IAPD Report

Adalberto Ricardo Maulini

CRD# 1990405

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8

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

Adalberto Ricardo Maulini (CRD# 1990405)

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 **03/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	09/01/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	09/20/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	MORGAN STANLEY	149777	Coral Gables, FL	09/04/2013 - 09/08/2022
B	MORGAN STANLEY	149777	Coral Gables, FL	08/23/2013 - 09/08/2022
IA	HSBC SECURITIES (USA) INC.	19585	MIAMI, FL	11/07/2005 - 09/23/2013

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

DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/01/2022
B	FINRA	Municipal Securities Representative	Approved	09/01/2022
B	Arizona	Agent	Approved	08/28/2024
B	California	Agent	Approved	08/21/2024
B	Colorado	Agent	Approved	05/27/2025
B	Florida	Agent	Approved	09/02/2022
B	Maryland	Agent	Approved	12/23/2024
B	Massachusetts	Agent	Approved	09/23/2022
B	New York	Agent	Approved	09/01/2022
B	North Carolina	Agent	Approved	03/13/2026
B	Pennsylvania	Agent	Approved	10/20/2025
B	South Carolina	Agent	Approved	09/02/2022
B	Tennessee	Agent	Approved	02/24/2026

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	12/12/2023
B	Virginia	Agent	Approved	05/02/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
141 Miracle Mile
Coral Gables, FL 33134

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/20/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	12/12/2023

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
2525 Ponce de Leon Blvd.
Suite 300
Coral Gables, FL 33134

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/09/2005
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/09/2005
B	Registered Options Principal Examination (S4)	Series 4	12/01/1997
B	Municipal Securities Principal Examination (S53)	Series 53	09/16/1997
B	General Securities Principal Examination (S24)	Series 24	05/02/1996

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/16/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/19/1990

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

PROFESSIONAL DESIGNATIONS

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

No information reported.

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

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	09/04/2013 - 09/08/2022	MORGAN STANLEY	CRD# 149777	Coral Gables, FL
B	08/23/2013 - 09/08/2022	MORGAN STANLEY	CRD# 149777	Coral Gables, FL
IA	11/07/2005 - 09/23/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	MIAMI, FL
B	01/01/2005 - 09/23/2013	HSBC SECURITIES (USA) INC.	CRD# 19585	MIAMI, FL
B	09/13/2004 - 01/01/2005	HSBC BROKERAGE (USA) INC.	CRD# 6956	NEW YORK, NY
B	10/01/2000 - 08/05/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	10/01/2000 - 08/05/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	MIAMI, FL
B	03/30/1999 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	02/07/1994 - 02/17/1999	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	11/06/1990 - 01/26/1994	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	08/06/1993 - 01/18/1994	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	08/01/1990 - 10/15/1990	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	10/09/1989 - 03/07/1990	AMERIFIRST SECURITIES CORPORATION	CRD# 10711	
B	09/19/1989 - 10/11/1989	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Registration & Employment History

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
09/2022 - Present	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Coral Gables, FL, United States
09/2022 - Present	Raymond James Financial Services, Inc.	Registered Representative	Y	Coral Gables, FL, United States
01/2015 - Present	Morgan Stanley Private Bank, N.A	Financial Advisor	Y	New York, NY, United States
01/2015 - 09/2022	Morgan Stanley Private Bank, National Association	Financial Advisor	Y	NEW YORK, NY, United States
08/2013 - 09/2022	Morgan Stanley	Financial Advisor	Y	MIAMI, 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.

(1)Name of Business: Private Wealth Management of Coral gables Address: 141 Miracle Mile, Coral Gables, FL, 33134-6037, United States Activity Type: Support Company - Owner Position/Title: Independent Contractor Investment Related: No Start Date: 09/01/2022 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 41+ Description of duties: I run the day-to-day operations as the senior financial advisor/portfolio manager/branch owner.
(2)Name of Business: Protecting the Innocent Address: 13611 sw 97th ave, Miami, FL, 33176, United States Activity Type: Non profit Position/Title: Director Investment Related: Yes Start Date: 10/01/2024 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 2-10 Description of duties: I want to start a donor advised fund named "Protecting the innocent" I want to start the foundation to help raise funds for seniors, babies and animals. The DAF will be held by the National Cristian Foundation.
(3)Name of Business: Salon & Beauty Bar by Well Groomed Address: 261 Miracle Mile, Coral Gables, FL, 33134, United States Activity Type: Business Owner Position/Title: Officer - President Investment Related: No Start Date: 11/04/2014 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Owner. I do not participate in the day-to-day business activities.

