



IAPD Report

ROBERT DAVID MEYERS

CRD# 1409245

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBERT DAVID MEYERS (CRD# 1409245)

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 **12/02/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MEYERS WEALTH MANAGEMENT, LLC	CRD# 289801	10/23/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	COLUMBUS, OH	07/26/2007 - 11/02/2017
B	WELLS FARGO CLEARING SERVICES, LLC	19616	COLUMBUS, OH	07/23/2007 - 11/02/2017
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	UPPER ARLINGTON, OH	03/08/2006 - 07/25/2007

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	8
Termination	2



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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MEYERS WEALTH MANAGEMENT, LLC**
Main Address: 5005 HORIZONS DRIVE
SUITE 200
COLUMBUS, OH 43220
Firm ID#: 289801

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	11/07/2017
IA South Carolina	Investment Adviser Representative	Approved	10/23/2017

Branch Office Locations

MEYERS WEALTH MANAGEMENT, LLC
5005 HORIZONS DRIVE
SUITE 200
COLUMBUS, OH 43220

MEYERS WEALTH MANAGEMENT, LLC
Kiawah Island, SC



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	11/02/2017
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B General Securities Representative Examination (S7)	Series 7	10/19/1985
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/25/1993
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B Uniform Securities Agent State Law Examination (S63)	Series 63	10/31/1985
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/26/2007 - 11/02/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	COLUMBUS, OH
B	07/23/2007 - 11/02/2017	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	COLUMBUS, OH
IA	03/08/2006 - 07/25/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	UPPER ARLINGTON, OH
B	03/08/2006 - 07/25/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	UPPER ARLINGTON, OH
IA	04/08/2003 - 03/08/2006	ADVEST, INC.	CRD# 10	UPPER ARLINGTON, OH
B	04/26/1990 - 03/08/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	01/04/1988 - 04/24/1990	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	
B	09/28/1987 - 12/07/1987	SHEARSON LEHMAN BROTHERS INC.	CRD# 7506	
B	10/22/1985 - 10/30/1987	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	

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
09/2017 - Present	MEYERS WEALTH MANAGEMENT, LLC	Owner and Investment Advisor Representative	Y	Columbus, OH, United States
11/2016 - 10/2017	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	COLUMBUS, OH, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	COLUMBUS, OH, 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.

HIGHLAND SPRINGS, CHARLESTON, SC, FARM LAND, PARTNER, NO TIME INVOLVED, PASSIVE INVESTOR ONLY, START 2004.

MEYFORD LLC - INVESTMENT RELATED - COLUMBUS, OH - RENTAL UNITS FOR OSU STUDENTS. 40% OWNER. START: 1/1/2013. 0 HRS PER MONTH. DUTIES: NONE. -

MANA KIAWAH LLC; INVESTMENT RELATED; KIAWAH, SC; LLC FOR REAL ESTATE; 51% OWNERSHIP; START DATE = 06/2011; NO TIME DEVOTED PER MONTH.

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR SON'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.



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	8
Termination	2

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:	FINRA
Sanction(s) Sought:	
Date Initiated:	10/24/2019
Docket/Case Number:	2017056146401
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services, LLC
Product Type:	Other: Private Securities
Allegations:	Without admitting or denying the findings, Meyers consented to the sanctions and to the entry of findings that he participated in private securities transactions by facilitating and recommending private equity investments to member firm customers without providing written notice to, or obtaining written approval from, his firm. The findings stated that the firm customers invested in the securities offered by three private equity funds and made capital contributions to the funds totaling \$1.9 million. Meyers did not receive any compensation from the private equity funds as a result of his participation.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/24/2019

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	12 months
Start Date:	11/04/2019
End Date:	11/03/2020

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	10/15/2020
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement FINES PAID IN FULL ON OCTOBER 15, 2020.

