



IAPD Report

Dominic Guido

CRD# 231738

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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

Dominic Guido (CRD# 231738)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	02/28/2025
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	02/28/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	WELLS FARGO ADVISORS	19616	NEW YORK, NY	09/05/2012 - 03/05/2025
B	WELLS FARGO CLEARING SERVICES, LLC	19616	NEW YORK, NY	08/22/2000 - 03/05/2025
B	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO	01/04/1995 - 09/08/2000

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	7



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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/28/2025
B	Arizona	Agent	Approved	02/28/2025
B	California	Agent	Approved	03/07/2025
B	Connecticut	Agent	Approved	02/28/2025
B	District of Columbia	Agent	Approved	02/28/2025
B	Florida	Agent	Approved	02/28/2025
B	Georgia	Agent	Approved	02/28/2025
B	Hawaii	Agent	Approved	02/28/2025
B	Illinois	Agent	Approved	03/05/2025
B	Louisiana	Agent	Approved	02/28/2025
B	Maryland	Agent	Approved	02/28/2025
B	Massachusetts	Agent	Approved	03/10/2025
B	Nevada	Agent	Approved	03/07/2025



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	03/10/2025
B New Jersey	Agent	Approved	02/28/2025
IA New Jersey	Investment Adviser Representative	Approved	03/04/2025
B New Mexico	Agent	Approved	03/05/2025
B New York	Agent	Approved	02/28/2025
B North Carolina	Agent	Approved	03/07/2025
B Ohio	Agent	Approved	02/28/2025
B Pennsylvania	Agent	Approved	02/28/2025
B Puerto Rico	Agent	Approved	03/10/2025
B Rhode Island	Agent	Approved	02/28/2025
B South Carolina	Agent	Approved	03/07/2025
B Texas	Agent	Approved	02/28/2025
IA Texas	Investment Adviser Representative	Restricted Approval	02/28/2025
B Virginia	Agent	Approved	02/28/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
North Caldwell, NJ

AMERIPRISE FINANCIAL SERVICES, LLC
250 PEHLE AVE STE 500
PARK 80 WEST, PLAZA TWO
SADDLE BROOK, NJ 07663



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, 4 general industry/product exams, and 1 state securities law exam.





Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	01/17/1991
 Registered Representative Examination (S1)	Series 1	12/16/1966

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	11/13/1984
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/05/2012 - 03/05/2025	WELLS FARGO ADVISORS	CRD# 19616	NEW YORK, NY
B	08/22/2000 - 03/05/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	NEW YORK, NY
B	01/04/1995 - 09/08/2000	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	07/31/1993 - 12/09/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	11/23/1992 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/16/1990 - 11/19/1992	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/26/1990 - 09/11/1990	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	10/24/1986 - 02/28/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	12/17/1984 - 10/16/1986	SHEARSON LEHMAN BROTHERS INC.	CRD# 7506	
B	08/15/1983 - 01/07/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	01/31/1980 - 09/06/1983	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	01/02/1980 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	
B	11/14/1972 - 01/31/1980	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	
B	05/01/1970 - 11/14/1972	EASTMAN DILLON, UNION SECURITIES & CO., INCORPORATED	CRD# 243	

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
02/2025 - Present	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Representative	Y	Saddle Brook, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - 02/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	NEW YORK, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, 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	7

