



## IAPD Report

# MICHAEL EDWARD CAMFERDAM

CRD# 1402345

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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

### MICHAEL EDWARD CAMFERDAM (CRD# 1402345)

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 **12/17/2025**.

### CURRENT EMPLOYERS

|           | Firm               | CRD#       | Registered Since |
|-----------|--------------------|------------|------------------|
| <b>B</b>  | OSAIC WEALTH, INC. | CRD# 23131 | 05/03/2013       |
| <b>IA</b> | OSAIC WEALTH, INC. | CRD# 23131 | 08/13/2013       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>B</b>  | RAYMOND JAMES & ASSOCIATES, INC. | 705  | PENSACOLA, FL | 02/13/2013 - 04/11/2013 |
| <b>IA</b> | RAYMOND JAMES & ASSOCIATES, INC. | 705  | PENSACOLA, FL | 02/13/2013 - 04/11/2013 |
| <b>B</b>  | MORGAN KEEGAN & COMPANY, INC.    | 4161 | PENSACOLA, FL | 04/12/2001 - 02/13/2013 |

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 | 27    |
| Financial        | 1     |



## 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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | FINRA          | General Securities Principal      | Approved | 05/03/2013 |
| B  | FINRA          | General Securities Representative | Approved | 05/03/2013 |
| B  | Alabama        | Agent                             | Approved | 09/09/2013 |
| B  | Florida        | Agent                             | Approved | 08/09/2013 |
| IA | Florida        | Investment Adviser Representative | Approved | 09/25/2013 |
| B  | Georgia        | Agent                             | Approved | 05/21/2013 |
| IA | Georgia        | Investment Adviser Representative | Approved | 08/13/2013 |
| B  | Mississippi    | Agent                             | Approved | 03/22/2016 |
| IA | Mississippi    | Investment Adviser Representative | Approved | 10/07/2019 |
| B  | North Carolina | Agent                             | Approved | 07/21/2022 |
| B  | Tennessee      | Agent                             | Approved | 05/17/2023 |
| B  | Texas          | Agent                             | Approved | 03/09/2015 |

### Branch Office Locations



## Qualifications

**OSAIC WEALTH, INC.**  
6108 VILLAGE OAKS DR  
PENSACOLA, FL 32504



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

|  | Exam   | Category  | Date       |
|--|--|-----------|------------|
|  | General Securities Principal Examination (S24) | Series 24 | 01/04/1993 |

#### General Industry/Product Exams

|  | Exam   | Category | Date       |
|--|--|----------|------------|
|  | Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
|  | National Commodity Futures Examination (S3)        | Series 3 | 10/28/1985 |
|  | General Securities Representative Examination (S7) | Series 7 | 09/21/1985 |

#### State Securities Law Exams

|  | Exam   | Category  | Date       |
|--|--|-----------|------------|
|  | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 11/17/1998 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/11/1985 |

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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  | 02/13/2013 - 04/11/2013 | RAYMOND JAMES & ASSOCIATES, INC.               | CRD# 705   | PENSACOLA, FL   |
| IA | 02/13/2013 - 04/11/2013 | RAYMOND JAMES & ASSOCIATES, INC.               | CRD# 705   | PENSACOLA, FL   |
| B  | 04/12/2001 - 02/13/2013 | MORGAN KEEGAN & COMPANY, INC.                  | CRD# 4161  | PENSACOLA, FL   |
| IA | 04/12/2001 - 02/13/2013 | MORGAN KEEGAN & COMPANY, INC.                  | CRD# 4161  | PENSACOLA, FL   |
| B  | 01/21/1992 - 04/12/2001 | REGIONS INVESTMENT COMPANY, INC.               | CRD# 17618 | BIRMINGHAM, AL  |
| B  | 06/11/1990 - 09/24/1991 | EDEN FINANCIAL FUNDS GROUP, INC.               | CRD# 13066 |                 |
| B  | 11/30/1988 - 07/24/1991 | GREAT WESTERN FINANCIAL SECURITIES CORPORATION | CRD# 14229 | NORTHRIDGE, CA  |
| B  | 07/17/1987 - 12/17/1988 | INTEGRATED RESOURCES EQUITY CORPORATION        | CRD# 6403  |                 |
| B  | 01/26/1987 - 08/06/1987 | SHEARSON LEHMAN BROTHERS INC.                  | CRD# 7506  |                 |
| B  | 09/24/1985 - 02/02/1987 | THE ROBINSON-HUMPHREY COMPANY INC.             | CRD# 723   |                 |