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Reporting Source:	Individual
Regulatory Action Initiated By:	Financial Industry Regulatory Authority ("FINRA")
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	11/24/2017
Docket/Case Number:	20170561464



Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services, LLC
Product Type:	Other: Private Equity Funds
Allegations:	Between 02/2016 and 10/2017, while at Wells Fargo, and without compensation, Robert Meyers participated in private securities transactions by facilitating & recommending private equity investments to 26 Firm clients without obtaining written approval from Wells Fargo in violation of FINRA Rules 3280 and 2010.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/24/2019
Sanctions Ordered:	Suspension Other: Suspension for 12 months from 11/04/2019 to 11/03/2020, and he was fined \$20,000.00.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	12 Months
Start Date:	11/04/2019
End Date:	11/03/2020
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$20,000.00
Portion Levied against individual:	\$20,000.00
Payment Plan:	Waiting on Finance Dept. at FINRA to Send Invoice
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ADVEST, INC.
Allegations:	ALLEGED FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Other
Other Product Type(s):	MANAGED ACCOUNTS
Alleged Damages:	\$1,000,000.00

Customer Complaint Information

Date Complaint Received:	08/15/2005
Complaint Pending?	No
Status:	Denied
Status Date:	09/28/2005
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Broker Statement	ACCOUNTS ACTUALLY SHOWED AN INCREASE OF \$436,724.07. CLIENT DEPOSITED \$4379851 AND WITHDREW 3654318. THE NEW HUSBAND THOUGHT THE ACCOUNT LOST MONEY. HE DID NOT REALIZE THAT THE NEW WIFE SPENT MONEY. THE CLAIM WAS FROZEN FROM NEW HUSBAND. IT WAS NOT HIS ACCOUNT.
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Disclosure 2 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ADVEST, INC.
Allegations:	ALLEGES LACK OF ADVICE
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$52,000.00

Customer Complaint Information

Date Complaint Received:	05/12/2004
Complaint Pending?	No
Status:	Denied



Status Date: 05/28/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ADVEST, INC.

Allegations:

Product Type:

Alleged Damages: \$62,000.00

Customer Complaint Information

Date Complaint Received: 11/24/1998

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement @2/14/99, PARTIAL U5 REC'D FROM ADVEST INC. WITH YES TO 13B1,13B2 & RESPONSE TO 16A.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ADVEST, INC.

Allegations: ALLEGED UNSUITABLE RECOMMENDATION

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$62,000.00

Customer Complaint Information

Date Complaint Received: 11/24/1998

Complaint Pending? No

Status: Withdrawn

Status Date: 02/16/2000

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 8

Reporting Source: Individual

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

Allegations: ALLEGES THAT THE TRADING IN THE ACCOUNT WAS UNSUITABLE AND THAT SOME TRADES WERE UNAUTHORIZED SEEKING DAMAGES OF \$131,700.00

Product Type:

Alleged Damages: \$131,700.00

Customer Complaint Information**Date Complaint Received:**

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/28/1998

Settlement Amount:**Individual Contribution Amount:****Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: 97-01363

Date Notice/Process Served: 06/18/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/29/1998

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$11,625.50

Broker Statement SETTLED FOR \$17,500.00 BOB MYERS TO CONTRIBUTE \$11,625.50 TO SETTLEMENT LEGAL COSTS WERE GOING TO BE MORE THAN SETTLEMENT CUSTOMER PURCHASED STOCKS ON A UNSOLICITED BASIS, UNSOLICITED LETTERS SIGNED BY CUSTOMER STATING TRADES WERE UNSOLICITED; THE TRADES WERE SUITABLE BECAUSE THEY WERE UNSOLICITED. CLIENT MADE MONEY ON OTHER UNSOLICITED TRADES. THE LEGAL COSTS TO ARBITRATION WERE GREATER THAN SETTLEMENT

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE, INC.

Allegations: CLIENT ALLEGED FA MADE UNAUTHORIZED TRADES IN TREASURY STRIPS RESULTING IN DAMAGES OF \$15,000.00.

Product Type:



Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 07/01/1987

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/14/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 91-00260

Date Notice/Process Served: 01/05/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/14/1991

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount:

Firm Statement SETTLED \$10,000.00.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE, INC.

