



IAPD Report

WALTER YOST HOOPER

CRD# 1540706

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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

WALTER YOST HOOPER (CRD# 1540706)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	02/13/2013

QUALIFICATIONS

This representative is currently registered in **9** 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
IA	MORGAN KEEGAN & COMPANY, INC.	4161	MONTGOMERY, AL	08/03/1995 - 02/13/2013
B	MORGAN KEEGAN & COMPANY, INC.	4161	MONTGOMERY, AL	10/24/1994 - 02/13/2013
B	AMSOUTH INVESTMENT SERVICES, INC.	15692	BIRMINGHAM, AL	05/13/1988 - 10/10/1994

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	2
Customer Dispute	11



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 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**
Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716
Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/13/2013
B Investors' Exchange LLC	General Securities Representative	Approved	09/05/2025
B MEMX LLC	General Securities Representative	Approved	09/05/2025
B NYSE American LLC	General Securities Representative	Approved	02/13/2013
B NYSE Arca, Inc.	General Securities Representative	Approved	09/05/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	09/05/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	03/21/2013
B Nasdaq Stock Market	General Securities Representative	Approved	02/13/2013
B New York Stock Exchange	General Securities Representative	Approved	02/13/2013
B Alabama	Agent	Approved	02/13/2013
IA Alabama	Investment Adviser Representative	Approved	02/13/2013
B Arkansas	Agent	Approved	02/20/2025
B Colorado	Agent	Approved	03/28/2021



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	02/13/2013
B Georgia	Agent	Approved	02/13/2013
B Kentucky	Agent	Approved	04/21/2023
B Louisiana	Agent	Approved	07/10/2025
B Maryland	Agent	Approved	02/28/2013
B North Carolina	Agent	Approved	01/26/2026
B Ohio	Agent	Approved	07/23/2021
B Tennessee	Agent	Approved	02/13/2013

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
7460 HALCYON POINTE DRIVE
SUITE #101
MONTGOMERY, AL 36117



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	09/20/1986
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/1986
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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	08/03/1995 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MONTGOMERY, AL
B	10/24/1994 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MONTGOMERY, AL
B	05/13/1988 - 10/10/1994	AMSOUTH INVESTMENT SERVICES, INC.	CRD# 15692	BIRMINGHAM, AL
B	09/26/1986 - 02/22/1988	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	

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
02/2013 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Mass Transfer	Y	MONTGOMERY, AL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	11

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 2

Reporting Source: Regulator

Regulatory Action Initiated By: AL

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/22/1998

Docket/Case Number: CO-95-0079

Employing firm when activity occurred which led to the regulatory action: AMSOUTH INVESTMENT SERVICES, INC.

Product Type:

Other Product Type(s):

Allegations: AMSOUTH INVESTMENT SERVICES, SHEILA P. SMITH AND WALTER YOST HOOPER, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS ENTERED INTO A CONSENT ORDER WITH THE ALABAMA SECURITIES COMMISSION. THE CONSENT ORDER FOUND THAT AMSOUTH FAILED TO DILIGENTLY SUPERVISE ITS AGENTS, FILED A MISLEADING AMENDED APPLICATION AND EMPLOYED AN UNREGISTERED AGENT. THE CONSENT ORDER FURTHER FOUND THAT SMITH AND HOOPER COMMITTED VIOLATIONS OF THE ALABAMA ADMINISTRATIVE CODE BY RECOMMENDING AND SELLING SECURITIES TO THEIR CLIENTS WITHOUT A REASONABLE BASIS TO DETERMINE THE SUITABILITY OF THE SECURITIES HOOPER WAS



FINED \$15,000.00 AND SMITH \$10,000.00. AMSOUTH RECEIVED A FINE OF \$50,000.00 AND WAS DIRECTED TO PAY \$25,000.00 FOR REIMBURSEMENT OF INVESTIGATIVE COSTS.

Current Status: Final
Resolution: Consent
Resolution Date: 01/22/1998
Sanctions Ordered: Monetary/Fine \$15,000.00
Other Sanctions Ordered:
Sanction Details: SEE ALLEGATIONS.
Regulator Statement SEE ALLEGATIONS. CONTACT: CHRISTOPHER P. YOUNG, (334) 242-2984

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF ALABAMA
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 01/22/1998
Docket/Case Number: CO-95-0079
Employing firm when activity occurred which led to the regulatory action: AMSOUTH INVESTMENT SERVICES, INC.

