



IAPD Report

WILSON GORDON SAVILLE II

CRD# 1406756

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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

WILSON GORDON SAVILLE II (CRD# 1406756)

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 **11/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	BARRETT & COMPANY	CRD# 1175	08/14/1986
IA	BARRETT & COMPANY	CRD# 1175	04/06/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	BARRETT & COMPANY	1175	LOCATION	07/14/1986 - 08/05/1986
B	KIDDER, PEABODY & CO. INCORPORATED	7613	LOCATION	09/25/1985 - 08/05/1986

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
Regulatory Event	1
Customer Dispute	3



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

Employment 1 of 1

Firm Name: **BARRETT & COMPANY**
Main Address: 42 WEYBOSSET STREET
PROVIDENCE, RI 02903-2855
Firm ID#: 1175

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/14/1986
B	FINRA	Financial and Operations Principal	Approved	10/04/1988
B	FINRA	General Securities Principal	Approved	01/31/1989
B	FINRA	Operations Professional	Approved	10/24/2011
B	FINRA	Investment Banking Representative	Approved	04/24/2012
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Securities Trader Principal	Approved	02/09/2016
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	California	Agent	Approved	01/22/1993
B	Connecticut	Agent	Approved	02/21/1992
B	Florida	Agent	Approved	09/12/1996
B	Massachusetts	Agent	Approved	08/14/1986



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	08/14/1986
B New Jersey	Agent	Approved	11/15/2011
B New York	Agent	Approved	10/13/1993
B Rhode Island	Agent	Approved	08/18/1986
IA Rhode Island	Investment Adviser Representative	Approved	04/06/2017
B Texas	Agent	Approved	03/08/1993
IA Texas	Investment Adviser Representative	Restricted Approval	12/08/2022
B Vermont	Agent	Approved	11/28/2011
B Washington	Agent	Approved	01/11/2008

Branch Office Locations

BARRETT & COMPANY
42 WEYBOSSET ST
PROVIDENCE, RI 02903

BARRETT & COMPANY
42 WEYBOSSET STREET
PROVIDENCE, RI 02903






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 3 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Principal Examination (S24)	Series 24	01/30/1989
 Financial and Operations Principal Examination (S27)	Series 27	10/03/1988

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	03/29/2000
 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	02/16/2017
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/01/1985



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
B	07/14/1986 - 08/05/1986	BARRETT & COMPANY	CRD# 1175	
B	09/25/1985 - 08/05/1986	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	

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
07/1986 - Present	BARRETT & COMPANY	NOT PROVIDED	Y	PROVIDENCE, RI, 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.

ISOMET CORP; 5263 PORT ROYAL ROAD, SPRINGFIELD, VA; NOT INVESTMENT-RELATED; SINCE 2010; DIRECTOR; FIRM IS A MAKER OF ACOUSTO-OPTIC DEVICES; SERVE ON BOARD OF DIRECTORS; DEVOTE LESS THAN 1 HOUR PER MONTH TO THIS ACTIVITY.

WILCOX PARTNERS, LLC, PARTNER IN BUILDING OWNERSHIP AT 42 WEYBOSSET STREET, PROVIDENCE, RI 02903.BUSINESS IS NOT INVESTMENT RELATED.



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
Regulatory Event	1
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/14/1998

Docket/Case Number: C11970025

Employing firm when activity occurred which led to the regulatory action: BARRETT & COMPANY

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 04/14/1998

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:



Regulator Statement ON APRIL 14, 1998, DISTRICT NO. 11 NOTIFIED RESPONDENTS BARRETT & COMPANY AND WILSON G. SAVILLE, II, THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C11970025 WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$1,000, JOINTLY AND SEVERALLY - (NASD RULE 2110 - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT SAVILLE, FAILED TO TIMELY RESPOND TO NASD WRITTEN REQUESTS FOR INFORMATION MADE PURSUANT TO NASD RULE 8210).