### 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            |
|-------------------|-------------------|----------------|--------------------|------------------------------|
| 08/2023 - Present | OSAIC WEALTH, INC | Registered Rep | Y                  | PENSACOLA, FL, United States |
| 04/2013 - 08/2023 | ROYAL ALLIANCE    | REGISTERED REP | Y                  | PENSACOLA, 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.

1) MIKE & DEE CAMFERDAM



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

POSITION: OWNER NATURE: SOLE PROPRIETORSHIP INVESTMENT RELATED: NO NUMBER OF HOURS: 25  
SECURITIES TRADING HOURS: 0 START DATE: 01/01/2008  
ADDRESS: 1087 COUNTY RD 113, SAFFORD AL 36773  
DESCRIPTION: CROP PLANTING AND HARVESTING.

#### 2) FIRST CHARTER INVESTMENTS

POSITION: PRESIDENT NATURE: CORPORATION INVESTMENT RELATED: YES NUMBER OF HOURS: 5 SECURITIES  
TRADING HOURS: 5 START DATE: 01/03/2014  
ADDRESS: 1960 WHALEY AVE, PENSACOLA FL 32503  
DESCRIPTION: THIS ENTITY ALLOWS ME TO PAY CERTAIN BUSINESS EXPENSES, PAYROLL, ETC. ON BEHALF OF MY  
SECURITIES PRACTICE.

#### 3) MICHAEL E. CAMFERDAM

POSITION: OWNER - NATURE: SOLE PROPRIETORSHIP - INVESTMENT RELATED: YES NUMBER OF HOURS: 1  
SECURITIES TRADING HOURS: 1 START DATE: 01/01/1985  
ADDRESS: 6108 VILLAGE OAKS DR.PENSACOLA, FL. 32504, PENSACOLA FL 32504  
DESCRIPTION: TO PROVIDE CLIENTS WITH INFORMATION ON FIXED ANNUITIES AND LIFE INSURANCE PRODUCTS.



## 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 | 27    |
| Financial        | 1     |

### 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 27

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Firm   |
| <b>Employing firm when activities occurred which led to the complaint:</b> | MORGAN KEEGAN & COMPANY, INC.  |
| <b>Allegations:</b>  | CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006. |
| <b>Product Type:</b>   | Mutual Fund  |
| <b>Alleged Damages:</b>  | \$104,524.93   |
| <b>Is this an oral complaint?</b>  | No   |
| <b>Is this a written complaint?</b>  | Yes  |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | Yes  |
| <b>Arbitration/Reparation forum or court name and location:</b>            | FINRA  |
| <b>Docket/Case #:</b>  | 12-02651   |
| <b>Filing date of arbitration/CFTC reparation or civil litigation:</b>     | 07/13/2012   |

### Customer Complaint Information

|                                 |            |
|---------------------------------|------------|
| <b>Date Complaint Received:</b> | 07/31/2012 |
| <b>Complaint Pending?</b>       | No         |



**Status:** Settled  
**Status Date:** 05/17/2013  
**Settlement Amount:** \$40,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.  
**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$104,524.93  
**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 #:** 12-02651  
**Filing date of arbitration/CFTC reparation or civil litigation:** 07/13/2012

**Customer Complaint Information**

**Date Complaint Received:** 07/31/2012  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 05/17/2013  
**Settlement Amount:** \$40,000.00  
**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 27**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.  
**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.  
**Product Type:** Mutual Fund  
**Alleged Damages:** \$0.00



