



IAPD Report

Michael P. Klein

CRD# 1931868

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 11
Registration and Employment History	12 - 13
Disclosure Information	14



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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

Michael P. Klein (CRD# 1931868)

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 **07/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	05/18/2022
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	05/19/2022

QUALIFICATIONS

This representative is currently registered in **28** 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
IA	PNC INVESTMENTS	129052	SCRANTON, PA	09/16/2016 - 05/10/2022
B	PNC INVESTMENTS	129052	SCRANTON, PA	08/02/2016 - 05/10/2022
B	SANTANDER SECURITIES LLC	41791	PLYMOUTH, MA	04/14/2014 - 10/14/2015

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 28 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 Principal	Approved	10/31/2025
B	24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B	BOX Exchange LLC	General Securities Principal	Approved	05/18/2022
B	BOX Exchange LLC	General Securities Representative	Approved	05/18/2022
B	BOX Exchange LLC	General Securities Sales Supervisor	Approved	07/08/2022
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B	Cboe C2 Exchange, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	05/18/2022



Qualifications

Regulator	Registration	Status	Date
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B Cboe Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B Cboe Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B FINRA	General Securities Principal	Approved	05/18/2022
B FINRA	General Securities Representative	Approved	05/18/2022
B FINRA	General Securities Sales Supervisor	Approved	07/08/2022
B Investors' Exchange LLC	General Securities Principal	Approved	05/18/2022
B Investors' Exchange LLC	General Securities Representative	Approved	05/18/2022
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	05/18/2022
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	05/18/2022
B MEMX LLC	General Securities Principal	Approved	05/18/2022
B MEMX LLC	General Securities Representative	Approved	05/18/2022
B MEMX LLC	General Securities Sales Supervisor	Approved	07/08/2022



Qualifications

	Regulator	Registration	Status	Date
B	MIAX Emerald, LLC	General Securities Principal	Approved	05/18/2022
B	MIAX Emerald, LLC	General Securities Representative	Approved	05/18/2022
B	MIAX Emerald, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B	MIAX PEARL, LLC	General Securities Principal	Approved	05/18/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	05/18/2022
B	MIAX PEARL, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B	MIAX Sapphire	General Securities Principal	Approved	09/23/2024
B	MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B	MIAX Sapphire	General Securities Sales Supervisor	Approved	09/23/2024
B	Miami International Securities Exchange, LLC	General Securities Principal	Approved	05/18/2022
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	05/18/2022
B	Miami International Securities Exchange, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B	NYSE American LLC	General Securities Principal	Approved	05/18/2022
B	NYSE American LLC	General Securities Representative	Approved	05/18/2022
B	NYSE American LLC	General Securities Sales Supervisor	Approved	07/08/2022
B	NYSE Arca, Inc.	General Securities Principal	Approved	05/18/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/18/2022
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	07/08/2022



Qualifications

Regulator	Registration	Status	Date
B NYSE National, Inc.	General Securities Principal	Approved	05/18/2022
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2022
B NYSE National, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B NYSE Texas, Inc.	General Securities Principal	Approved	05/18/2022
B NYSE Texas, Inc.	General Securities Representative	Approved	05/18/2022
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq GEMX, LLC	General Securities Principal	Approved	05/18/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	05/18/2022
B Nasdaq GEMX, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq ISE, LLC	General Securities Principal	Approved	05/18/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	05/18/2022
B Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq MRX, LLC	General Securities Principal	Approved	05/18/2022
B Nasdaq MRX, LLC	General Securities Representative	Approved	05/18/2022
B Nasdaq MRX, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq PHLX LLC	General Securities Principal	Approved	05/18/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	05/18/2022
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq Stock Market	General Securities Principal	Approved	05/18/2022



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	General Securities Representative	Approved	05/18/2022
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/08/2022
B Nasdaq Texas, LLC	General Securities Principal	Approved	05/18/2022
B Nasdaq Texas, LLC	General Securities Representative	Approved	05/18/2022
B Nasdaq Texas, LLC	General Securities Sales Supervisor	Approved	07/08/2022
B New York Stock Exchange	General Securities Principal	Approved	05/18/2022
B New York Stock Exchange	General Securities Representative	Approved	05/18/2022
B New York Stock Exchange	General Securities Sales Supervisor	Approved	07/08/2022
B Texas Stock Exchange LLC	General Securities Principal	Approved	07/02/2026
B Texas Stock Exchange LLC	General Securities Representative	Approved	07/02/2026
B Alabama	Agent	Approved	09/26/2022
B Alaska	Agent	Approved	09/26/2022
B Arizona	Agent	Approved	05/26/2022
B Arkansas	Agent	Approved	09/26/2022
B California	Agent	Approved	05/26/2022
B Colorado	Agent	Approved	05/26/2022
B Connecticut	Agent	Approved	05/26/2022
B Delaware	Agent	Approved	05/26/2022
B District of Columbia	Agent	Approved	05/26/2022