\$1,000.00 PAID J&S ON 5/13/98, INVOICE # 98-11-410

Reporting Source: Individual
Regulatory Action Initiated By: NASD
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 04/14/1998
Docket/Case Number: C11970025
Employing firm when activity occurred which led to the regulatory action: BARRETT & COMPANY
Product Type:
Other Product Type(s):
Allegations: THAT BARRETT & COMPANY AND WILSON SAVILLE FAILED TO MEET A DEADLINE FOR REQUESTED INFORMATION. THE REQUESTED INFORMATION WAS RECEIVED ONE DAY LATE.
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)
Resolution Date: 04/14/1998
Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Other Sanctions Ordered:
Sanction Details: AWC AND \$1000.00 FINE.
Broker Statement Not Provided



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 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Barrett & Company

Allegations: Wilson Saville was named in a customer complaint that asserted the following causes of action: suitability; negligence; breach of fiduciary duty; failure to supervise; and violations of FINRA Rules 2090, 2111, and 3010.

Product Type: Other: Unspecified Securities

Alleged Damages: \$1,200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #21-02361](#)

Date Notice/Process Served: 09/17/2021

Arbitration Pending? No

Disposition: Award

Disposition Date: 12/08/2022

Disposition Detail: Wilson Saville is jointly and severally liable for and shall pay to Claimants the sum of \$534,397.00 in compensatory damages.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: Claimants allege that Mr. Saville and Barrett & Company were negligent and breached regulatory duties by failing to perform required suitability reviews of the investments and by ignoring red flags apparent in the handling of the Claimants' accounts purchased by a prior Registered Representative of the firm, Charles White.

Product Type: Other: Customized Portfolio

Alleged Damages: \$1,200,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimants report damages in excess of \$1.2M resulting from negligence, breach of fiduciary duties, out of pocket loss of \$294,000, trading fees, attorney fees and arbitration fees.

Arbitration Information



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

Docket/Case #: [21-02361](#)

Date Notice/Process Served: 09/23/2021

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 12/08/2022

Monetary Compensation Amount: \$534,397.00

Individual Contribution Amount: \$267,198.50

Disclosure 2 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: Barrett & Company

Allegations: Saville was named in a customer complaint that asserted the following causes of action: violation of FINRA Rules 2090, 2111, and 3010; breach of fiduciary duty; and negligence.

Product Type: Other: Unspecified Securities

Alleged Damages: \$1,600,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #21-00876](#)

Date Notice/Process Served: 04/06/2021

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/09/2022

Disposition Detail: Saville is jointly and severally liable for and shall pay to one Claimant the sum of \$7,000.00 in compensatory damages; and is jointly and severally liable and shall pay to the other Claimants the sum of \$290,000.00 in compensatory damages. Saville is also jointly and severally liable for and shall pay to Claimants the sum of \$50,000.00 in punitive damages; and is jointly and severally liable for and shall pay to Claimants \$600.00 for the non-refundable portion of the filing fee paid to FINRA Dispute Resolution Services.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: Claimants allege that Mr. Saville and Barrett & Company violated their obligation to maintain a proper supervisory system to monitor Registered Representative,



Charles White. Mr. White allegedly placed the Claimants into unsuitable investments in the year 2013 which by the time of Mr. White's retirement from Barrett & Company in 2020 had lost significant value.

Product Type: Other: Customized Portfolio

Alleged Damages: \$1,600,000.00

Alleged Damages Amount Explanation (if amount not exact): Damages are based on losses totaling \$636,000.00 plus potential returns that would have been expected if suitably invested.

Arbitration Information

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

Docket/Case #: [21-00876](#)

Date Notice/Process Served: 04/12/2021

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/08/2022

Monetary Compensation Amount: \$347,600.00

Individual Contribution Amount: \$173,800.00

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARRETT & COMPANY

Allegations: CLAIMANT FEELS FUNDS WERE PLACED IN INVESTMENTS THAT WERE NOT SUITABLE GIVEN INVESTMENT OBJECTIVES, RISK TOLERANCE, AND OTHER FACTORS. CLAIMANT ALSO ALLEGES THAT SUPERVISORS AT THE FIRM FAILED TO PROPERLY SUPERVISE THEIR REPRESENTATIVE'S ACTIVITIES.

Product Type: Other: PERSONAL INVESTMENT ACCOUNT

Alleged Damages: \$470,000.00

Arbitration Information

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

Docket/Case #: [DISPUTE ARBITRATION #14-00755](#)

Date Notice/Process Served: 04/02/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/24/2016



Monetary Compensation Amount:	\$267,890.06
Individual Contribution Amount:	\$0.00



End of Report

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