**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.

**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 #:** 12-01236

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/28/2012

**Customer Complaint Information**

**Date Complaint Received:** 04/16/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/30/2014

**Settlement Amount:** \$95,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.

**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 #:** 12-01236



**Filing date of arbitration/CFTC reparation or civil litigation:** 03/28/2012

### Customer Complaint Information

**Date Complaint Received:** 04/16/2012

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/30/2014

**Settlement Amount:** \$95,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$25,000.00

**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 #:** 11-01844

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/06/2011

### Customer Complaint Information

**Date Complaint Received:** 05/23/2011

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/04/2012

**Settlement Amount:** \$80,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 4 of 27

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$98,000.00

**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 #:** 10-04347

**Filing date of arbitration/CFTC reparation or civil litigation:** 09/27/2010

### Customer Complaint Information

**Date Complaint Received:** 11/08/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$39,953.29

**Individual Contribution Amount:** \$0.00

### Disclosure 5 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2005.

**Product Type:** Mutual Fund

**Alleged Damages:** \$160,500.37

**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:** FIRNA

**Docket/Case #:** 10-03680



Filing date of arbitration/CFTC reparation or civil litigation: 08/16/2010

### Customer Complaint Information

Date Complaint Received: 08/27/2010

Complaint Pending? No

Status: Settled

Status Date: 02/22/2011

Settlement Amount: \$55,244.08

Individual Contribution Amount: \$0.00

### Disclosure 6 of 27

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2004.

Product Type: Mutual Fund

Alleged Damages: \$176,000.00

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 #: 10-03016

Filing date of arbitration/CFTC reparation or civil litigation: 06/29/2010

### Customer Complaint Information

Date Complaint Received: 07/12/2010

Complaint Pending? No

Status: Settled

Status Date: 02/22/2011

Settlement Amount: \$45,126.32

Individual Contribution Amount: \$0.00

### Disclosure 7 of 27

Reporting Source: Individual



**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$54,500.00

**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 #:** 10-02551

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/28/2010

### Customer Complaint Information

**Date Complaint Received:** 06/14/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/31/2011

**Settlement Amount:** \$9,876.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** \*\*\*AS OF 5/28/2012 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*

### Disclosure 8 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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 #:** 10-01821

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 04/14/2010

### Customer Complaint Information

**Date Complaint Received:** 06/21/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/29/2011

**Settlement Amount:** \$19,000.00

**Individual Contribution  
Amount:** \$0.00

### Disclosure 9 of 27

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD  
TO MUTUAL FUNDS PURCHASED IN 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$122,000.00

**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 #:** 09-06145

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 10/26/2009

### Customer Complaint Information

**Date Complaint Received:** 11/06/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/08/2010



**Settlement Amount:** \$84,000.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 10 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

**Product Type:** Mutual Fund

**Alleged Damages:** \$175,556.00

**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 #:** 09-03141

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 08/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/03/2011

**Settlement Amount:** \$67,500.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 11 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2002 AND 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$182,000.00

**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 #:** 09-03148

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 05/29/2009

### Customer Complaint Information

**Date Complaint Received:** 08/10/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$33,093.02

**Individual Contribution  
Amount:** \$0.00

### Disclosure 12 of 27

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD  
TO MUTUAL FUNDS PURCHASED IN 2004.

