



IAPD Report

ALEX MUSCATI III

CRD# 2311373

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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

ALEX MUSCATI III (CRD# 2311373)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MORGAN STANLEY	CRD# 149777	01/20/2012
IA	MORGAN STANLEY	CRD# 149777	01/27/2012

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **37** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CLEARWATER, FL	11/04/2004 - 01/24/2012
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CLEARWATER, FL	10/29/2004 - 01/24/2012
B	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO	07/01/2003 - 11/16/2004

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	8



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 **37** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MORGAN STANLEY**
Main Address: 2000 WESTCHESTER AVENUE
PURCHASE, NY 10577-2530
Firm ID#: 149777

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/20/2012
B NYSE American LLC	General Securities Representative	Approved	01/20/2012
B Nasdaq Stock Market	General Securities Representative	Approved	01/20/2012
B New York Stock Exchange	General Securities Representative	Approved	01/20/2012
B Alabama	Agent	Approved	09/29/2025
B Arizona	Agent	Approved	01/30/2012
B California	Agent	Approved	01/30/2012
B Colorado	Agent	Approved	08/23/2012
B Connecticut	Agent	Approved	01/30/2012
B District of Columbia	Agent	Approved	01/30/2012
B Florida	Agent	Approved	01/27/2012
IA Florida	Investment Adviser Representative	Approved	01/27/2012
B Georgia	Agent	Approved	01/20/2012



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	05/21/2024
B Idaho	Agent	Approved	11/01/2023
B Illinois	Agent	Approved	01/30/2012
B Indiana	Agent	Approved	01/31/2012
B Maine	Agent	Approved	02/06/2019
B Maryland	Agent	Approved	01/30/2012
B Massachusetts	Agent	Approved	01/30/2012
B Michigan	Agent	Approved	01/30/2012
B Missouri	Agent	Approved	05/10/2017
B Nebraska	Agent	Approved	06/28/2017
B New Hampshire	Agent	Approved	10/10/2016
B New Jersey	Agent	Approved	10/27/2020
B New Mexico	Agent	Approved	01/30/2012
B New York	Agent	Approved	01/30/2012
B North Carolina	Agent	Approved	01/30/2012
B Ohio	Agent	Approved	08/04/2016
B Oregon	Agent	Approved	09/18/2017
B Pennsylvania	Agent	Approved	01/30/2012
B Rhode Island	Agent	Approved	09/14/2023



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	01/30/2012
B Tennessee	Agent	Approved	01/30/2012
B Texas	Agent	Approved	02/10/2012
IA Texas	Investment Adviser Representative	Restricted Approval	02/10/2012
B Utah	Agent	Approved	07/19/2023
B Virgin Islands	Agent	Approved	04/09/2024
B Virginia	Agent	Approved	01/30/2012
B Washington	Agent	Approved	12/06/2017
B West Virginia	Agent	Approved	03/14/2016
B Wisconsin	Agent	Approved	01/30/2012
B Wyoming	Agent	Approved	01/26/2026

Branch Office Locations

MORGAN STANLEY
4114 Woodlands Parkway
Suite 200
Palm Harbor, FL 34685



Qualifications

PASSED INDUSTRY EXAMS

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

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	01/13/2007
 General Securities Representative Examination (S7)	Series 7	11/24/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/15/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/02/1994

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	11/04/2004 - 01/24/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CLEARWATER, FL
B	10/29/2004 - 01/24/2012	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CLEARWATER, FL
B	07/01/2003 - 11/16/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 11/16/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	CLEARWATER, FL
IA	10/01/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	CLEARWATER, FL
B	09/14/1999 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	08/25/1994 - 09/23/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/24/1994 - 08/15/1994	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/24/1994 - 08/15/1994	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	11/26/1993 - 01/13/1994	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
01/2015 - Present	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
01/2012 - Present	MORGAN STANLEY SMITH BARNEY	FA RECRUIT	Y	PALM HARBOR, FL, 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.

1. BUSINESS / COMPANY; XELA VENTURES,LLC; REAL ESTATE; 06/2014; PURCHASING LAND;DURING BUSINESS HOURS 0 AFTER BUSINESS HOURS 0; THIS LLC WAS ESTABLISHED PRIMARILY TO PURCHASE REAL ESTATE FOR DEVELOPMENT PURPOSES.



