



IAPD Report

Craig Daniel Price

CRD# 1851712

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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

Craig Daniel Price (CRD# 1851712)

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 **09/30/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MESIROW FINANCIAL INVESTMENT MANAGEMENT, INC.	CRD# 111135	08/19/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	IMPRINT WEALTH LLC	322130	Stuart, FL	06/24/2024 - 09/30/2024
IA	NAPLES WEALTH PLANNING	330316	Stuart, FL	06/25/2024 - 09/18/2024
IA	IMPRINT WEALTH LLC	322130	Stuart, FL	08/29/2023 - 06/17/2024

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
Termination	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MESIROW FINANCIAL INVESTMENT MANAGEMENT, INC.**

Main Address: 353 N. CLARK ST
CHICAGO, IL 60654

Firm ID#: 111135

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	08/19/2024
	Illinois	Investment Adviser Representative	Approved	08/19/2024

Branch Office Locations

MESIROW FINANCIAL INVESTMENT MANAGEMENT, INC.

309 SE OSCEOLA STREET
SUITE 105
STUART, FL 34994



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	03/18/2016
B General Securities Representative Examination (S7)	Series 7	11/03/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/29/1993
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/29/1993



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
IA	06/24/2024 - 09/30/2024	IMPRINT WEALTH LLC	CRD# 322130	Stuart, FL
IA	06/25/2024 - 09/18/2024	NAPLES WEALTH PLANNING	CRD# 330316	Stuart, FL
IA	08/29/2023 - 06/17/2024	IMPRINT WEALTH LLC	CRD# 322130	Stuart, FL
IA	03/11/2021 - 08/04/2023	LAIDLAW WEALTH MANAGEMENT LLC	CRD# 150040	Stuart, FL
IA	07/02/2018 - 12/31/2020	NAPLES WEALTH PLANNING	CRD# 281234	NAPLES, FL
IA	05/18/2016 - 06/05/2018	HAYDEN ROYAL	CRD# 170037	Stuart, FL
IA	05/15/2000 - 03/18/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, FL
B	05/12/2000 - 03/18/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	STUART, FL
B	08/12/1994 - 05/23/2000	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	11/04/1993 - 09/08/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/20/1988 - 08/09/1988	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	
B	07/20/1988 - 08/09/1988	IDS LIFE INSURANCE COMPANY	CRD# 6321	

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
08/2024 - Present	MESIROW FINANCIAL INC	Managing Director, Wealth Advisor	Y	STUART, FL, United States
07/2023 - Present	Imprint Wealth LLC, DBA Price Wealth Management	Investment Advisor Representative	Y	Stuart, FL, United States
10/2020 - 12/2023	Impact Capital Funds, Inc.	Co-Founder	Y	Stuart, FL, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2020 - 07/2023	Laidlaw Wealth Management DBA Naples Wealth Planning	Investment Adviser Representative	Y	Stuart, FL, United States
07/2018 - 10/2020	CapitalRock Financial, LLC DBA Naples Wealth Planning	Investment Adviser Representative	Y	Naples, FL, United States
04/2016 - 06/2018	Hayden Royal	Independent IA	Y	Charlotte, NC, United States
05/2000 - 04/2016	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	STUART, FL, 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
Termination	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: UBS Financial Services, Inc.

Allegations: Time frame:

Allegations: Client alleges suitability and misrepresentation (omission of facts) of Canadian stock Cardero Resources that was delisted from NYSE.

Product Type: Other: Cardero Resources stock

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-03221

Filing date of arbitration/CFTC reparation or civil litigation: 12/06/2017

Customer Complaint Information



Date Complaint Received: 12/06/2017

Complaint Pending? No

Status: Settled

Status Date: 08/02/2018

Settlement Amount: \$20,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: Client alleges suitability and misrepresentation (omission of facts) of Canadian stock Cardero Resources that was delisted from NYSE

Product Type: Other: Cardero Resources stock

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: Finra

Docket/Case #: 17-03221

Filing date of arbitration/CFTC reparation or civil litigation: 12/06/2017

Customer Complaint Information

Date Complaint Received: 12/06/2017

Complaint Pending? No

Status: Settled

Status Date: 08/02/2018

Settlement Amount: \$20,500.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION (OMISSION OF FACTS) OF CANADIAN STOCK CARDERO RESOURCES THAT WAS



DELISTED FROM NYSE. TIME FRAME: 2011 - APRIL 2015.

Product Type: Other: FOREIGN STOCK

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): ESTIMATED TO BE IN EXCESS OF \$5,0000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/01/2015

Complaint Pending? No

Status: Denied

Status Date: 05/14/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES UNSUITABLE INVESTMENT IN PENNY STOCK IN TRUST ACCOUNT. TIME FRAME:OCTOBER 2012 - AUGUST 2013.

Product Type: Other: PENNY STOCK

Alleged Damages: \$19,000.00

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: 07/10/2014

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/30/2014

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 15-01878

Date Notice/Process Served: 08/12/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/03/2015

Monetary Compensation Amount: \$14,200.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLIENT ALLEGES THAT CRAIG PRICE MADE UNSUITABLE RECOMMENDATIONS PERTAINING TO MUTUAL FUNDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 11/20/2003

Complaint Pending? No

Status: Denied

Status Date: 12/19/2003

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLIENT ALLEGES THAT CRAIG PRICE MADE UNSUITABLE RECOMMENDATIONS PERTAINING TO MUTUAL FUNDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 11/20/2003



Complaint Pending? No
Status: Denied
Status Date: 12/19/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.

