IAPD Report

ROBERT JAMES BAPTIST JR

CRD# 1576889

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 JAMES BAPTIST JR (CRD# 1576889)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **06/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/17/2022
IA	LPL FINANCIAL LLC	CRD# 6413	08/17/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	PEOPLE'S UNITED ADVISORS, INC.	292454	Westport, CT	05/22/2018 - 08/17/2022
B	PEOPLE'S SECURITIES, INC.	13704	WESTPORT, CT	03/13/1996 - 08/17/2022
IA	PEOPLE'S SECURITIES, INC.	13704	WESTPORT, CT	01/02/2002 - 03/31/2020

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
Criminal	1
Customer Dispute	4
Termination	1

Report Summary

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/17/2022
B	FINRA	General Securities Representative	Approved	08/17/2022
B	Alaska	Agent	Approved	09/19/2022
B	California	Agent	Approved	09/12/2022
B	Colorado	Agent	Approved	12/07/2022
B	Connecticut	Agent	Approved	08/17/2022
IA	Connecticut	Investment Adviser Representative	Approved	08/17/2022
B	Delaware	Agent	Approved	07/18/2023
B	Florida	Agent	Approved	05/30/2023
B	Georgia	Agent	Approved	09/15/2022
B	Illinois	Agent	Approved	09/22/2022
B	Maryland	Agent	Approved	09/13/2022
B	Minnesota	Agent	Approved	09/13/2022

Qualifications

	Regulator	Registration	Status	Date
B	New Hampshire	Agent	Approved	09/28/2022
B	New Jersey	Agent	Approved	04/10/2023
B	New Mexico	Agent	Approved	08/29/2025
B	New York	Agent	Approved	08/17/2022
B	North Carolina	Agent	Approved	09/13/2022
B	Ohio	Agent	Approved	09/13/2022
B	South Carolina	Agent	Approved	09/14/2022
B	Vermont	Agent	Approved	04/26/2023
B	Washington	Agent	Approved	09/12/2022
B	Wyoming	Agent	Approved	09/16/2022

Branch Office Locations

LPL FINANCIAL LLC
11 BELDEN AVENUE
NORWALK, CT 06850

LPL FINANCIAL LLC
72 EDGERTON STREET
DARIEN, CT 06820

LPL FINANCIAL LLC
SOUTHPORT, CT

LPL FINANCIAL LLC
371 POST ROAD EAST
WESTPORT, CT 06880

LPL FINANCIAL LLC
361 POST ROAD WEST
WESTPORT, CT 06880

LPL FINANCIAL LLC
25 OLD KINGS HIGHWAY NORTH
DARIEN, CT 06820

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
B	General Securities Principal Examination (S24)	Series 24	01/02/2023

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/19/1987
B	National Commodity Futures Examination (S3)	Series 3	08/17/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/11/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/20/1987

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/22/2018 - 08/17/2022	PEOPLE'S UNITED ADVISORS, INC.	CRD# 292454	Westport, CT
B	03/13/1996 - 08/17/2022	PEOPLE'S SECURITIES, INC.	CRD# 13704	WESTPORT, CT
IA	01/02/2002 - 03/31/2020	PEOPLE'S SECURITIES, INC.	CRD# 13704	WESTPORT, CT
B	07/31/1993 - 08/29/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/17/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	05/22/1989 - 11/09/1992	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	09/23/1987 - 05/22/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WESTPORT, CT, United States
08/2022 - Present	LPL FINANCIAL LLC	Registered Representative	Y	WESTPORT, CT, United States
05/2018 - Present	People's United Advisors, Inc.	Financial Advisor	Y	Bridgeport, CT, United States
01/1996 - Present	PEOPLE'S SECURITIES, INC.	NOT PROVIDED	Y	NORWALK, CT, 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. 08/18/2022 - Wilmington Advisors at M&T - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Advisor - Start Date - 08/18/2022 - 160 Hours Per Month/160 Hours During Securities Trading.