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	05/26/2022
B	Georgia	Agent	Approved	05/26/2022
B	Hawaii	Agent	Approved	09/26/2022
B	Idaho	Agent	Approved	05/26/2022
B	Illinois	Agent	Approved	06/03/2022
B	Indiana	Agent	Approved	05/26/2022
B	Iowa	Agent	Approved	09/26/2022
B	Kansas	Agent	Approved	09/26/2022
B	Kentucky	Agent	Approved	09/26/2022
B	Louisiana	Agent	Approved	05/26/2022
B	Maine	Agent	Approved	05/26/2022
IA	Maine	Investment Adviser Representative	Approved	09/19/2022
B	Maryland	Agent	Approved	05/26/2022
B	Massachusetts	Agent	Approved	05/18/2022
B	Michigan	Agent	Approved	05/26/2022
B	Minnesota	Agent	Approved	09/26/2022
B	Mississippi	Agent	Approved	05/26/2022
B	Missouri	Agent	Approved	05/26/2022
B	Montana	Agent	Approved	09/26/2022



Qualifications

Regulator	Registration	Status	Date
B Nebraska	Agent	Approved	09/26/2022
B Nevada	Agent	Approved	09/26/2022
B New Hampshire	Agent	Approved	05/18/2022
IA New Hampshire	Investment Adviser Representative	Approved	09/28/2022
B New Jersey	Agent	Approved	05/26/2022
B New Mexico	Agent	Approved	09/26/2022
B New York	Agent	Approved	05/26/2022
B North Carolina	Agent	Approved	05/26/2022
B North Dakota	Agent	Approved	09/26/2022
B Ohio	Agent	Approved	05/27/2022
B Oklahoma	Agent	Approved	05/26/2022
B Oregon	Agent	Approved	09/26/2022
B Pennsylvania	Agent	Approved	05/26/2022
B Puerto Rico	Agent	Approved	09/26/2022
B Rhode Island	Agent	Approved	05/18/2022
B South Carolina	Agent	Approved	05/26/2022
B South Dakota	Agent	Approved	09/26/2022
B Tennessee	Agent	Approved	05/26/2022



Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	05/26/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	06/23/2022
B	Utah	Agent	Approved	09/26/2022
B	Vermont	Agent	Approved	05/26/2022
B	Virgin Islands	Agent	Approved	09/26/2022
B	Virginia	Agent	Approved	05/26/2022
B	Washington	Agent	Approved	05/26/2022
B	West Virginia	Agent	Approved	09/26/2022
B	Wisconsin	Agent	Approved	09/26/2022
B	Wyoming	Agent	Approved	09/26/2022