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	8

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 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH, INCORPORATED
Allegations:	THE CUSTOMER ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS CONCERNING AN ANNUITY IN SEPTEMBER 2006.
Product Type:	Annuity-Variable
Alleged Damages:	\$260,000.00
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:	FINRA
Docket/Case #:	18-01299
Filing date of arbitration/CFTC reparation or civil litigation:	04/09/2018

Customer Complaint Information

Date Complaint Received:	04/13/2018
Complaint Pending?	No



Status: Settled
Status Date: 08/14/2018
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INCORPORATED
Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION AND OMISSION OF MATERIAL FACTS CONCERNING AN ANNUITY IN SEPTEMBER 2006.
Product Type: Annuity-Variable
Alleged Damages: \$260,000.00
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: FINRA
Docket/Case #: 18-01299
Filing date of arbitration/CFTC reparation or civil litigation: 04/09/2018

Customer Complaint Information

Date Complaint Received: 04/13/2018
Complaint Pending? No
Status: Settled
Status Date: 08/14/2018
Settlement Amount: \$100,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Morgan Stanley Smith Barney
Allegations: Claimant alleged, inter alia, unauthorized trading with respect to investments - 2015 to 2016.
Product Type: Other: Structured Investments
Alleged Damages: \$123,000.00

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-00950
Date Notice/Process Served:	05/04/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/16/2018
Monetary Compensation Amount:	\$87,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	In order to avoid the costs and uncertainties of litigation, Morgan Stanley Smith Barney agreed to pay Claimant \$87,500.00 in full and final settlement of any and all claims asserted by Claimant in this proceeding.

Disclosure 3 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$900,000.00
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:	FINRA
Docket/Case #:	09-03035
Filing date of arbitration/CFTC reparation or civil litigation:	05/28/2009

Customer Complaint Information

Date Complaint Received:	06/05/2009
Complaint Pending?	No
Status:	Settled
Status Date:	10/29/2010
Settlement Amount:	\$125,000.00



Individual Contribution Amount: \$0.00

Broker Statement THE FIRM SETTLED THIS MATTER TO AVOID THE COST AND VAGARIES OF ARBITRATION.

Disclosure 4 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CUSTOMER, THROUGH HIS ATTORNEY IN FACT, ALLEGES IN WRITING THAT HE WAS MAKING TRANSACTIONS ON A MARGIN ACCOUNT; THAT HE WAS CHARGED THOUSANDS OF DOLLARS IN INTEREST PER MONTH; AND THAT IT WAS NEVER SUGGESTED THAT HE PAY THE MARGIN OFF. WHILE CUSTOMER HAS NOT ALLEGED A SPECIFIC TIME PERIOD, HIS ACCOUNT WAS OPEN FROM MAY 1997 TO OCTOBER 2002, AND MR. MUSCATI WAS ONE OF SEVERAL FINANCIAL ADVISORS OF RECORD FOR THE ACCOUNT.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$800,000.00

Customer Complaint Information

Date Complaint Received: 01/31/2006

Complaint Pending? No

Status: Denied

Status Date: 04/28/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CUSTOMER, THROUGH HIS ATTORNEY IN FACT, ALLEGES IN WRITING THAT HE WAS MAKING TRANSACTIONS ON A MARGIN ACCOUNT; THAT HE WAS CHARGED THOUSANDS OF DOLLARS IN INTEREST PER MONTH; AND THAT IT WAS NEVER SUGGESTED THAT HE PAY THE MARGIN OFF. WHILE CUSTOMER HAS NOT ALLEGED A SPECIFIC TIME PERIOD, HIS ACCOUNT WAS OPEN FROM MAY 1997 TO OCTOBER 2002, AND MR. MUSCATI WAS ONE OF SEVERAL FINANCIAL ADVISORS OF RECORD FOR THE ACCOUNT.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$800,000.00

Customer Complaint Information



Date Complaint Received: 01/31/2006

Complaint Pending? No

Status: Denied

Status Date: 04/28/2006

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: FL RESIDENT CLAIMS THAT SHE WAS NOT ADVISED BY HER FORMER BROKER OF THE COSTS ASSOCIATED WITH CHANGING TO AN ASSET BASED MANAGEMENT FEE STRUCTURE. SHE FEELS THAT THE FEES CHARGED WERE EXCESSIVE IN COMPARISON TO THE TRADING IN THE ACCOUNT. CLIENT IS SEEKING REIMBURSEMENT OF \$68,315.

