



IAPD Report

Jordan M Mayer

CRD# 1615062

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8
Disclosure Information	9



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

Jordan M Mayer (CRD# 1615062)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	10/11/2007
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	09/09/2015

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	CITIGROUP GLOBAL MARKETS INC.	7059	MANHASSET, NY	07/31/1993 - 10/04/2007
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	01/21/1987 - 07/31/1993

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	12



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 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/08/2018
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/08/2018
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/06/2012
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/08/2018
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/08/2018
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/11/2007
B FINRA	General Securities Representative	Approved	10/11/2007
B Investors' Exchange LLC	General Securities Representative	Approved	08/30/2016
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Representative	Approved	02/16/2021
B MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019



Qualifications

Regulator	Registration	Status	Date
B MIAX PEARL, LLC	General Securities Representative	Approved	10/08/2018
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	10/08/2018
B NYSE American LLC	General Securities Representative	Approved	10/11/2007
B NYSE Arca, Inc.	General Securities Representative	Approved	10/11/2007
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/06/2012
B Nasdaq GEMX, LLC	General Securities Representative	Approved	08/02/2013
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/11/2008
B Nasdaq MRX, LLC	General Securities Representative	Approved	03/24/2016
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/11/2007
B Nasdaq Stock Market	General Securities Representative	Approved	10/11/2007
B Nasdaq Texas, LLC	General Securities Representative	Approved	09/30/2009
B New York Stock Exchange	General Securities Representative	Approved	10/11/2007
B Alabama	Agent	Approved	05/10/2016
B Alaska	Agent	Approved	02/20/2026
B Arizona	Agent	Approved	12/04/2007
B Arkansas	Agent	Approved	02/23/2026



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	10/11/2007
B Colorado	Agent	Approved	12/04/2007
B Connecticut	Agent	Approved	10/16/2007
B Delaware	Agent	Approved	10/11/2007
B District of Columbia	Agent	Approved	09/30/2009
B Florida	Agent	Approved	12/17/2007
B Georgia	Agent	Approved	10/17/2007
B Hawaii	Agent	Approved	11/14/2007
B Idaho	Agent	Approved	02/13/2026
B Illinois	Agent	Approved	10/11/2007
B Indiana	Agent	Approved	10/12/2007
B Iowa	Agent	Approved	02/13/2026
B Kansas	Agent	Approved	02/13/2026
B Kentucky	Agent	Approved	10/12/2007
B Louisiana	Agent	Approved	01/15/2016
B Maine	Agent	Approved	06/04/2015
B Maryland	Agent	Approved	10/11/2007
B Massachusetts	Agent	Approved	11/14/2007
B Michigan	Agent	Approved	10/11/2007



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	10/11/2007
B Mississippi	Agent	Approved	02/18/2026
B Missouri	Agent	Approved	10/26/2009
B Montana	Agent	Approved	02/18/2026
B Nebraska	Agent	Approved	04/26/2021
B Nevada	Agent	Approved	10/11/2007
B New Hampshire	Agent	Approved	08/10/2015
B New Jersey	Agent	Approved	10/11/2007
B New Mexico	Agent	Approved	02/13/2026
B New York	Agent	Approved	10/11/2007
IA New York	Investment Adviser Representative	Approved	06/02/2021
B North Carolina	Agent	Approved	10/11/2007
IA North Carolina	Investment Adviser Representative	Approved	11/20/2015
B North Dakota	Agent	Approved	02/20/2026
B Ohio	Agent	Approved	10/11/2007
IA Ohio	Investment Adviser Representative	Approved	09/09/2015
B Oklahoma	Agent	Approved	10/12/2007
B Oregon	Agent	Approved	10/18/2007
B Pennsylvania	Agent	Approved	10/11/2007



Qualifications

Regulator	Registration	Status	Date
B Puerto Rico	Agent	Approved	10/19/2007
B Rhode Island	Agent	Approved	10/16/2007
B South Carolina	Agent	Approved	11/08/2007
B South Dakota	Agent	Approved	02/17/2026
B Tennessee	Agent	Approved	10/26/2009
B Texas	Agent	Approved	04/01/2013
IA Texas	Investment Adviser Representative	Restricted Approval	09/11/2015
B Utah	Agent	Approved	12/17/2007
B Vermont	Agent	Approved	10/15/2007
B Virgin Islands	Agent	Approved	09/28/2015
B Virginia	Agent	Approved	10/22/2007
B Washington	Agent	Approved	10/12/2007
B West Virginia	Agent	Approved	02/19/2026
B Wisconsin	Agent	Approved	10/09/2014
B Wyoming	Agent	Approved	10/11/2007

