/CFTC reparation or civil litigation:	07/02/2009

Customer Complaint Information

Date Complaint Received:	07/02/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/02/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-03427
Date Notice/Process Served:	07/02/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/16/2010
Monetary Compensation Amount:	$2,100,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2008 THE FA MISREPRESENTED THE RISKS INVOLVED IN RECOMMENDED INVESTMENTS.
Product Type:	Debt-Municipal
Alleged Damages:	$2,900,000.00
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 #:	09-03427

Filing date of arbitration/CFTC reparation or civil litigation:	07/02/2009

Customer Complaint Information

Date Complaint Received:	07/02/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/02/2009
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-03427
Date Notice/Process Served:	07/02/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/16/2010
Monetary Compensation Amount:	$2,100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE NAMED REPRESENTATIVE SUBSCRIBES TO THIS REPORT TO AVOID UNNECESSARY FURTHER CONTROVERSY AND EXPENSE. THE NAMED REPRESENTATIVE DENIES THAT THE MATERIAL FACTS AND ALLEGATIONS STATED IN THE CLIENT'S COMPLAINT ARE ACCURATELY STATED, AND, SPECIFICALLY, DENIES ANY INVOLVEMENT IN ACTIONS OR ACTIVITIES VIOLATIVE OF ANY DUTY TO THE CLIENT. THE COMPLAINT AROSE IN CONNECTION WITH THE FIRMS PRODUCT MAT 3 AND MAT 5, A PRODUCT THAT FELL VICTIM TO THE CREDIT CRISIS THAT MATERIALIZED IN 2008. THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT, NOR WAS THE NAMED REPRESENTATIVE FOUND TO HAVE COMMITTED ANY VIOLATION OF LAW OR APPLICABLE REGULATION OR ETHICAL RULE OF PRACTICE.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	11/16/2010
Allegations:	MR. SUSSMAN'S EMPLOYMENT WAS TERMINATED AFTER A REVIEW BY THE FIRM DISCLOSED THAT HE ATTEMPTED TO TAPE RECORD A BUSINESS DISCUSSION CONTRARY TO INSTRUCTIONS TO HIM FROM BRANCH MANAGEMENT THAT DOING SO WOULD VIOLATE FIRM POLICY AND TO REMOVE THE TAPE RECORDER FROM FIRM PREMISES.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	UBS FINANCIAL SERVICES INC.
Termination Type:	Discharged
Termination Date:	11/16/2010
Allegations:	MR. SUSSMAN'S EMPLOYMENT WAS TERMINATED AFTER A REVIEW BY THE FIRM DISCLOSED THAT HE ATTEMPTED TO TAPE RECORD A BUSINESS DISCUSSION CONTRARY TO INSTRUCTIONS TO HIM FROM BRANCH MANAGEMENT THAT DOING SO WOULD VIOLATE FIRM POLICY AND TO REMOVE THE TAPE RECORDER FROM FIRM PREMISES.
Product Type:	No Product

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of California
Judgment/Lien Amount:	$4,601.09
Judgment/Lien Type:	Tax
Date Filed with Court:	09/21/2022
Date Individual Learned:	10/12/2022
Type of Court:	Never went to court
Name of Court:	N/A
Location of Court:	N/A
Docket/Case #:	20220922127
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$22,728.84
Judgment/Lien Type:	Tax
Date Filed with Court:	10/22/2019
Date Individual Learned:	10/22/2019
Type of Court:	LOS ANGELES COUNTY/ RECORDER OF DEEDS
Name of Court:	LOS ANGELES COUNTY/ RECORDER OF DEEDS
Location of Court:	LOS ANGELES COUNTY, CA
Docket/Case #:	20191128725
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF CALIFORNIA
Judgment/Lien Amount:	$13,493.73
Judgment/Lien Type:	Tax
Date Filed with Court:	10/03/2019
Date Individual Learned:	10/09/2019
Type of Court:	Marin County Court
Name of Court:	Marin County Court

Location of Court:	Marin County, CA
Docket/Case #:	2019-0036861
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	State of California
Judgment/Lien Amount:	$13,671.32
Judgment/Lien Type:	Tax
Date Filed with Court:	04/19/2018
Date Individual Learned:	03/12/2019
Type of Court:	LOS ANGELES COUNTY/ RECORDER OF DEEDS
Name of Court:	LOS ANGELES COUNTY/ RECORDER OF DEEDS
Location of Court:	Los Angeles County, CA
Docket/Case #:	20180376967
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$34,203.06
Judgment/Lien Type:	Tax
Date Filed with Court:	01/20/2017
Date Individual Learned:	01/20/2017
Type of Court:	NEVER WENT TO COURT
Name of Court:	N/A
Location of Court:	LOS ANGELES COUNTY, CALIFORNIA
Docket/Case #:	20170081288
Judgment/Lien Outstanding?	Yes
Broker Statement	IN PROCESS OF SATISFYING.

End of Report

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