



IAPD Report

ERIC G WEINBERG

CRD# 1784861

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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

ERIC G WEINBERG (CRD# 1784861)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEINBERG ADVISORY GROUP	CRD# 133954	02/14/2005

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	WEINBERG ADVISORY GROUP	133954	COLUMBUS, OH	06/29/2005 - 12/31/2020

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
Customer Dispute	6
Judgment/Lien	1



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

Employment 1 of 1

Firm Name: **WEINBERG ADVISORY GROUP**
Main Address: 35 NORTH FOURTH STREET
SUITE 300-D
COLUMBUS, OH 43215
Firm ID#: 133954

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	02/14/2005

Branch Office Locations

WEINBERG ADVISORY GROUP
35 NORTH FOURTH STREET
SUITE 300-D
COLUMBUS, OH 43215



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, 0 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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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/09/1997
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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	06/29/2005 - 12/31/2020	WEINBERG ADVISORY GROUP	CRD# 133954	COLUMBUS, OH

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
01/2005 - Present	WEINBERG ADVISORY GROUP, L.L.C.	PRESIDENT	Y	COLUMBUS, OH, 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
Customer Dispute	6
Judgment/Lien	1

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 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: CUSTOMERS ALLEGE THAT FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS, MISREPRESENTED CERTAIN INVESTMENTS AND MADE UNAUTHORIZED TRADES IN THEIR ACCOUNTS BETWEEN SEPTEMBER 1999 AND JANUARY 2003.

Product Type: Equity - OTC

Alleged Damages: \$663,503.64

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/22/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 05-04264

Date Notice/Process Served: 09/22/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/18/2006

Monetary Compensation Amount: \$175,000.00

Individual Contribution Amount: \$0.00

Firm Statement MR. WEINBERG STRONGLY DENIES ANY WRONGDOING. MORGAN STANLEY SETTLED THE MATTER, WITHOUT ANY ADMISSION OF LIABILITY, TO AVOID THE COSTS AND UNCERTAINTY OF FURTHER LITIGATION.

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW, INC.

Allegations: EXCESSIVE TRADING

Product Type: Equity - OTC

Other Product Type(s): EQUITIES LISTED, MUTUAL FUNDS

Alleged Damages: \$27,787.89

Customer Complaint Information

Date Complaint Received: 12/28/2004

Complaint Pending? No

Status: Denied

Status Date: 04/01/2005

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DW INC.

Allegations: COMPLAINT ALLEGES, INTER ALIA, UNSUITABLE INVESTMENT RECOMMENDATIONS DURING THE PERIOD 1991 - MARCH 2002.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$456,000.00

**Customer Complaint Information**

Date Complaint Received: 07/08/2003

Complaint Pending? No

Status: Litigation

Status Date: 07/08/2003

Settlement Amount:

Individual Contribution
Amount:**Civil Litigation Information**

Court Details: COURT OF COMMON PLEAS, FRANKLIN COUNTY, OHIO; CASE ID: 03CVC06-6766

Date Notice/Process Served: 07/08/2003

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/06/2004

Monetary Compensation
Amount: \$95,000.00Individual Contribution
Amount: \$0.00**Disclosure 4 of 6**

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: MORGAN STANLEY DW INC.Allegations: CUSTOMER ALLEGES UNSUITABLE CONCENTRATION IN TECH STOCKS
DURING THE PERIOD SEPTEMBER 2000 HROUGH JUNE 2001.