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 7

Reporting Source: Individual

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

Allegations: VIRGINIA CLIENTS CLAIMED THAT IN DECEMBER 2004 AND JANUARY 2005 THEY SOLD VARIOUS MUTUAL FUNDS (ONE FUND WITHOUT THEIR AUTHORIZATION) THAT THEY HELD IN THEIR ACCOUNTS TO PURCHASE TWO PACIFIC LIFE VALUE STEPPED-UP DB VARIABLE ANNUITIES. THE CLIENTS FURTHER CLAIMED THAT THE FA ASSURED THEM THAT THE ANNUITIES HAD PRINCIPAL GUARANTEES. THE CLIENTS CLAIMED THAT THEY LATER DISCOVERED THAT THEY HAD TO HOLD THE ANNUITIES FOR TEN YEARS FOR THE PRINCIPAL TO BE GUARANTEED. THE CLIENTS ALSO CLAIMED THAT THE FA FAILED TO EXPLAIN THE RISKS ASSOCIATED WITH THEIR INVESTMENT IN THE ANNUITIES AND THAT THE ANNUITIES WERE UNSUITABLE FOR THEM. THE CLIENTS INVESTED \$56,388 IN ONE ANNUITY IN DECEMBER 2004; AND \$78,500 IN A SECOND ANNUITY FOR THEIR JOINT ACCOUNT IN JANUARY 2005. THE CLIENTS HAVE REQUESTED THAT THE TRADES BE REVERSED AND THEIR ACCOUNTS BE RESTORED TO THE SAME STATUS THAT EXISTED PRIOR TO THEIR PURCHASE OF THE ANNUITIES. DAMAGES ARE REASONABLY BELIEVED TO BE IN EXCESS OF \$5,000.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,001.00

Customer Complaint Information

Date Complaint Received: 05/10/2005

Complaint Pending? No



Status: Denied
Status Date: 06/09/2005

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE FIRM DENIED THE COMPLAINT. BASED UPON THE FIRM'S RECORDS AND INFORMATION PROVIDED BY THE FA, THERE WAS NO EVIDENCE TO SUGGEST THAT THE CLIENTS' DID NOT AUTHORIZE THE SALES OF THEIR MUTUAL FUNDS TO INVEST IN THE PACIFIC VALUE VARIABLE ANNUITIES FOR THEIR ACCOUNTS. FURTHER, THE FA EXPLAINED TO THE CLIENT(S) THAT THE GUARANTEED PROTECTION ADVANTAGE RIDER THAT THEY HAD SELECTED WHEN THEY PURCHASED THE ANNUITIES WOULD PROTECT THEIR FIRST YEAR INVESTMENTS (LESS ANY MONEY WITHDRAWN) IN THE ANNUITIES AS LONG AS THEY STAYED 100% INVESTED FOR TEN YEARS IN THE ANNUITIES USING PACIFIC LIFE'S PORTFOLIO OPTIMIZATION SERVICE (THIS INFORMATION WAS ALSO SET-FORTH IN THE ANNUITY CONTRACTS). THE FA EXPLAINED THE RISKS ASSOCIATED WITH AN INVESTMENT IN THE ANNUITIES TO THE CLIENT(S) AND THEIR SUB-ACCOUNT ASSET ALLOCATIONS WERE CONSISTENT WITH THEIR INVESTMENT OBJECTIVES AND RISK TOLERANCE. AT THE TIME THE FIRM DENIED THE COMPLAINT, THE CONTRACT VALUES FOR THE CLIENTS' ANNUITIES WERE ESTIMATED TO BE \$58,666.89 AND \$83,128.65 RESPECTIVELY.

Disclosure 2 of 7

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADES AND WAS MISLEAD REGARDING PURCHASES OF STOCK. LOSSES ARE NOT SPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/21/2001

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADES AND WAS MISLEAD REGARDING PURCHASES OF STOCK. LOSSES WERE NOT SPECIFIED BUT WERE BELIEVED TO BE IN EXCESS OF \$5,000.



Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): LOSSES WERE NOT SPECIFIED BUT WERE BELIEVED TO BE IN EXCESS OF \$5,000.

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: 02/21/2001

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/12/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement I DENY THE ALLEGATIONS.

Disclosure 3 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED MISMANAGEMENT OF ACCOUNT. THE COMPLAINT RELATED TO PAINE WEBBER RECOMMENDED OIL ISSUES. CLIENT FILED COMPLAINT FOR ALLEGED DAMAGES OF \$390,000.

Product Type:

Alleged Damages: \$390,000.00

Customer Complaint Information

Date Complaint Received: 01/05/1983

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$67,500.00

Individual Contribution Amount: \$0.00

Broker Statement A PAYMENT OF \$67,500 WAS MADE TO [CUSTOMER] IN SETTLEMENT OF CLAIMS. DOMINIC GUIDO WAS RESPONSIBLE FOR NONE OF THE AWARD.