Branch Office Locations

J.P. MORGAN SECURITIES LLC

92 Derby St, Ste 123
Hingham, MA 02043

J.P. MORGAN SECURITIES LLC

776 Beacon St
Newton, MA 02459

J.P. MORGAN SECURITIES LLC

869 Providence Hwy
Dedham, MA 02026

J.P. MORGAN SECURITIES LLC

21 Boylston St
Chestnut Hill, MA 02467

J.P. MORGAN SECURITIES LLC

880 Commonwealth Ave
Boston, MA 02215

J.P. MORGAN SECURITIES LLC

1364 Beacon St

J.P. MORGAN SECURITIES LLC

540 Granite St
Braintree, MA 02184

J.P. MORGAN SECURITIES LLC

7 Channing Rd
Belmont, MA 02478

J.P. MORGAN SECURITIES LLC

173 Chestnut St
Needham, MA 02494

J.P. MORGAN SECURITIES LLC

315 Hancock St
Quincy, MA 02171

J.P. MORGAN SECURITIES LLC

701 Centre St
Boston, MA 02130



Qualifications

Brookline, MA 02446

J.P. MORGAN SECURITIES LLC

1617 Blue Hill Ave
Mattapan, MA 02126

J.P. MORGAN SECURITIES LLC

92 Derby St, Ste 123
Hingham, MA 02043

J.P. MORGAN SECURITIES LLC

9 Central St
Wellesley, MA 02482

J.P. MORGAN SECURITIES LLC

9 JFK St
Cambridge, MA 02138

J.P. MORGAN SECURITIES LLC

843 Washington St
Newtonville, MA 02460

J.P. MORGAN SECURITIES LLC

1030 Main St
Waltham, MA 02451

J.P. MORGAN SECURITIES LLC

500 Westgate Dr
Brockton, MA 02301

J.P. MORGAN SECURITIES LLC

284 Washington St
Wellesley, MA 02481

J.P. MORGAN SECURITIES LLC

174 University Ave
Westwood, MA 02090

J.P. MORGAN SECURITIES LLC

790 Iyannough Rd
Hyannis, MA 02601

J.P. MORGAN SECURITIES LLC

13 Davis Straits Unit 15
Falmouth, MA 02540

J.P. MORGAN SECURITIES LLC

316 Pond St
Ashland, MA 01721

J.P. MORGAN SECURITIES LLC

670 High St
WESTWOOD, MA 02090

J.P. MORGAN SECURITIES LLC

1111 Lexington St
Waltham, MA 02452

J.P. MORGAN SECURITIES LLC

550 Arsenal St
Watertown, MA 02472

J.P. MORGAN SECURITIES LLC

421 Lincoln St
Hingham, MA 02043

J.P. MORGAN SECURITIES LLC

215 Chauncy St
Mansfield, MA 02048

J.P. MORGAN SECURITIES LLC

1744 Centre St
West Roxbury, MA 02132

J.P. MORGAN SECURITIES LLC

35 Commerce Way
Plymouth, MA 02360

J.P. MORGAN SECURITIES LLC

47 Brattle St
Cambridge, MA 02138

J.P. MORGAN SECURITIES LLC

433 Washington St
Brighton, MA 02135

J.P. MORGAN SECURITIES LLC

386 Washington St
Stoughton, MA 02072

J.P. MORGAN SECURITIES LLC

20 Central Sq
Bridgewater, MA 02324

J.P. MORGAN SECURITIES LLC

7 Medway Rd
Milford, MA 01757

J.P. MORGAN SECURITIES LLC

146 Church St
Pembroke, MA 02359



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/08/2022
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/10/2022
	General Securities Principal Examination (S24)	Series 24	01/30/1995

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/17/1990

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/16/2016
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1990

PROFESSIONAL DESIGNATIONS

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

No information reported.

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



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/16/2016 - 05/10/2022	PNC INVESTMENTS	CRD# 129052	SCRANTON, PA
B	08/02/2016 - 05/10/2022	PNC INVESTMENTS	CRD# 129052	SCRANTON, PA
B	04/14/2014 - 10/14/2015	SANTANDER SECURITIES LLC	CRD# 41791	PLYMOUTH, MA
B	04/17/2008 - 04/18/2014	CCO INVESTMENT SERVICES CORP.	CRD# 39550	PROVIDENCE, RI
B	04/23/2004 - 04/22/2008	IFMG SECURITIES, INC.	CRD# 14416	NEW BEDFORD, MA
B	10/28/1999 - 04/30/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	11/01/1994 - 10/27/1999	BANKBOSTON INVESTOR SERVICES, INC.	CRD# 36369	BOSTON, MA
B	05/24/1993 - 11/08/1994	SEI FINANCIAL SERVICES COMPANY	CRD# 10690	OAKS, PA
B	03/20/1990 - 05/27/1993	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	03/20/1990 - 05/27/1993	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
05/2022 - Present	J.P. Morgan Securities LLC	Market Director	Y	Boston, MA, United States
05/2022 - Present	JPMorgan Chase Bank, N.A.	Market Director	Y	Boston, MA, United States
07/2016 - 05/2022	PNC Investments	Sales Leader I/Regional Sales Manager	Y	Pittsburgh, PA, United States



Registration & Employment History



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	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:	Individual
Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	CLIENT ALLEGED FC FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED RISK OF MANAGED ACCOUNT INVESTMENT STYLE. 2000 DAMAGES UNSPECIFIED
Product Type:	Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	03/10/2003
Complaint Pending?	No
Status:	Denied
Status Date:	05/01/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement	CLAIM DENIED.
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Disclosure 2 of 3



Reporting Source: Individual

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

Allegations: CLIENT ALLEGED FC MISREPRESENTED FEES AND PERFORMANCE OF INVESTMENTS WITHIN ANNUITY INVESTMENT.
2001
DAMAGES UNSPECIFIED

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 01/03/2003

Complaint Pending? No

Status: Denied

Status Date: 02/26/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED THAT THE MUTUAL FUNDS PURCHASES IN HIS ACCOUNT IN APRIL 2000 WERE UNSUITABLE. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Mutual Fund(s)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/22/2001

Complaint Pending? No

Status: Denied

Status Date: 02/21/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM WAS DENIED.



End of Report

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