Product Type: Other

Other Product Type(s): TECH STOCKS

Alleged Damages: \$498,992.00

Customer Complaint Information

Date Complaint Received: 05/15/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/08/2003

Settlement Amount:

Individual Contribution
Amount:**Arbitration Information**Arbitration/Reparation Claim
filed with and Docket/Case
No.: NYSE CASE # 2002-010248



Date Notice/Process Served: 05/15/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/08/2003
Monetary Compensation Amount: \$100,000.00
Individual Contribution Amount: \$0.00
Firm Statement CLAIMANT DISMISSED RESPONDENT ERIC WEINBERG, WITH PREJUDICE, ON OCT. 9TH, 2003.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY DEAN WITTER
Allegations: CUSTOMER ALLEGES UNSUITABLE CONCENTRATION IN TECH STOCKS DURING THE PERIOD SEPTEMBER 2000 HROUGH JUNE 2001.
Product Type: Other
Other Product Type(s): N/A
Alleged Damages: \$506,422.00

Customer Complaint Information

Date Complaint Received: 04/01/2002
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:

Disclosure 5 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.
Allegations: CLAIMANT ALLEGED THAT HE WAS NOT INFORMED THAT HIS INVESTMENT IN TCW/DW NORTH AMERICAN INCOME TRUST COULD INCLUDE COLLATERIZED MORTGAGE OBLIGATIONS (`CMOS`) AS PART OF THE MAKE-UP OF THE FUND. CLAIMANT FURTHER ALLEGED THAT HE HAD INFORMED MR. WEINBERG THAT HE DID NOT WANT TO INVEST IN CMOS. RECISSION OF PURCHASES TOTALING \$1.5 MILLION WAS SOUGHT.
Product Type:
Alleged Damages: \$1,500,000.00

Customer Complaint Information

Date Complaint Received: 07/10/1996



Complaint Pending? No
Status: Settled
Status Date:
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$0.00
Broker Statement W/O ADMISSION OF ANY LIABILITY, AN IN ORDER TO AVOID THE EXPENSE & UNCERTAINTY OF LITIGATION. DEAN WITTER REYNOLDS AGREED TO PAY CUSTOMER \$125,000 IN EXCHANGE FOR A COMPLETE RELEASE OF ALL CLAIMS MR. WEINBERG WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.
NOT PROVIDED

Disclosure 6 of 6

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: PRESCOTT, BALL AND TURBEN
Allegations: BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:
Alleged Damages: \$15,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #93-04509
Date Notice/Process Served: 11/18/1993
Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/20/1994
Disposition Detail: CASE IS CLOSED, SETTLED
Not Provided

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRESCOTT, BALL AND TURBEN
Allegations: CLIENT ALLEGES MISREPRESENTATION AND UNSUITABLE INVESTMENT IN LISTED AND OTC EQUITIES. IN ADDITION, CLIENT ALLEGES UNAUTHORIZED TRADING. DAMAGES CLAIMED ARE \$15,000.00 PLUS PUNITIVE DAMAGES, COURT AND ATTORNEY'S FEES.
Product Type:
Alleged Damages: \$15,000.00

Customer Complaint Information



Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 93-04509

Date Notice/Process Served: 11/18/1993

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/20/1994

Monetary Compensation Amount: \$12,000.00

Individual Contribution Amount:

Firm Statement CLIENT ACCEPTED \$12,000.00 AS SETTLEMENT AND RELEASED ALL CLAIMS AGAINST PBT, KSI AND WEINBERG.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRESCOTT, BALL AND TURBEN

Allegations: BREACH OF FIDUCIARY DUTY; ACCOUNT RELATED-BREACH OF CONTRACT-UNKNOWN TYPE OF SECURITIES. DAMAGES ASKED \$15,000.00

Product Type:

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 93-04509
Date Notice/Process Served:	11/18/1993
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/20/1994
Monetary Compensation Amount:	\$12,000.00
Individual Contribution Amount:	
Broker Statement	NOT PROVIDED Not Provided



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Ohio State Dept. of Taxation
Judgment/Lien Amount:	\$4,315.28
Judgment/Lien Type:	Tax
Date Filed with Court:	01/18/2018
Date Individual Learned:	01/22/2018
Type of Court:	County Court
Name of Court:	Court of Common Pleas
Location of Court:	Franklin County, Ohio
Docket/Case #:	18JG003591
Judgment/Lien Outstanding?	Yes
Broker Statement	This matter pertains to Weinberg Advisory Group, L.L.C. of which Mr. Weinberg is sole owner. At this writing, the matter is being reviewed by Registrant's CPA.



End of Report

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