NOT PROVIDED

Disclosure 4 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINE WEBBER

Allegations: ALLEGED PAINE WEBBER & DOMINIC GUIDO MISMANAGED THEIR ACCOUNT. THE CLIENT SUED FOR \$400,000 FOR UNAUTHORIZED TRADING & SUITABILITY IN CONNECTION WITH HIS PURCHASE OF PETRO LEWIS & NICHOLAS OIL & GAS WHICH WERE PAINE WEBBER'S RECOMMENDATIONS.

Product Type:

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 06/25/1984

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:**Settlement Amount:****Individual Contribution Amount:****Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE

Date Notice/Process Served: 01/01/1985

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/06/1985

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount: \$2,500.00

Broker Statement NYSE AWARDED [CUSTOMERS] \$17,500 PLUS COSTS. I WAS RESPONSIBLE FOR \$2,500 OF THE AWARD. NOT PROVIDED

Disclosure 5 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations:



Product Type:

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Disposition: Settled

Disposition Date: 02/07/1990

Firm Statement

ON 2/24/85, CUSTOMER [CUSTOMER] FILED A SUIT IN A VAGUE AND UNSPECIFIED COMPLAINT ALLEGING UNAUTHORIZED TRADING AGAINST FORMER FINANCIAL CONSULTANT, DOMINICK GUIDO AND MERRILL LYNCH. ALLEGED DAMAGES WERE \$350,000.00. A MORE STATEMENT WAS ORDERED, BUT STATEMENT WAS REACHED 2/7/90, BEFORE SAME WAS FILED. THE CUSTOMER GAD SEVERAL CORPORATE AND PERSONAL ACCOUNTS WITH MERRILL LYNCH. MERRILL LYNCH SETTED IN THE AMOUNT OF \$50,000.00 TO AVOID CONTINUING COSTS OF LITIGATION. FINANCIAL CONSULTANT, DOMINICK GUIDO DID NOT CONTRIBUTE. GUIDO WAS PERMITTED TO RESIGN ON 12/4/84 BECAUSE HE FAILED TO FOLLOW HIS MANAGERS DISCRETION TO STOP TRADING WITH A CLIENT WHO HAD FAILED TO MEET PRIOR COMMITMENT. CONTACT: [THIRD PARTY] AT (212) 701-9454.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADING AND SUITABILITY IN ACCOUNT. COMPLAINT RELATES TO PETRO LEWIS AND NICHOLAS OIL & GAS, WHICH WERE PAINE WEBBER'S RECOMMEDATIONS. COMPLAINT ALLEGES DAMAGES OF 5 1/2 MILLION DOLLARS.

Product Type:

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

**Settlement Amount:****Individual Contribution****Amount:****Civil Litigation Information****Disposition:** Settled**Disposition Date:** 02/07/1990**Broker Statement**

AN UNDISCLOSED MONETARY SETTLEMENT WAS MADE TO THE CLIENT BY PAINE WEBBER. DOMINIC GUIDO WAS RESPONSIBLE FOR NONE OF THE AWARD. MR. GUIDO HAS NO KNOWLEDGE OF THE SETTLEMENT FIGURE AS PAINE WEBBER DID NOT DISCLOSE IT TO HIM.
Not Provided

Disclosure 6 of 7**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** PAINE WEBBER**Allegations:****Product Type:****Alleged Damages:** \$5,500,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Litigation**Status Date:****Settlement Amount:****Individual Contribution****Amount:****Civil Litigation Information****Court Details:** 85-218(A)**Date Notice/Process Served:** 01/25/1985**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 02/05/1990**Firm Statement**

ON 2/24/85, CUSTOMER [CUSTOMER] FILED A SUIT IN A VAGUE AND UNSPECIFIED COMPLAINT ALLEGING UNAUTHORIZED TRADING AGAINST FORMER FINANCIAL CONSULTANT, DOMINICK GUIDO AND MERRILL LYNCH. ALLEGED DAMAGES WERE \$350,000.00. A MORE STATEMENT WAS ORDERED, BUT STATEMENT WAS REACHED 2/7/90, BEFORE SAME WAS FILED. THE CUSTOMER GAD SEVERAL CORPORATE AND PERSONAL ACCOUNTS WITH MERRILL LYNCH. MERRILL LYNCH SETTED IN THE AMOUNT OF \$50,000.00 TO AVOID CONTINUING COSTS OF LITIGATION. FINANCIAL CONSULTANT,