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

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.

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

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	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HSBC SECURITIES (USA) INC.
Allegations:	CUSTOMER ALLEGES THAT SHE WAS NOT AWARE THAT SHE OWNED AUCTION RATE SECURITIES. THIS CUSTOMER INVOLVES ONE OR MORE AUCTION RATE SECURITIES WITH A NOTIONAL AMOUNT OF $50,000.00 THAT HAS BEEN SUBJECT OF ONE OR MORE FAILED AUCTIONS.
Product Type:	Other: #41 AUCTION RATE SECURITIES - CLOSED END FUND
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT UNABLE TO CONCLUDE THAT DAMAGES WOULD BE LESS THAN $5,000.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/23/2008
Complaint Pending?	No
Status:	Settled
Status Date:	05/05/2008

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	ON 5/5/08, HSBC SECURITIES (USA) INC. AGREED TO VOLUNTARILY REPURCHASE THE ARS SECURITIES AT ISSUE FROM THE CUSTOMER AT PAR VALUE IN ORDER TO PROVIDE LIQUIDITY UNDER UNPRECEDENTED MARKET DEVELOPMENTS TO THE EXTENT THAT A CUSTOMER'S ARS POSITION(S) COULD NOT BE SOLD AND WAS NOT REDEEMED BY THE ISSUER. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE CUSTOMER; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CUSTOMER; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HSBC SECURITIES (USA) INC.
Allegations:	CUSTOMER CLAIMS THAT "IT IS DEFINITELY NOT IN HIS PROFILE TO BE TRADING AS IT HAS BEEN DONE WHERE IN LESS THAN 2 WEEKS HE LOST NEARLY $40K BETWEEN PURCHASES AND SALES".
Product Type:	Other
Other Product Type(s):	EXCHANGE TRADED FUNDS
Alleged Damages:	$40,000.00

Customer Complaint Information

Date Complaint Received:	08/30/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/15/2008
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	RR'S MANAGER CALLED THE CUSTOMER UPON RECEIPT OF EMAIL COMMUNICATION. CUSTOMER STATED THAT HE HAD AUTHORIZED ALL TRANSACTIONS IN HIS ACCOUNT PRIOR TO EXECUTION. CUSTOMER ALSO ADVISED REFERENCE TO LOSSES SUSTAINED IN THE ACCOUNT WERE INTENDED TO REFLECT HIS DISSATISFACTION WITH THE PERFORMANCE OF THE MARKET, NOT THE SUITABILITY OF THE RECOMMENDATIONS MADE BY THE RR. CUSTOMER HAS CONTINUED HIS RELATIONSHIP WITH THE RR AND THE FIRM.

Disclosure 3 of 5

Reporting Source:	Firm

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	FL RESIDENT STATES THAT AT THE TIME HE PURCHASED THE EVERGREEN PATHWAYS VARIABLE ANNUITY HE WAS UNAWARE OF THE TAX CONSEQUENCES OF WITHDRAWING MONEY FROM THE ANNUITY. THE CLIENT INVESTED A TOTAL OF $700,000 INTO THE ANNUITY BETWEEN 9/20/02 AND 1/2/03. THE CLIENT WITHDREW $108,000 FROM THE ANNUITY AND IS REQUESTING TO BE REIMBURSED FOR THE TAX LIABILITY OF APPROXIMATELY $30,188, WHICH HE STATES THAT HE INCURRED FROM TAKING THESE WITHDRAWALS.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$30,188.00