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
Criminal	1
Customer Dispute	4
Termination	1

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:	08/16/1996
Docket/Case Number:	C10960109
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/07/1997
Sanctions Ordered:	Censure Monetary/Fine $15,000.00 Suspension

Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. C10960109 FILED AUGUST 16, 1996 BY DISTRICT NO. 10 AGAINST ROBERT JAMES BAPTIST, JR. ALLEGING VIOLATIONS OF NASD RULE 2110 (FORMERLY ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE) IN THAT RESPONDENT BAPTIST CAUSED SHARES OF COMMON STOCKS TO BE PURCHASED IN THE ACCOUNTS OF PUBLIC CUSTOMERS WITHOUT THEIR PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT. ON MARCH 7, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT BAPTIST WAS ISSUED; THEREFORE, HE IS CENSURED, FINED $15,000, AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS. SUSPENSION WILL BEGIN MAY 19, 1997 AND CONCLUDE JUNE 16, 1997 ***$15,000.00 PAID ON 4/3/97, INVOICE #97-10-236***

Reporting Source:	Individual
Regulatory Action Initiated By:	REGULATOR- NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/16/1996
Docket/Case Number:	C10960109
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	1) UNAUTHORIZED TRANSACTION - CUSTOMER BEDELL (JAN 6, 1996) 2) UNAUTHORIZED TRANSACTION - CUSTOMER OSIECKI (MAY 4, 1995) 3) UNAUTHROIZED TRANSACTION CUSTOMER MCGRAW (JUNE 2, 1995) OCCURED WHILE EMPLOYED BY SMITH BARNEY. NO DAMAGES WERE SPECFIED
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/07/1997
Sanctions Ordered:	Censure Monetary/Fine $15,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	1) CENSURE

	2) $15,000 FINE TO BE PAID BY MR. BAPTIST 3) 20 BUSINESS DAY SUSPENSION FROM ASSOCIATING WITH ANY MEMBER FIRM. SUSPENSION TO BEGIN ON MAY 19, 1997
Broker Statement	MR BAPTIST CONSENTED FOR THE PURPOSE OF THIS PROCEEDING ONLY, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT.

Criminal

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

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	Not Provided NONE
Charge Date:	09/28/1985
Charge Details:	CHARGE OF PETTY LARCENY; CHARGES WERE DROPPED
Felony?	
Current Status:	Final
Status Date:	10/17/1985
Disposition Details:	ROBERT BAPTIST WAS CHARGED WITH PETTY LARCENY ON 9/28/85 AS A RESULT OF A FRATERNITY PRANK INVOLVING THE TAKING OF ONE DOMINO'S PIZZA. DOMINO'S WAS REFUNDED FOR THE COST OF THE PIZZA AND SUBSEQUENTLY THE CHARGES WERE DROPPED IN COURT WHEN DOMINO'S CHOSE NOT TO SEND A REPRESENTATIVE
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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Misrepresentation
Product Type:	Other: Managed account
Alleged Damages:	$40,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/20/2026
Complaint Pending?	No
Status:	Denied
Status Date:	06/15/2026
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Customer alleges advisor failed to disclose information about conversion to advisory account or that liquidation of assets could result in capital gains taxes.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PEOPLE'S SECURITIES, INC.
Allegations:	CLIENT PURCHASED ADDITIONAL SHARES OF AN EXISTING MUTUAL FUND POSITION IN THE AMOUNT OF $100,000 ON JANUARY 19, 2022. CLIENT SENT A WRITTEN COMPLAINT THREE AND A HALF MONTHS LATER ON JUNE 3, 2022 REGARDING HIS PEOPLE'S SECURITIES REGISTERED REPRESENTATIVE ROBERT BAPTIST, IN WHICH HE CLAIMED THAT THE REFERENCED TRADE WAS UNSUITABLE AND PLACED BY MR. BAPTIST WITHOUT AUTHORIZATION, WITHOUT PROVIDING A PROSPECTUS AND WITHOUT DESCRIBING THE RISKS OF INVESTMENT.
Product Type:	Mutual Fund

Alleged Damages: $15,320.04

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: 06/03/2022

Complaint Pending? No

Status: Settled

Status Date: 06/24/2022

Settlement Amount: $15,320.04

Individual Contribution Amount: $0.00

Broker Statement PSI BELEIVES THAT THE REFERENCED SUBSEQUENT MUTUAL FUND TRADE WAS SUITABLE BASED ON A RETROSPECTIVE REVIEW AND BASED ON A CUSTOMARY SUITABILITY REVIEW THAT OCCURED AT THE TIME OF THE TRANSACTION. THE OTHER CLAIMS OF THE CLIENT APPEAR TO BE BASELESS AS WELL: THERE IS NO INDICATION THAT ROBERT BAPTIST FAILED TO EXPLAIN THE RISKS OF INVESTMENT, PSI HAS CONFIRMED THAT THE TRADE WAS AUTHORIZED BY THE CLEINT, AND PSI HAS CONFIRMED THAT A PROSPECPETUS WAS PROVIDED BY PSI'S AUTOMATED SERVICE. HOWEVER, AS A CLIENT ACCOMODATION, PSI REIMBURSED THE CLIENT FOR THE DECLINE IN THE INVESTMENT'S VALUE WHICH TOTALED $15,320.04.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: THE CLIENT ALLEGED UNAUTHORIZED TRADING. DAMAGES WERE UNSPECIFIED.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/06/1995