DOMINICK GUIDO DID NOT CONTRIBUTE.
GUIDO WAS PERMITTED TO
RESIGN ON 12/4/84 BECAUSE HE FAILED TO FOLLOW HIS MANAGERS
DISCRETION TO STOP TRADING WITH A CLIENT WHO HAD FAILED TO MEET
PRIOR COMMITMENT. CONTACT: [THIRD PARTY] AT (212) 701-9454.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINE WEBBER

Allegations: CLIENT ALLEGED UNAUTHORIZED TRADING AND SUITABILITY IN ACCOUNT. COMPLAINT RELATES TO PETRO LEWIS AND NICHOLAS OIL & GAS, WHICH WERE PAINE WEBBER'S RECOMMEDATIONS. COMPLAINT ALLEGES DAMAGES OF 5 1/2 MILLION DOLLARS.

Product Type:

Alleged Damages: \$5,500,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 85-218(A)

Date Notice/Process Served: 01/25/1985

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/05/1990

Broker Statement AN UNDISCLOSED MONETARY SETTLEMENT WAS MADE TO THE CLIENT BY PAINE WEBBER. DOMINIC GUIDO WAS RESPONSIBLE FOR NONE OF THE AWARD. MR. GUIDO HAS NO KNOWLEDGE OF THE SETTLEMENT FIGURE AS PAINE WEBBER DID NOT DISCLOSE IT TO HIM.
Not Provided

Disclosure 7 of 7

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: MISREPRESENTATION; OMISSION OF FACTS; CHURNING; ACCOUNT RELATED-NEGLIGENCE

Product Type:



Alleged Damages: \$217,062.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #94-00316

Date Notice/Process Served: 04/14/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/01/1996

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CHURNING, SUITABILITY ; ALLEGED DAMAGES
\$217,062.00

Product Type:

Alleged Damages: \$217,062.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-00316



Date Notice/Process Served: 04/14/1994
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/01/1996
Monetary Compensation Amount: \$140,000.00
Individual Contribution Amount:

Firm Statement THIS MATTER WAS SETTLED FOR \$140,000.00 TO AVOID THE TIME, RISK, AND EXPENSE OF TRYING THE CASE. CONTACT CHRISTINE TRACEY (212) 816-7292

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: DEAN WITTER REYNOLDS INC.

Allegations: CHURNING, SUITABILITY; ALLEGED DAMAGES \$217,062.00

Product Type:
Alleged Damages: \$217,062.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation
Status Date:

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-00316

Date Notice/Process Served: 04/14/1994
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/01/1996
Monetary Compensation Amount: \$140,000.00
Individual Contribution Amount:

Broker Statement THIS MATTER WAS SETTLED FOR \$140,000.00 TO AVOID THE TIME AND EXPENSE OF TRYING THE CASE. THE CLAIMANT'S LATE HUSBAND WAS MY CLIENT FOR



OVER 15 YEARS, DURING WHICH TIME THERE WAS NEVER A COMPLAINT. IN 1987, BEFORE THE HUSBAND BECAME INCAPACITATED, HE GAVE WRITTEN DISCRETIONARY AUTHORIZATION TO HIS STEPSON, A SOPHISTICATED MIDDLE-AGE BUSINESSMAN. THE CLAIMANT SUBSEQUENTLY GAVE THIS WRITTEN DISCRETIONARY AUTHORIZATION AT THREE DIFFERENT BROKERAGE FIRMS. I DID NOT HAVE DISCRETIONARY AUTHORITY. I FOLLOWED THE STEPSON'S INSTRUCTIONS AND ORDERS. OVER THE YEARS THE STEPSON MADE SIGNIFICANT CASH WITHDRAWALS. THIS WAS ALL DONE WITH THE KNOWLEDGE AND WRITTEN CONSENT OF THE CLAIMANT. THE CLAIMANT'S ALLEGATIONS ARE WITHOUT MERIT.

9A. WHAT FIRM DID THE TRANSACTION TAKE PLACE? SMITH BARNEY INC.



End of Report

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