Customer Complaint Information

Date Complaint Received:	04/25/2008
Complaint Pending?	No
Status:	Denied
Status Date:	06/09/2008
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	DENIED BY FIRM. OUR FINANCIAL ADVISORS DO NOT PROVIDE TAX ADVICE. THE CLIENT SIGNED A WRITTEN DISCLOSURE STATEMENT AT THE TIME HE PURCHASED THE ANNUITY, WHICH INFORMED HIM THAT WITHDRAWALS OF PRINCIPAL AND/OR ACCRUED EARNINGS FROM AN ANNUITY MAY BE SUBJECT TO APPLICABLE FEDERAL AND STATE INCOME TAXES. IN ADDITION, BEFORE THE FIRST WITHDRAWAL WAS PROCESSED, THE ANNUITY COMPANY'S CUSTOMER SERVICE REPRESENTATIVE INFORMED THE CLIENT THAT ALL ACCRUED INTEREST ON THE CONTRACT IS WITHDRAWN FIRST, THEN THE PRINCIPAL IS WITHDRAWN. CLIENT ALSO RECEIVED 1099-R FOR FIRST WITHDRAWAL IN 2004 AND IT LISTED THE TAXABLE AMOUNT OF THE DISTRIBUTION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	FL RESIDENT STATES THAT AT THE TIME HE PURCHASED THE EVERGREEN PATHWAYS VARIABLE ANNUITY, HE WAS UNAWARE OF THE TAX CONSEQUENCES OF WITHDRAWING MONEY FROM THE ANNUITY. THE CLIENT WITHDREW $108,000 FROM THE ANNUITY AND IS REQUESTING TO BE REIMBURSED FOR THE TAX LIABILITY OF APPROXIMATELY $30,188,WHICH HE STATES THAT HE INCURRED FROM TAKING THESE WITHDRAWALS.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$30,188.00

Customer Complaint Information

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Date Complaint Received:	04/25/2008
Complaint Pending?	No
Status:	Denied
Status Date:	06/09/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	DENIED BY FIRM. OUR FINANCIAL ADVISORS DO NOT PROVIDE TAX ADVICE. THE CLIENT SIGNED A WRITTEN DISCLOSURE STATEMENT AT THE TIME HE PURCHASED THE ANNUITY, WHICH INFORMED HIM THAT WITHDRAWALS OF PRINCIPAL AND/OR ACCRUED EARNINGS FROM AN ANNUITY MAY BE SUBJECT TO APPLICABLE FEDERAL AND STATE INCOME TAXES. IN ADDITION, BEFORE THE FIRST WITHDRAWAL WAS PROCESSED, THE ANNUITY COMPANY'S CUSTOMER SERVICE REPRESENTATIVE INFORMED THE CLIENT THAT ALL ACCRUED INTEREST ON THE CONTRACT IS WITHDRAWN FIRST, THEN THE PRINCIPAL IS WITHDRAWN. CLIENT ALSO RECEIVED 1099-R FOR FIRST WITHDRAWAL IN 2004 AND IT LISTED THE TAXABLE AMOUNT OF THE DISTRIBUTION.

Disclosure 4 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HSBC SECURITIES (USA) INC.
Allegations:	CLIENT ALLEGED THAT ALL INVESTMENTS IN ACCOUNT PORTFOLIO WERE NOT CONSISTENT WITH THEIR INVESTMENT OBJECTIVES.
Product Type:	Equity - OTC
Alleged Damages:	$8,914.00

Customer Complaint Information

Date Complaint Received:	12/20/2005
Complaint Pending?	No
Status:	Withdrawn
Status Date:	04/10/2006
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION BROKERAGE SERVICES, INC.
Allegations:	CLEINTS ALLEGED THAT THEY DID NOT WANT TO PURCHASE PRODUCTS THAT WERE SUBJECT TO MARKET RISK.
Product Type:	Annuity(ies) - Variable

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

Other Product Type(s): UNIT INVESTMENT TRUST

Alleged Damages: $300,000.00

Customer Complaint Information

Date Complaint Received: 07/17/2002

Complaint Pending? No

Status: Denied

Status Date: 10/04/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement OUR INVESTIGATION FOUND NO EVIDENCE TO SUPPORT CLIENTS ALLEGATIONS.

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about Adalberto Ricardo Maulini.