Product Type: Other

Other Product Type(s): WRAP ACCOUNTS

Alleged Damages: \$68,315.00

Customer Complaint Information

Date Complaint Received: 02/16/2005

Complaint Pending? No

Status: Settled

Status Date: 05/03/2005

Settlement Amount: \$68,283.62

Individual Contribution Amount: \$0.00

Firm Statement SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$68,283.62.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA

Allegations: FL RESIDENT CLAIMS SHE WAS NOT ADVISED BY HER FORMER BROKER OF THE COSTS ASSOCIATED WITH CHANGING TO AN ASSET BASED MANAGEMENT STRUCTURE. SHE FEELS THAT THE FEES CHARGED WERE EXCESSIVE IN COMPARISON TO THE TRADING IN THE ACCOUNT. CLIENT IS SEEKING REIMBURSEMENT OF \$68,315.00

Product Type: Other



Other Product Type(s): WRAP ACCOUNTS

Alleged Damages: \$68,315.00

Customer Complaint Information

Date Complaint Received: 02/16/2005

Complaint Pending? No

Status: Settled

Status Date: 05/03/2005

Settlement Amount: \$68,283.62

Individual Contribution Amount: \$0.00

Broker Statement SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF \$68,283.62.

Disclosure 6 of 8

Reporting Source: Firm

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

Allegations: THE CLIENT ALLEGED MISREPRESENTATION AND UNSUITABILITY OF EQUITY TRADES MADE IN 1998.

Product Type: Equity - OTC

Alleged Damages: \$6,000.00

Customer Complaint Information

Date Complaint Received: 06/09/2000

Complaint Pending? No

Status: Denied

Status Date: 07/03/2000

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE CLAIM WAS DENIED.

Disclosure 7 of 8

Reporting Source: Regulator

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

Allegations: SUITABILITY

Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF FINANCIAL PRODUCT



Alleged Damages: \$3,812.46

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #01-01541

Date Notice/Process Served: 03/28/2001

Arbitration Pending? No

Disposition: Award

Disposition Date: 11/12/2001

Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT \$3,721.00.

Reporting Source: Firm

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

Allegations: MISREPRESENTATION, SUITABILITY 8/6/98 THROUGH 2/7/000.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): CLOSED END FUNDS.

Alleged Damages: \$4,691.46

Customer Complaint Information

Date Complaint Received: 04/02/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/15/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD # 01-01541

Date Notice/Process Served: 04/02/2001

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/15/2001

Monetary Compensation Amount: \$3,721.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY
Allegations: MISREPRESENTATION, SUITABILITY 8/6/98 THROUGH 2/7/00
Product Type: Other
Other Product Type(s): UNSPECIFIED TYPE OF FINANCIAL PRODUCT
Alleged Damages: \$4,691.00

Customer Complaint Information

Date Complaint Received: 04/02/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 11/15/2001
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD/01-01541
Date Notice/Process Served: 04/02/2001
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 11/12/2001
Monetary Compensation Amount: \$3,721.00
Individual Contribution Amount: \$0.00
Broker Statement RESPONDENT JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANT 3,721.00

Disclosure 8 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.
Allegations: CLIENT ALLEGED THAT THE PRUCHASE OF AN ANNUITY WAS MISREPRESENTED AMOUNT CLIAMED UNSPECIFIED BUT IN EXCESS OF \$5,000.00 SALOMON SMITH BARNEY INC.
Product Type: Annuity(ies) - Variable
Alleged Damages:

Customer Complaint Information



Date Complaint Received:	11/23/1998
Complaint Pending?	No
Status:	Denied
Status Date:	12/22/1998
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED NOT PROVIDED



End of Report

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