Product Type:
Other Product Type(s):

Allegations: THE ALABAMA SECURITIES COMMISSION ISSUED AN ORDER TO SHOW CAUSE WHY THE REGISTRATION OF WALTER Y. HOOPER SHOULD NOT BE SUSPENDED OR REVOIKED IN THE STATE OF ALABAMA. THE ORDER WAS ISSUED BASED ON ALLEGATIONS FROM ALABAMA RESIDENTS THAT HOOPER HAD ENGAGED IN DISHONEST OR UNETHICAL BUSINESS PRACTICES.

Current Status: Final
Resolution: Consent
Resolution Date: 01/22/1998
Sanctions Ordered: Monetary/Fine \$15,000.00
Other Sanctions Ordered:
Sanction Details: MR. HOOPER SIGNED A CONSENT ORDER AND AGREED TO REMIT \$15,000.00 TO THE ALABAMA SECURITIES COMMISSION.

Broker Statement I NEITHER ADMITTED NOR DENIED THAT I ENGAGED IN ANY DISHONEST OR UNETHICAL PRACTICE. THE ONLY ALLEGATIONS AGAINST ME IN THE CONSENT ORDER WAS I EXECUTED TRANSACTIONS PRIOR TO HAVING CLIENTS REVIEW AND SIGN ACCOUNT APPLICATIONS



OR
PRIOR TO DOCUMENTING THE CLIENTS ANNUAL INCOME AND NET
WORTH.
HOWEVER, I WOULD ALWAYS ASK QUESTIONS OF NEW
CLIENTS/PROSPECTS
AS TO THEIR INCOME, NET WORTH, INVESTMENT EXPERIENCE,
INVESTMENTS HORIZONS PRIOR TO ANY TRANSACTIONS.

Disclosure 2 of 2**Reporting Source:**

Regulator

**Regulatory Action Initiated
By:**

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

12/09/1996

Docket/Case Number:

C05960046

**Employing firm when activity
occurred which led to the
regulatory action:****Product Type:****Other Product Type(s):****Allegations:****Current Status:**

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

12/09/1996

Sanctions Ordered:Censure
Monetary/Fine \$25,000.00**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON DECEMBER 9, 1996, DISTRICT NO. 5 NOTIFIED WALTER Y. HOOPER THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05960046 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$25,000 - (NASD RULES 2110 AND 2210 - IN CONNECTION WITH THE OFFER AND SALE OF INTERESTS IN FUNDS, RESPONDENT HOOPER MADE OR CAUSED TO BE MADE INACCURATE STATEMENTS ABOUT THE FUND IN SALES LITERATURE DISTRIBUTED TO PUBLIC CUSTOMERS; FAILED TO OBTAIN PRIOR WRITTEN APPROVAL OF SUCH LITERATURE FROM A FIRM PRINCIPAL OR DESIGNEE; FAILED TO SUBMIT THE SALES LITERATURE TO THE NASD; FAILED TO DEMONSTRATE AN ADEQUATE BASIS ON WHICH TO RECOMMEND THE SALE OF SUCH INTERESTS TO PUBLIC CUSTOMERS BASED ON THE CUSTOMERS INVESTMENT OBJECTIVES, FINANCIAL SITUATIONS, AND NEEDS; AND, FAILED TO DEMONSTRATE THAT HE ADEQUATELY DISCLOSED



THE RISKS OF INVESTMENT IN THE FUNDS.

\$25,000.00 PAID ON 12/31/96, INVOICE #96-05-907

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/09/1996

Docket/Case Number: C05960046

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

Product Type:

Other Product Type(s):

Allegations: VIOLATION OF CONDUCT RULES 2110 AND 2210- FOR THE PERIOD 3/10/92- 12/30/92 MADE OR CAUSED TO BE MADE CERTAIN INACCURATE STATEMENTS IN CONNECTION WITH THE OFFER AND SALE OF INTERESTS IN PILGRIM ADJUSTABLE US GOVERNMENT SECURITIES TRUST AND FAILED TO OBTAIN PRIOR WRITTEN APPROVAL OF SALES LITERATURE IN RELATION THERETO.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/09/1996