Allegations: ALLEGED UNAUTHORIZED TRADING. (U.S. TREASURY STRIPS). SEEKING 3,400.00. [CUSTOMER] BOUGHT U.S. TREASURY STRIPS AND TINTEREST RATES WENT UP AND HE LOST MONEY. HE SOLD THE BONDS BEFORE MATURITY.

Product Type:

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 07/01/1987

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/14/1991

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 91-00260

Date Notice/Process Served: 01/05/1991

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/14/1991

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount:

Broker Statement COMPLAINT WITHDRAWN
PLEASE PLACE THIS INTO A "Z" STATUS ALL QUESTIONS REGARDING THIS OCCURRENCE SHOULD NOW BE ANSWERED AS "NO" NO QUESTION CURRENTLY APPLIES.

Disclosure 6 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE

Allegations: UNSUITABILITY ALLEGED WITH RESPECT TO SALE OF LIMITED PARTNERSHIPS AND DAMAGES TOTALLING \$98,000.

Product Type:

Alleged Damages: \$98,000.00

Customer Complaint Information

Date Complaint Received: 02/09/1988

Complaint Pending? No

Status: Settled

Status Date: 07/01/1992

Settlement Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Firm Statement WITHOUT ADMITTING LIABILITY, CLAIM SETTLED FOR \$45,000.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE

Allegations: ORIGINALLY FILED AS ALLEGED UNSUITABILITY (US TREASURY STRIPS) ALLEGED \$15,000 IN LOSSES-LATER AMENDED TO



ALLEGED UNSUITABILITY WITH RESPECT TO SALE OF LIMITED PARTNERSHIPS SEEKING \$98,000.00

Product Type:

Alleged Damages: \$98,000.00

Customer Complaint Information

Date Complaint Received: 02/09/1988

Complaint Pending? No

Status: Settled

Status Date: 07/01/1992

Settlement Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED WITH FIRM (PRUDENTIAL BACHE) FOR 45,000.00. MEYERS DID NOT CONTRIBUTE TO, NOR WAS HE AWARE OF ANY SETTLEMENT. THIS WAS A PRU BACHE LIMITED PARTNERSHIP.

Disclosure 7 of 8

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: SUITABILITY; BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED- FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$40,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #93-02246

Date Notice/Process Served: 06/23/1993

Arbitration Pending? No

Disposition: Other

Disposition Date: 11/05/1993

Disposition Detail: AWARD AGAINST PARTY
Not Provided

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENTS ALLEGE UNSUITABILITY, MISREPRESENTATION & FRAUD IN CONNECTION WITH THE 1987



PURCHASE
OF \$50,000 PB ENERGY LIMITED PARTNERSHIP. ALLEGED DAMAGES IN
EXCESS OF \$35,000 ARE CLAIMED.

Product Type:

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** National Assoc. of Securities Dealers; 93-02246

Date Notice/Process Served: 06/23/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/05/1993

Firm Statement Not Provided
Not Provided

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Reporting Source: Individual

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

Allegations: CLIENT ALLEGED UNSUITABILITY
MISREPRESENTATION, & FRAUD IN CONNECTION WITH THE 1987
PURCHASE
OF \$50,000.00 PB ENERGY LIMITED PARTNERSHIP. ALLEGED DAMAGES IN
EXCESS OF \$35,000.00 ARE CLAIMED.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 06/23/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/23/1993

Settlement Amount: \$0.00



Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 93-02246

Date Notice/Process Served: 06/23/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/05/1993

Monetary Compensation Amount: \$19,878.00

Individual Contribution Amount: \$0.00

Broker Statement
AWARD MADE BY PRUDENTIAL CUSTOMER PURCHASED THE ENERGY INCOME ON THE BASIS THAT OIL PRICES WOULD GO UP. CUSTOMER BOURGH THIS INVESTMENT AS AN INFTATION HEDGE. CUSTOMER WAS VERY SOPHISTICATED INVESTOR AND KNEW THE RISK. BASED ON THE CLIENTS INCOME, NET WORTH AND LIQUID ASSETS THE INVESTMENT WAS SUITABLE. A FEW MONTHS AFTER THE PURCHASE I LEFT THE EMPLOYMENT OF PRUBACHE. CUSTOMER DECIDED TO KEEP HIS BUSINESS WITH PRU BACHE. I HAVE NOT SPOKE TO HIM IN 7 YEARS. PRUBACHE, THE FORMER BRANCH MGR. AND MYSELF ARE ALL RESPONDENTS.