Allegations: CLAIMANT MAKES UNSPECIFIED ALLEGATIONS OF UNSUITABLE TRADING. CLAIMANT FAILS TO IDENTIFY ONE TRADE OR ONE SECURITY, WHICH WAS ALLEGEDLY UNSUITABLE.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 08/03/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 08/03/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 01-03790

Date Notice/Process Served: 08/03/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/20/2002

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount:

Firm Statement IN ORDER TO AVOID THE TIME AND EXPENSE OF HEARING, LEGG MASON SETTLED THE CLAIMS FOR \$5,000 AND PAINWEBBER SETTLED FOR \$40,000.00.

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: UBS PAINEWEBBER INC. AND LEGG MASON

Allegations: VERY VAGUE CLAIM ALLEGES SUITABILITY, NEGLIGENCE, MISREPRESENTATION AND FAILURE TO SUPERVISE. NO SECURITIES MENTIONED.

Product Type: No Product

Alleged Damages: \$100,000.00

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: NASD

Docket/Case #: 01-03790

Filing date of arbitration/CFTC reparation or civil litigation: 08/02/2001

Customer Complaint Information

Date Complaint Received: 08/02/2001

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 08/02/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 01-03790

Date Notice/Process Served: 08/02/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/30/2002

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS MATTER INVOLVED A RETIREE WITH OVER 30 YEARS OF INVESTMENT EXPERIENCE. MR. PRICE'S FIRM DECIDED TO FOREGO THE EXPENSE OF LITIGATION, AND MADE A BUSINESS DECISION TO SETTLE THE CASE. BASED ON THE FACTS OF THE CASE, MR. PRICE WAS NOT REQUIRED BY



HIS FIRM TO CONTRIBUTE FINANCIALLY TO THE SETTLEMENT.

Disclosure 6 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LEGG MASON WOOD WALKER, INC.
Allegations: ALLEGES UNSUITABILITY
Product Type: Other
Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 03/01/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/01/2000
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 00-02732
Date Notice/Process Served: 08/01/2000
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/15/2002
Monetary Compensation Amount: \$95,000.00
Individual Contribution Amount:

Civil Litigation Information

Court Details: CIRCUIT COURT, MARTIN COUNTY FLORIDA CASE #00-242-CA
Date Notice/Process Served: 03/01/2000
Litigation Pending? No
Disposition: Other
Disposition Date: 08/22/2000

Firm Statement IN ORDER TO AVOID THE RISK AND EXPENSE OF ARBITRATION, LEGG MASON AND CRAIG PRICE AGREED TO SETTLE THIS MATTER FOR A COMPROMISE AMOUNT.

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:	LEGG MASON
Allegations:	ALLEGES UNSUITABILITY
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$15,000.00
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:	NASD
Docket/Case #:	00-02732
Filing date of arbitration/CFTC reparation or civil litigation:	03/01/2000
Customer Complaint Information	
Date Complaint Received:	03/01/2000
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/01/2000
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	00-02732
Date Notice/Process Served:	08/01/2000
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/15/2002
Monetary Compensation Amount:	\$95,000.00
Individual Contribution Amount:	\$0.00
Civil Litigation Information	
Disposition:	Other: COMPELLED TO ARBITRATION
Disposition Date:	08/22/2000



Broker Statement

THIS MATTER INVOLVED A RETIRED GENERAL SURGEON WITH OVER 40 YEARS OF INVESTMENT EXPERIENCE. MR. PRICE'S FIRM DECIDED TO FOREGO THE EXPENSE OF LITIGATION, AND MADE A BUSINESS DECISION TO SETTLE THE CASE. BASED ON THE FACTS OF THE CASE, MR. PRICE WAS NOT REQUIRED BY HIS FIRM TO CONTRIBUTE FINANCIALLY TO THE SETTLEMENT.



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: Firm

Firm Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 02/29/2016

Allegations: Mr. Price was terminated after allegations were raised that he failed to disclose to the Firm his receipt of information which appeared to be material and non-public relating to a low-priced security in which he and his clients engaged in transactions; violated Firm policy by communicating with third party analysts and circulating research regarding the same low-priced security in which he and his clients invested; and violated several other Firm compliance policies.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Other: Penny Stock

Reporting Source: Individual

Firm Name: UBS FINANCIAL SERVICES INC.

Termination Type: Discharged

Termination Date: 02/29/2016

Allegations: Mr. Price was terminated in 2016 after allegations he violated Company policies in 2013. To date, no alleged policy violations have been substantiated to industry regulators.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)

Broker Statement Mr. Price denies all allegations against him. After being terminated, Mr. Price filed a lawsuit claiming Wrongful Termination against UBS under the Florida Whistleblower Act. Separately, Mr. Price filed and won a Defamation lawsuit against UBS before a FINRA Arbitration Panel in November 2021.



End of Report

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