Branch Office Locations

J.P. MORGAN SECURITIES LLC
Sag Harbor, NY



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	09/12/2003
General Securities Representative Examination (S7)	Series 7	01/17/1987

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	07/07/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	07/31/1993 - 10/04/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	MANHASSET, NY
B	01/21/1987 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

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
10/2010 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	NEW YORK, NY, United States
10/2008 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	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 6/15/2018 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	12

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 12

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. Morgan Securities LLC
Allegations:	Customer alleges that the Kraft Heinz recommendation was poor advice resulting in losses. Allegation Dates May 18, 2016 - February 22, 2019.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Firm has made a good faith determination alleged damages are over \$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:	02/22/2019
Complaint Pending?	No
Status:	Denied
Status Date:	04/01/2019
Settlement Amount:	\$0.00



Individual Contribution Amount: \$0.00

Broker Statement My decision to purchase Kraft Heinz in the client's discretionary investment advisory account was based on sound advice and analysis that was both consistent with the client's overall portfolio objectives and supported by J.P. Morgan research. Kraft Heinz represented a less than 2% allocation to a high-quality, dividend paying security in a discretionary fee-based account that was well diversified and managed consistent with the client's overall objectives. The stock had an over-weight rating by J.P. Morgan Research for the period reflected.

Disclosure 2 of 12

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: THE CLIENTS ALLEGED, INTER ALIA, UNAUTHORIZED TRADING 02/24/2004 - 01/25/2007.

Product Type: Equity Listed (Common & Preferred Stock)
Other: CLOSED-END FUNDS

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? No

Customer Complaint Information

Date Complaint Received: 12/28/2009

Complaint Pending? No

Status: Denied

Status Date: 03/25/2010

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: THE CLIENTS ALLEGED, INTER ALIA, UNAUTHORIZED TRADING 02/24/2004 - 01/25/2007.

Product Type: Equity Listed (Common & Preferred Stock)
Other: CLOSED-END FUNDS

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? No

Customer Complaint Information

Date Complaint Received: 12/28/2009

Complaint Pending? No

Status: Denied

Status Date: 03/25/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement

MR. JORDAN MAYER DENIES THE CLAIM IN FULL. MR. MAYER LEFT SMITH BARNEY IN SEPTEMBER 2007. WHILE EMPLOYED AT SMITH BARNEY, THE RELEVANT ACCOUNTS WERE HANDLED BY A JUNIOR PARTNER OF MR. MAYER. MR. MAYER'S ONLY ROLE IN HANDLING THE ACCOUNT WAS, ON A QUARTERLY BASIS, TO REVIEW WITH THE CLIENTS THEIR HOLDINGS AND FUTURE FINANCIAL PLANS. THE ISSUE OF UNSUITABLE TRADING WAS NEVER RAISED AT ANY OF THE QUARTERLY MEETINGS.

Disclosure 3 of 12

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: THE CLIENT ALLEGED UNSUITABILITY WITH RESPECT TO INVESTMENTS - 06/2007-09/25/2007.

Product Type: Mutual Fund(s)

Alleged Damages: \$166,554.09

Customer Complaint Information

Date Complaint Received: 10/29/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/16/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM ABANDONED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.



Allegations: THE CLIENT ALLEGED UNSUITABILITY WITH RESPECT TO INVESTMENTS - 06/2007-09/25/2007.

Product Type: Mutual Fund(s)

Alleged Damages: \$166,554.09

Customer Complaint Information

Date Complaint Received: 10/29/2008

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/16/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM ABANDONED

Disclosure 4 of 12

Reporting Source: Individual

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

Allegations: ALLEGED NEGLIGENCE, UNSUITABILITY, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, VIOLATIONS OF NASD RULES, MISREPRESENTATION, FRAUD, AND VIOLATIONS OF 1934 SECURITIES EXCHANGE ACT BETWEEN 10/99 THROUGH 4/04.

Product Type: Equity - OTC

Alleged Damages: \$133,695.31

Customer Complaint Information

Date Complaint Received: 04/16/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/16/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 04-02650

Date Notice/Process Served: 04/16/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/15/2005



Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE BROKER WAS DISMISSED FROM THE CLAIM UPON SETTLEMENT.