Disclosure 8 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES

Allegations: Not Provided

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1993

Complaint Pending? No

Status: Settled

Status Date: 07/30/1993

Settlement Amount: \$54,386.00

Individual Contribution Amount: \$0.00

Firm Statement
WITHOUT ADMITTING LIABILITY;CASE WAS SETTLED FOR \$54,386.00.
Not Provided



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES

Allegations: CUSTOMER ALLEGED IT WAS NOT PROPERLY ADVISED OF THE DEFERRED SALES CHARGE FEATURE ON SOME LARGE MUTUAL FUND INVESTMENTS. DAMAGES ARE UNSPECIFIED BUT WELL OVER \$10,000.00. THE CUSTOMER (CFO OF CITY BOUGHT A BOND FUND). THE VALUE OF THE SHARES DROPPED AND WAS LOOKING FOR A REASON TO COVER HIS ACTIONS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1993

Complaint Pending? No

Status: Settled

Status Date: 07/30/1993

Settlement Amount: \$54,386.00

Individual Contribution Amount: \$0.00

Broker Statement WITHOUT ADMITTING LIABILITY, CASE WAS SETTLED WITH FIRM FOR \$54,386.00. MEYERS DID NOT CONTRIBUTE TO SETTLEMENT. PLEASE NOTE SETTLEMENT HAS WITH PRUDENTIAL, NOT W MEYERS.
Not Provided



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 2

Reporting Source: Firm
Firm Name: Wells Fargo Clearing Services, LLC.
Termination Type: Discharged
Termination Date: 10/17/2017
Allegations: Mr. Meyers was discharged from Wells Fargo Clearing Services, LLC for recommending to clients that they participate in investments not offered through the Firm.
Product Type: Other: Private Equity

Reporting Source: Individual
Firm Name: Wells Fargo Clearing Services, LLC
Termination Type: Discharged
Termination Date: 10/17/2017
Allegations: Mr. Meyers was discharged from Wells Fargo Clearing Services, LLC for recommending to clients that they participate in investments not offered through the Firm.
Product Type: Other: Private Equity
Broker Statement Mr. Meyers states that Wells Fargo's management was aware of the transactions.

Disclosure 2 of 2

Reporting Source: Individual
Firm Name: LEHMAN BROTHERS INC.
Termination Type: Discharged
Termination Date: 11/13/1987
Allegations: ALLEGED THAT MEYERS REMOVED PROPRIATARY INFORMATION FROM HIS PRIOR EMPLOYER THIS OCCURED IN 1987 (COPIES OF INFORMATION)
Product Type: No Product
Other Product Types:
Broker Statement ROBERT MEYERS REMOVED COPIES OF CLIENTS STATEMENTS AND FILES. THIS DOES NOT RELATE TO QUESTION 14(J)2 WHICH SHOULD REMAIN A "NO" ANSWER. HE DID NOT REMOVE PROPERTY. HE WAS ALLEGED TO HAVE VIOLATED A REGULATION(14J1) BY COPYING PROPERTY.(NOT FRAUD OR WRONGFUL TAKING OF PROPERTY) SHEARSON WAS SUED FOR WRONGFUL TERMIANTION AND BREACH OF CONTRACT WITH MEYERS. SHEARSON LOST CASE AT TRIAL, WENT TO APPEALS AND SUPREME COURT. MEYERS



WON AT APPEALS AND SUPREME COURT. SHEARSON PAID MEYERS FOR WRONGFUL TERMINATION AND BREACH OF CONTRACT.



End of Report

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