Complaint Pending? No

Status: Settled

Status Date: 01/13/1995

Settlement Amount: $15,000.00

Individual Contribution Amount: $7,500.00

Firm Statement THE TRADE IN QUESTION WAS RESCINDED AT A COST OF

$15,000.00. THE FC CONTRIBUTED 50% ($7,500.00)
NO OPTIONS OR COMMODITIES INVOLVED. CONTACT
[BROKER DEALER CONTACT PERSON] (212) 723-4121

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: CUSTOMER DID NOT WANT TO HONOR A TRADE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/06/1995

Complaint Pending? No

Status: Settled

Status Date: 01/13/1995

Settlement Amount: $15,000.00

Individual Contribution Amount: $7,500.00

Broker Statement

CLIENT REIMBURSED FOR DIFFERENCE OF TRADE
[CUSTOMER] HAD BEEN DOING BUSINESS WITH ME FOR
NEARLY TEN YEARS. [CUSTOMER] WAS SENT A RESEARCH PIECE
ENTITLED
THE SMITH BARNEY EMERGING GROWTH FOCUS LIST ON WHICH A
COMPANY
CALLED VIEW LOGIC APPEARED. I CONTACTED [CUSTOMER] WHEN S.B.
REITERATED A FUNDAMENTAL BUY RECOMMENDATION ON VIEW LOGIC,
HE
INITIATED THE PURCHASE OF 2000 SHARES. THE COMPANY REPORTED
WEAK EARNINGS, S.B. DROPPED THE STOCK FROM ITS GROWTH FOUCS
LIST AND LOWERED ITS RATING WITHIN DAYS OF [CUSTOMER'S]
PURCHASE. [CUSTOMER] CLAIMED HE NEVER PURCHASED THE STOCK.
S.B.
MANAGEMENT FELT IF WE MADE THE CLIENT WHOLE THE DIFFERENCE
WOULD BE MADE UP IN FUTURE TRADING. THE CLIENT WAS MADE WHOLE
WITH THE AMOUNT SPLIT BETWEEN MANAGEMENT AND MYSELF. I
RECEIVED
ADDITIONAL ACCOUNTS TO MAKE UP THE COST OF THE REIMBURSEMENT.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: CLIENT ALLEGED THAT HE SUFFERED LOSSES
TOTALLING APPROXIMATELY $23,000 DUE TO MR. BAPTIST'S
MISREPRESENTING CERTAIN SECURITIES (IBM SCORES) PURCHASED IN
CLIENT'S ACCOUNT.

Product Type:

Alleged Damages: $23,000.00

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.: New York Stock Exchange

Date Notice/Process Served: 12/13/1990

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/08/1991

Monetary Compensation Amount: $13,300.00

Individual Contribution Amount:

Firm Statement SMITH BARNEY, FOR BUSINESS REASONS, DETERMINED
TO SETTLE THE MATTER IN FULL BY PAYMENT OF $13,300.00 TO
CLIENT.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: CLIENT ALLEGED THAT HE SUFFERED LOSSES
TOTALLING APPROXIMATELY $23,000 DUE TO MISREPESENTATION
CERTAIN
SECURITIES (IBM SCORES) PURCHASED IN CLIENTS ACCOUNT.

Product Type:

Alleged Damages: $23,000.00

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.:	New York Stock Exchange
Date Notice/Process Served:	12/13/1990
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/08/1991
Monetary Compensation Amount:	$13,300.00
Individual Contribution Amount:	
Broker Statement	SMITH BARNEY, FOR BUSINESS REASONS, DETERMINED TO SETTLE THE MATTER IN FULL BY PAYMENT OF $13,300 TO CLIENT ACCOUNT EXECUTIVE PAID NO DAMAGES. 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 1

Reporting Source:	Individual
Firm Name:	SALOMON SMITH BARNEY INC.
Termination Type:	Voluntary Resignation
Termination Date:	08/01/1995
Allegations:	N/A NONE-RESIGNED VOLUNTARILY FROM SMITH BARNEY OVER THE HANDLING OF TRADE DISPUTES
Product Type:	
Other Product Types:	
Broker Statement	N/A VOLUNTARY RESIGNATION Not Provided

End of Report

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