**Product Type:** Mutual Fund

**Alleged Damages:** \$28,000.00

**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 #:** 09-03639

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 08/03/2009

### Customer Complaint Information

**Date Complaint Received:** 08/18/2009

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 01/20/2011

**Settlement Amount:** \$9,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 13 of 27

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT AND NEGLIGENCE; FRAUD

**Product Type:** Other: FUNDS

**Alleged Damages:** \$572,540.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [FINRA - CASE #09-03285](#)

**Date Notice/Process Served:** 06/02/2009

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 11/03/2010

**Disposition Detail:** THE FIRM IS LIABLE ON THE CLAIMS OF VIOLATION OF CHAPTER 517 OF THE FLORIDA STATUTES ON CLAIMS RELATING TO PURCHASES AFTER MARCH 2004; BREACH OF FIDUCIARY DUTY; UNSUITABILITY AND FAILURE TO SUPERVISE; VIOLATION OF THE TENNESSEE CONSUMER PROTECTION ACT ON CLAIMS RELATING TO PURCHASES AFTER MARCH 2004; AND FRAUD. CAMFERDAM WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE ALONG WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATION(S). ACCORDINGLY, CAMFERDAM'S MEMBER FIRM IS LIABLE FOR COMPENSATORY DAMAGES IN THE AMOUNT OF \$444,978, INCLUSIVE OF PRE-JUDGMENT INTEREST.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNAUTHORIZED TRADING, MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 3/04 AND 1/06.

**Product Type:** Mutual Fund

**Alleged Damages:** \$458,043.50

**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 #:** 09-03285

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 06/03/2009

### Customer Complaint Information

**Date Complaint Received:** 07/13/2009

**Complaint Pending?** No

**Status:** Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

**Status Date:** 11/03/2010

**Settlement Amount:** \$444,978.00

**Individual Contribution  
Amount:** \$0.00

### Disclosure 14 of 27

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 11/02 AND 1/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$132,872.00

**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 #:** 09-03134

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 06/03/2009

### Customer Complaint Information

**Date Complaint Received:** 07/13/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/29/2010



**Settlement Amount:** \$35,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 15 of 27

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$202,573.00

**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 #:** 09-03415

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/08/2009

### Customer Complaint Information

**Date Complaint Received:** 07/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/27/2010

**Settlement Amount:** \$87,500.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005 AND 2006.

**Product Type:** Mutual Fund

**Alleged Damages:** \$202,573.00

**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 #:** 09-03415

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 06/08/2009

### Customer Complaint Information

**Date Complaint Received:** 07/20/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/27/2010

**Settlement Amount:** \$87,500.00

**Individual Contribution  
Amount:** \$0.00

### Disclosure 16 of 27

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD  
TO MUTUAL FUNDS PURCHASED BETWEEN 7/03 AND 11/06.

**Product Type:** Mutual Fund

**Alleged Damages:** \$68,967.85

**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 #:** 09-03409

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 07/16/2009

### Customer Complaint Information

**Date Complaint Received:** 07/27/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011



**Settlement Amount:** \$20,752.38

**Individual Contribution Amount:** \$0.00

#### Disclosure 17 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 10/06 AND 3/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$48,687.29

**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 #:** 09-03140

**Filing date of arbitration/CFTC reparation or civil litigation:** 05/29/2009

#### Customer Complaint Information

**Date Complaint Received:** 07/06/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/22/2011

**Settlement Amount:** \$16,545.14

**Individual Contribution Amount:** \$0.00

#### Disclosure 18 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 11/04-02/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$102,851.00

**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 #:** 09-03159

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 05/29/2009

### Customer Complaint Information

**Date Complaint Received:** 06/23/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 08/17/2010

**Settlement Amount:** \$50,000.00

**Individual Contribution  
Amount:** \$0.00

### Disclosure 19 of 27

**Reporting Source:** Individual

**Employing firm when  
activities occurred which led  
to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATION WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 02/06-09/06.

**Product Type:** Mutual Fund

**Alleged Damages:** \$76,383.00

**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 #:** 09-03137

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 05/29/2009

### Customer Complaint Information

**Date Complaint Received:** 06/15/2009

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 03/25/2010

**Settlement Amount:** \$49,800.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 20 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATIONS WITH REGARD TO A MUTUAL FUND PURCHASE 1/4/07. DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

#### Customer Complaint Information

**Date Complaint Received:** 12/22/2008

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 12/22/2008

**Settlement Amount:**

**Individual Contribution Amount:**

#### Arbitration Information

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

**Docket/Case #:** 08-04761

**Date Notice/Process Served:** 12/22/2008

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/25/2010

**Monetary Compensation Amount:** \$37,500.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 21 of 27

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY AND THE EXERCISE OF UNAUTHORIZED DISCRETION WITH REGARD TO THE PURCHASE OF MUTUAL FUNDS AND TAXABLE UNIT TRUSTS BETWEEN 11/06 AND 5/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$305,814.73

### Customer Complaint Information

**Date Complaint Received:** 10/03/2008

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/17/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 09-00143

**Date Notice/Process Served:** 03/17/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/01/2011

**Monetary Compensation Amount:** \$150,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 22 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 12/02 AND 06/07.

