



## IAPD Report

# Tom Wallack

CRD# 1609018

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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

### Tom Wallack (CRD# 1609018)

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 **09/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	02/24/2022
<b>IA</b>	J.P. MORGAN SECURITIES LLC	CRD# 79	02/24/2022

### QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **53** jurisdiction(s).

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

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

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

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>B</b>	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY	08/30/2013 - 03/22/2022
<b>IA</b>	UBS FINANCIAL SERVICES INC.	8174	NEW YORK, NY	08/30/2013 - 03/22/2022
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	04/05/2001 - 09/03/2013

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	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 **53** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**  
Main Address: 270 PARK AVENUE  
NEW YORK, NY 10017  
Firm ID#: 79

Regulator	Registration	Status	Date
<b>B</b> 24X National Exchange LLC	General Securities Principal	Approved	10/31/2025
<b>B</b> 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
<b>B</b> BOX Exchange LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> BOX Exchange LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> BOX Exchange LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> Cboe BYX Exchange, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> Cboe BZX Exchange, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	02/24/2022



### Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	02/24/2022
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	02/24/2022
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	02/24/2022
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
B Cboe Exchange, Inc.	General Securities Principal	Approved	02/24/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	02/24/2022
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
B FINRA	General Securities Principal	Approved	02/24/2022
B FINRA	General Securities Representative	Approved	02/24/2022
B FINRA	General Securities Sales Supervisor	Approved	02/24/2022
B Investors' Exchange LLC	General Securities Principal	Approved	02/24/2022
B Investors' Exchange LLC	General Securities Representative	Approved	02/24/2022
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	02/24/2022
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	02/24/2022
B MEMX LLC	General Securities Principal	Approved	02/24/2022
B MEMX LLC	General Securities Representative	Approved	02/24/2022
B MEMX LLC	General Securities Sales Supervisor	Approved	02/24/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> MIAX Emerald, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> MIAX Emerald, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> MIAX PEARL, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> MIAX PEARL, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> MIAX Sapphire	General Securities Principal	Approved	09/23/2024
<b>B</b> MIAX Sapphire	General Securities Representative	Approved	09/23/2024
<b>B</b> MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
<b>B</b> Miami International Securities Exchange, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Miami International Securities Exchange, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> NYSE American LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> NYSE American LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> NYSE American LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> NYSE Arca, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> NYSE Arca, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	02/24/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> NYSE National, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> NYSE National, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> NYSE National, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> NYSE Texas, Inc.	General Securities Principal	Approved	02/24/2022
<b>B</b> NYSE Texas, Inc.	General Securities Representative	Approved	02/24/2022
<b>B</b> NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq GEMX, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Nasdaq GEMX, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq MRX, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Nasdaq MRX, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq Stock Market	General Securities Principal	Approved	02/24/2022



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Nasdaq Texas, LLC	General Securities Principal	Approved	02/24/2022
<b>B</b> Nasdaq Texas, LLC	General Securities Representative	Approved	02/24/2022
<b>B</b> Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> New York Stock Exchange	General Securities Principal	Approved	02/24/2022
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	02/24/2022
<b>B</b> New York Stock Exchange	General Securities Sales Supervisor	Approved	02/24/2022
<b>B</b> Alabama	Agent	Approved	03/28/2022
<b>B</b> Alaska	Agent	Approved	03/30/2022
<b>B</b> Arizona	Agent	Approved	03/21/2022
<b>B</b> Arkansas	Agent	Approved	03/03/2022
<b>B</b> California	Agent	Approved	02/24/2022
<b>B</b> Colorado	Agent	Approved	02/24/2022
<b>B</b> Connecticut	Agent	Approved	02/24/2022
<b>B</b> Delaware	Agent	Approved	03/23/2022
<b>B</b> District of Columbia	Agent	Approved	03/10/2022
<b>B</b> Florida	Agent	Approved	02/24/2022
<b>B</b> Georgia	Agent	Approved	03/03/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Hawaii	Agent	Approved	05/04/2022
<b>B</b> Idaho	Agent	Approved	02/28/2022
<b>B</b> Illinois	Agent	Approved	03/17/2022
<b>B</b> Indiana	Agent	Approved	02/24/2022
<b>B</b> Iowa	Agent	Approved	02/24/2022
<b>B</b> Kansas	Agent	Approved	02/24/2022
<b>B</b> Kentucky	Agent	Approved	02/24/2022
<b>B</b> Louisiana	Agent	Approved	03/25/2022
<b>B</b> Maine	Agent	Approved	02/24/2022
<b>B</b> Maryland	Agent	Approved	02/24/2022
<b>B</b> Massachusetts	Agent	Approved	05/25/2022
<b>B</b> Michigan	Agent	Approved	02/24/2022
<b>B</b> Minnesota	Agent	Approved	03/25/2022
<b>B</b> Mississippi	Agent	Approved	03/21/2022
<b>B</b> Missouri	Agent	Approved	02/24/2022
<b>B</b> Montana	Agent	Approved	02/25/2022
<b>B</b> Nebraska	Agent	Approved	03/21/2022
<b>B</b> Nevada	Agent	Approved	04/01/2022
<b>B</b> New Hampshire	Agent	Approved	02/24/2022



### Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	02/24/2022
B New Mexico	Agent	Approved	03/03/2022
B New York	Agent	Approved	02/24/2022
IA New York	Investment Adviser Representative	Approved	02/24/2022
B North Carolina	Agent	Approved	02/24/2022
B North Dakota	Agent	Approved	02/28/2022
B Ohio	Agent	Approved	02/24/2022
B Oklahoma	Agent	Approved	03/21/2022
B Oregon	Agent	Approved	02/24/2022
B Pennsylvania	Agent	Approved	03/21/2022
B Puerto Rico	Agent	Approved	03/08/2022
B Rhode Island	Agent	Approved	02/24/2022
B South Carolina	Agent	Approved	03/23/2022
B South Dakota	Agent	Approved	03/07/2022
B Tennessee	Agent	Approved	03/08/2022
B Texas	Agent	Approved	02/24/2022
IA Texas	Investment Adviser Representative	Restricted Approval	02/24/2022
B Utah	Agent	Approved	02/25/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Vermont	Agent	Approved	04/26/2022
<b>B</b> Virgin Islands	Agent	Approved	02/24/2022
<b>B</b> Virginia	Agent	Approved	03/07/2022
<b>B</b> Washington	Agent	Approved	02/24/2022
<b>B</b> West Virginia	Agent	Approved	03/21/2022
<b>B</b> Wisconsin	Agent	Approved	02/24/2022
<b>B</b> Wyoming	Agent	Approved	05/12/2022

### Branch Office Locations

**J.P. MORGAN SECURITIES LLC**  
277 PARK AVENUE  
2ND & 3RD FLOOR  
NEW YORK, NY 10172



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

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/26/1996
<b>B</b> General Securities Principal Examination (S24)	Series 24	03/22/1995

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	01/17/1987

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	12/08/2021
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	02/24/1987

### 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	08/30/2013 - 03/22/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
IA	08/30/2013 - 03/22/2022	UBS FINANCIAL SERVICES INC.	CRD# 8174	NEW YORK, NY
IA	04/05/2001 - 09/03/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	05/28/1999 - 09/03/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	06/01/1992 - 06/11/1999	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	01/21/1987 - 06/01/1992	CITICORP FINANCIAL SERVICES, INC.	CRD# 14675	

### 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
02/2022 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
02/2022 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	New York, NY, United States
08/2013 - 02/2022	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	NEW YORK, NY, 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.

Effective 2/24/2022 I will be an employee of both JPMorgan Securities and JPMorgan Bank. JPMorgan Bank offers a broad range of products and services nationwide. As an employee of JPMorgan Bank I will be able to offer certain bank products and services, including deposit and credit products.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

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

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

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

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

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

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

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



## DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

### 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:** Firm

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** Time Frame: June 14, 2019 to December 15, 2021

The client's son in law who has authorization alleges the fee structure was not suitable for an 84 years old, whose husband is recently deceased and has approximately less than \$2 million in fixed income.

**Product Type:** Other: Managed Wrap Account/In house Money Manager

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Estimated to be in excess of \$5,000.00

**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:** 12/17/2021

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 05/02/2022

**Settlement Amount:** \$31,438.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** Time Frame: June 14, 2019 to December 15, 2021  
The client's son in law who has authorization alleges the fee structure was not suitable for an 84 years old, whose husband is recently deceased and has approximately less than \$2 million in fixed income.

**Product Type:** Other: Managed Wrap Account / In house Money Manager

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Estimated to be in excess of \$5,000.00.

**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:** 12/17/2021

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 05/02/2022

**Settlement Amount:** \$31,438.00

**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS Financial Services Inc.

**Allegations:** Time Frame: July 20, 2017 to May 2, 2018  
Client alleges he was advised to not sell his position in a specific strategy and was told the only people whoever loses money in this strategy are those who sell when the account is down.

**Product Type:** Other: Managed Wrap Accounts In House Money Manager

**Alleged Damages:** \$0.00



**Alleged Damages Amount** Estimated to be in excess of \$5,000.00  
**Explanation (if amount not exact):**

**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:** 05/02/2018

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/27/2018

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

**Allegations:** THE CUSTOMERS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.

**Product Type:** Equity Listed (Common & Preferred Stock)  
Other: PRIVATE PLACEMENTS

**Alleged Damages:** \$2,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 13-03553

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/05/2013

### Customer Complaint Information

**Date Complaint Received:** 01/13/2014

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/09/2014

**Settlement Amount:** \$180 000 00



Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMERS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$2,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 13-03553

Filing date of arbitration/CFTC reparation or civil litigation: 12/05/2013

### Customer Complaint Information

Date Complaint Received: 01/13/2014

Complaint Pending? No

Status: Settled

Status Date: 12/09/2014

Settlement Amount: \$180,000.00

Individual Contribution Amount: \$0.00



## End of Report

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