Sanctions Ordered: Censure
Monetary/Fine \$25,000.00

Other Sanctions Ordered:

Sanction Details: LETTER OF ACCEPTANCE, WAIVER & CONSENT- CENSURE AND \$25,000.00 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 11

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 A VARIABLE ANNUITY PURCHASED IN 2003.
Product Type:	Annuity-Variable
Alleged Damages:	\$50,000.00
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 #:	13-03582
Filing date of arbitration/CFTC reparation or civil litigation:	12/04/2013

Customer Complaint Information

Date Complaint Received:	12/17/2013
Complaint Pending?	No
Status:	Settled
Status Date:	08/12/2014
Settlement Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 11

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 2004.
Product Type:	Mutual Fund



Alleged Damages: \$104,806.00

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 #: 11-04574

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/06/2011

Customer Complaint Information

Date Complaint Received: 12/28/2011

Complaint Pending? No

Status: Settled

Status Date: 01/11/2013

Settlement Amount: \$10,000.00

**Individual Contribution
Amount:** \$0.00

Disclosure 3 of 11

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 IN 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 #: 11-03058

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/03/2011

**Customer Complaint Information**

Date Complaint Received: 08/18/2011
Complaint Pending? No
Status: Settled
Status Date: 03/19/2013
Settlement Amount: \$38,500.00
Individual Contribution Amount: \$0.00

Disclosure 4 of 11

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 - 2007.
Product Type: Mutual Fund
Alleged Damages: \$215,890.50
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 #: 11-01397
Filing date of arbitration/CFTC reparation or civil litigation: 04/01/2011

Customer Complaint Information

Date Complaint Received: 06/17/2011
Complaint Pending? No
Status: Settled
Status Date: 05/22/2013
Settlement Amount: \$40,000.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 11

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 2004.

Product Type: Mutual Fund

Alleged Damages: \$75,398.00

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 #: 10-03986

Filing date of arbitration/CFTC reparation or civil litigation: 09/02/2010

Customer Complaint Information

Date Complaint Received: 10/22/2010

Complaint Pending? No

Status: Settled

Status Date: 12/20/2011

Settlement Amount: \$27,639.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 11

Reporting Source: Individual

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

Allegations: CLAIM ALLEGES UNSUITABILITY OF MUTUAL FUNDS PURCHASED 2002 - 2006.

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 #: 10-03450



Filing date of arbitration/CFTC reparation or civil litigation: 07/28/2010

Customer Complaint Information

Date Complaint Received: 08/30/2010
Complaint Pending? No
Status: Settled
Status Date: 12/18/2013
Settlement Amount: \$17,000.00
Individual Contribution Amount: \$0.00

Disclosure 7 of 11

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 2004 AND 2007.

Product Type: Mutual Fund

Alleged Damages: \$62,000.00

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 #: 10-02222

Filing date of arbitration/CFTC reparation or civil litigation: 05/07/2010

Customer Complaint Information

Date Complaint Received: 06/14/2010
Complaint Pending? No
Status: Settled
Status Date: 01/05/2012
Settlement Amount: \$9,607.79
Individual Contribution Amount: \$0.00

Disclosure 8 of 11



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.
Allegations: CLAIM ALLEGES MISREPRESENTATION OF MUTUAL FUNDS PURCHASED 12/20/06.
Product Type: Mutual Fund(s)
Alleged Damages: \$70,000.00

Customer Complaint Information

Date Complaint Received: 08/21/2008
Complaint Pending? No
Status: Settled
Status Date: 11/26/2008
Settlement Amount: \$64,899.86
Individual Contribution Amount: \$0.00

Disclosure 9 of 11

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.
Allegations: CLAIM ALLEGES UNSUITABILITY OF MUTUAL FUNDS. DAMAGES CLAIMED ARE UNSPECIFIED (BELIEVED TO BE IN EXCESS OF \$5,000.00)
Product Type: No Product
Alleged Damages: \$0.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/07/2008
Complaint Pending? No
Status: Settled
Status Date: 04/30/2009
Settlement Amount: \$35,000.00
Individual Contribution Amount: \$0.00

Disclosure 10 of 11

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: AMSOUTH INVESTMENT SERVICES, INC.