**Product Type:** Mutual Fund

**Alleged Damages:** \$550,000.00

### Customer Complaint Information

**Date Complaint Received:** 04/11/2008

**Complaint Pending?** No



**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 06/05/2008

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 08-01316

**Date Notice/Process Served:** 06/05/2008

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/30/2009

**Monetary Compensation Amount:** \$325,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** UNDER INVESTIGATION. \*\*\* ANSWER DUE 06/25/2008\*\*\*

### Disclosure 23 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION OF VARIABLE ANNUITY PURCHASED 1/98. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF \$5000.00)

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:** 03/02/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/14/2008

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

\*\*\*AS OF 03/02/2010 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*

**Disclosure 24 of 27****Reporting Source:**

Individual

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

MORGAN KEEGAN &amp; COMPANY, INC.

**Allegations:**

CLAIM ALLEGES UNSUITABILITY REGARDING MUTUAL FUND AND CLOSED-END FUND INVESTMENTS.

**Product Type:**

Mutual Fund

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:**

01/15/2008

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

09/18/2008

**Settlement Amount:**

\$12,992.85

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

INVESTIGATION UNDERWAY.

**Disclosure 25 of 27****Reporting Source:**

Individual

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

MORGAN KEEGAN &amp; COMPANY, INC.

**Allegations:**

CLAIM ALLEGES UNSUITABILITY REGARDING CLOSED-END AND MUTUAL FUND INVESTMENTS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF \$5,000.00)

**Product Type:**

No Product

**Alleged Damages:**

\$0.00



**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:** 01/07/2008

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 07/01/2008

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** UNDER INVESTIGATION\*\*\*AS OF JULY 1, 2008, THIS ITEM HAS BEEN CLOSED WITH NO ACTION\*\*\*AS OF JANUARY 7, 2010 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*

### Disclosure 26 of 27

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** MORGAN KEEGAN & COMPANY, INC.

**Allegations:** CLAIM ALLEGES MISREPRESENTATION WITH REGARD TO A MUTUAL FUND PURCHASE.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:** 12/07/2007

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 09/29/2008

**Settlement Amount:**

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

INVESTIGATION UNDERWAY.\*\*\*AS OF 12/07/2009 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*

**Disclosure 27 of 27****Reporting Source:**

Individual

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

MORGAN KEEGAN &amp; COMPANY, INC.

**Allegations:**

COMPLAINT ALLEGES UNSUITABILITY OF CLOSED-END FUND AND MUTUAL FUND INVESTMENTS.

**Product Type:**

Mutual Fund

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

**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:**

11/30/2007

**Complaint Pending?**

No

**Status:**

Closed/No Action

**Status Date:**

09/29/2008

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

UNDER INVESTIGATION.\*\*\*AS OF 11/30/2009 THIS ITEM IS NO LONGER REPORTABLE.\*\*\*



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual  
**Action Type:** Bankruptcy  
**Bankruptcy:** Chapter 7  
**Action Date:** 02/27/2018

### Organization Investment-Related?

**Type of Court:** Federal Court  
**Name of Court:** UNITED STATES BANKRUPTCY COURT, NORTHERN DISTRICT OF FLORIDA  
**Location of Court:** PENSACOLA, FLORIDA  
**Docket/Case #:** 18-30160  
**Action Pending?** No  
**Disposition:** Discharged  
**Disposition Date:** 01/02/2020



## End of Report

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