Disclosure 5 of 12

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED GROSS NEGLIGENCE AND MISMANAGEMENT WITH RESPECT TO THE LOSSES HE INCURRED IN HIS PORTFOLIO. 1999-2002

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$69,403.76

Customer Complaint Information

Date Complaint Received: 02/11/2003

Complaint Pending? No

Status: Denied

Status Date: 03/07/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 6 of 12

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT HIS FC DID NOT FOLLOW HIS INSTRUCTIONS TO CONSULT WITH HIM PRIOR TO PURCHASING OR SELLING STOCK IN HIS DISCRETIONARY ACCOUNT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$356,868.00

Customer Complaint Information

Date Complaint Received: 12/30/2002

Complaint Pending? No

Status: Denied

Status Date: 12/08/2004

**Settlement Amount:****Individual Contribution Amount:****Disclosure 7 of 12**

Reporting Source: Individual

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

Allegations: FAILURE TO PROVIDE A HIGHER RETURN ON THE MANAGED ACCOUNT.
2/00 TO 4/01
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity - OTC

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/01/2002

Complaint Pending? No

Status: Denied

Status Date: 08/22/2002

Settlement Amount:**Individual Contribution Amount:****Broker Statement** MATTER WAS DENIED.**Disclosure 8 of 12**

Reporting Source: Individual

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

Allegations: ALLEGES MISMANAGEMENT BY HIS FC AND SSB OF HIS MANAGED ACCOUNT AND SEEKS REIMBURSEMENT FOR THE LOSSES OF PRINCIPAL.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$356,868.00

Customer Complaint Information

Date Complaint Received: 08/21/2002

Complaint Pending? No

Status: Denied

Status Date: 12/10/2002

Settlement Amount:**Individual Contribution Amount:**



Broker Statement THOMAS MIERSWA IS HANDLING THIS MATTER.

Disclosure 9 of 12

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED THAT HER INSTRUCTIONS ON HOW TO INVEST HER FUNDS WERE NOT FOLLOWED AND THAT THE INVESTMENTS PURCHASED WERE UNSUITABLE. 2000-2002.

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 07/09/2002

Complaint Pending? No

Status: Denied

Status Date: 08/14/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Disposition: Denied

Disposition Date:

Broker Statement THE FIRM DENIED CLAIMANT'S REQUEST FOR MEDIATION. FILE SIGNATURE DEFICIENT

Disclosure 10 of 12

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGED UNSUITABILITY AND FAILURE TO FOLLOW INSTRUCTIONS WITH REGARD TO HER MANAGED ACCOUNTS. 2001 - 2002. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/27/2002

Complaint Pending? No

Status: Denied



Status Date: 12/12/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 11 of 12

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES NEGLIGENCE AND UNSUITABLE INVESTMENTS. TIME PERIOD: 4/00 TO 8/01.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY - OTC

Alleged Damages: \$61,183.26

Customer Complaint Information

Date Complaint Received: 01/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/12/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 02-04500

Date Notice/Process Served: 08/12/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/08/2003

Monetary Compensation Amount: \$17,000.00

Individual Contribution Amount:

Broker Statement THE CASE WAS SETTLED TO AVOID THE TIME, EXPENSE AND RISK OF ARBITRATION. MR. MAYER DID NOT CONTRIBUTE TO THE SETTLEMENT. ALL CLAIMS WERE DROPPED AGAINST HIM. "DRP FILED SIGNATURE DEFICIENT".

Disclosure 12 of 12



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SMITH BARNEY
Allegations: UNSUITABILITY AND MISREPRESENTATION
MUTUAL FUND AND CERTIFICATE OF DEPOSIT
ALLEGED DAMAGES: UNSPECIFIED

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 05/10/1994

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$11,513.13

Individual Contribution Amount:

Broker Statement

THE CASE WAS SETTLED FOR \$11,513.13
CONTACT: [THIRD PARTY] (212) 464-7590
THIS COMPLAINT RESULTED FROM INCORRECT
INFORMATION THAT THE CD DEPARTMENT AT SMITH BARNEY PROVIDED
ME
WHICH I IN TURN PASSED ON TO THE CLIENT. AS A RESULT OF THE
ERRONEOUS INFORMATION, SMITH BARNEY FELT COMPELLED TO
SETTLED
WITH THE CLIENT AND ABSOLVED ME FROM ANY RESPONSIBILITY IN THE
MATTER. THE ISSUE WAS THE DISPOSITION OF CDS THAT WERE HELD IN
HER RECENTLY DECEASED HUSBANDS IRS ACCOUNT.



End of Report

This page is intentionally left blank.