Allegations: THE CUSTOMER ALLEGED THAT MR HOOPER MISREPRESENTED THE PILGRIM ADJUSTABLE U.S. GOVT INCOME FUND THAT SHE PURCHASED AS AN INVESTMENT THAT CARRIED NO RISK TO PRINCIPAL. SHE WAS SEEKING REIMBURSEMENT OF TOTAL LOSS PLUS INTEREST AND LEGAL FEES OF \$41,396.45.

Product Type:

Alleged Damages: \$41,396.45

Customer Complaint Information

Date Complaint Received: 03/15/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$41,396.45

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS SETTLED BY THE CLAIMANT AND THE FIRM FOR \$41,396.45 ALTHOUGH MR HOOPER VIGOROUSLY DENIES THE CUSTOMERS CHARGES, MANAGEMENT OF AMSOUTH INVESTMENT SERVICES, INC. DETERMINED THAT THE EXPENSES OF DEFENDING THIS CLAIM WOULD EXCEED THE AMOUNT FOR WHICH IT COULD BE SETTLED.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMSOUTH INVESTMENT SERVICES, INC.

Allegations: THE CUSTOMER ALLEGED THAT MR HOOPER MISREPRESENTED THE PILGRIM ADJUSTABLE US GOVT INCOME FUND THAT SHE PURCHASES AS AN INVESTMENT THAT CARRIED NO RISK TO PRINCIPAL. SHE WAS SEEKING REIMBURSEMENT OF TOTAL LOSS PLUS INTEREST AND LEGAL FEES OF \$41,396.45

Product Type:

Alleged Damages: \$41,396.45

Customer Complaint Information

Date Complaint Received: 03/15/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$41,396.45



Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER WAS SETTLED BY THE CLAIMANT AND THE FIRM FOR \$41,396.45 MR HOOPER DENIES THE ALLEGATIONS IN THEIR ENTIRETY. THIS MATTER AROSE WHILE MR HOOPER WAS EMPLOYED AT A PREVIOUS FIRM. AMSOUTH BANK REACHED A SETTLEMENT WITH ITS CUSTOMER WITHOUT INPUT OR PARTICIPATION BY MR HOOPER

Disclosure 11 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMSOUTH INVESTMENT SERVICES, INC.

Allegations: THE CUSTOMER ALLEGED THAT MR. HOOPER RECOMMENDED SHE PURCHASE A MUTUAL FUND THAT WAS RISKIER THAN WAS APPROPRIATE AND THAT, AS A RESULT, SHE LOST \$15,388.55.

Product Type:

Alleged Damages: \$15,388.55

Customer Complaint Information

Date Complaint Received: 03/18/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,000.00

Individual Contribution Amount:

Firm Statement THIS MATTER WAS SETTLED BY THE CLAIMANT AND THE FIRM FOR \$10,000. MANAGEMENT OF AMSOUTH INVESTMENT SERVICES, INC. DETERMINED THAT THE EXPENSE OF DEFENDING THIS CLAIM WOULD EXCEED THE AMOUNT FOR WHICH IT COULD BE SETTLED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMSOUTH INVESTMENT SERVICES, INC.

Allegations: THE CUSTOMER ALLEGED THAT MR. HOOPER RECOMMENDED SHE PURCHASE A MUTUAL FUND THAT WAS RISKIER THAN WAS APPROPRIATE AND THAT, AS A RESULT, SHE LOST \$15,388.55

Product Type:

Alleged Damages: \$15,388.55

Customer Complaint Information



Date Complaint Received: 03/18/1996

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,000.00

Individual Contribution Amount:

Broker Statement

THIS MATTER WAS SETTLED BY THE CLAIMANT AND THE FIRM FOR \$10,000. UNTIL A RECENT NASD INQUIRY IN JUNE 1996 I WAS NOT AWARE OF ANY COMPLAINT BY THE CUSTOMER OR HER SON WHO IS AN ATTORNEY AND WAS ON A JOINT ACCOUNT WITH THE CUSTOMER. AMSOUTH APPARENTLY RECEIVED A COMPLAINT AND MADE A SETTLEMENT WITH THE CUSTOMER WITHOUT CONTACTING ME. I VIGOROUSLY DENY THAT I SOLD AN UNSUITABLE INVESTMENT TO THE CUSTOMER.



End of Report

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