



## IAPD Report

# ROBERT ALAN CORONA

CRD# 2366356

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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

### ROBERT ALAN CORONA (CRD# 2366356)

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 **05/06/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	04/28/2025
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	04/29/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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
<b>B</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	NEWPORT BEACH, CA	10/15/2021 - 04/29/2025
<b>IA</b>	RAYMOND JAMES & ASSOCIATES, INC.	705	NEWPORT BEACH, CA	10/15/2021 - 04/29/2025
<b>B</b>	OPPENHEIMER & CO. INC.	249	NEWPORT BEACH, CA	09/12/2018 - 10/22/2021

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
Regulatory Event	2
Customer Dispute	5
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 11 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/28/2025
B	Arizona	Agent	Approved	04/28/2025
B	California	Agent	Approved	04/29/2025
IA	California	Investment Adviser Representative	Approved	04/29/2025
B	Colorado	Agent	Approved	04/28/2025
B	Connecticut	Agent	Approved	04/28/2025
B	Florida	Agent	Approved	04/29/2025
B	Massachusetts	Agent	Approved	04/30/2025
B	Nevada	Agent	Approved	04/28/2025
B	New York	Agent	Approved	04/28/2025
B	Oregon	Agent	Approved	04/28/2025
B	Texas	Agent	Approved	04/29/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	04/29/2025



## Qualifications

Regulator	Registration	Status	Date
<b>B</b> Washington	Agent	Approved	04/30/2025

### Branch Office Locations

**LPL FINANCIAL LLC**  
LAGUNA BEACH, CA



## 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	07/26/2003
 General Securities Representative Examination (S7)	Series 7	07/08/1993

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1993

### 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
B	10/15/2021 - 04/29/2025	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	NEWPORT BEACH, CA
IA	10/15/2021 - 04/29/2025	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	NEWPORT BEACH, CA
B	09/12/2018 - 10/22/2021	OPPENHEIMER & CO. INC.	CRD# 249	NEWPORT BEACH, CA
IA	09/12/2018 - 10/22/2021	OPPENHEIMER & CO. INC.	CRD# 249	NEWPORT BEACH, CA
B	09/12/2014 - 09/12/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	REDWOOD CITY, CA
IA	09/12/2014 - 09/12/2018	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	REDWOOD CITY, CA
IA	09/19/2001 - 09/15/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	EAST PALO ALTO, CA
B	06/06/2001 - 09/15/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	EAST PALO ALTO, CA
B	07/31/1993 - 05/24/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	07/09/1993 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY

#### 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
04/2025 - Present	LPL Financial LLC	Registered Representative	Y	Laguna Beach, CA, United States
10/2021 - 04/2025	Raymond James and Associates, Inc.	Registered Representative	Y	Newport Beach, CA, United States
09/2018 - 10/2021	OPPENHEIMER & CO. INC.	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, United States
09/2014 - 09/2018	AMERIPRISE FINANCIAL SERVICES, INC.	REGISTERED REP	Y	REDWOOD CITY, CA, 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) 02/2025 - Corona Wealth Management Group / DBA for LPL Business (entity for LPL business) Inv Related / At reported business location (s) 120 Hrs per month - 100% Time Spent
- 2) 02/2025 - Real Estate Rental Airbnb - 790 Gaviota Dr, Laguna Beach, CA 92651 / Real Estate Rental / Owner / Inv Related / CA 92651 / Start date 02/14/2019 - 2 Hrs per month - 1 % Time Spent
- 3) 02/2025 - Real Estate Rental - 777 Coast Hwy Laguna Beach, CA 92651 / Real Estate Rental / Owner / Inv Related / Start date 02/15/2019 - 5 hrs per month - 1% Time Spent



## 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
Regulatory Event	2
Customer Dispute	5
Termination	1

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	ILLINOIS SECURITIES DEPARTMENT
<b>Sanction(s) Sought:</b>	Revocation
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	04/05/2001
<b>Docket/Case Number:</b>	0100057
<b>Employing firm when activity occurred which led to the regulatory action:</b>	SALOMON BARNEY, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	THE RESPONDENT'S SALESPERSON REGISTRATION IN ILLINOIS IS SUBJECT TO REVOCATION PURSANT TO NASDR ENTERED LETTER OF ACCEPTANCE, WAIVER AND CONSENT, FILE NO. C01000039.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Resolution Date:</b>	06/22/2001
<b>Sanctions Ordered:</b>	Revocation/Expulsion/Denial
<b>Other Sanctions Ordered:</b>	



**Sanction Details:** THE RESPONDENT'S REGISTRATION AS A SALESPERSON IN ILLINOIS IS REVOKED.

**Regulator Statement** A NOTICE OF HEARING, ISSUED APRIL 5, 2001. THE HEAIRNG IS SET FOR JUNE 5, 2001. AN ORDER OF REVOCATION, ISSUED JUNE 22, 2001. CONTACT: (217) 785-4948

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** ILLINOIS SECRTIES DEPARTMENT

**Sanction(s) Sought:** Revocation

**Other Sanction(s) Sought:**

**Date Initiated:** 04/05/2001

**Docket/Case Number:** 0100057

**Employing firm when activity occurred which led to the regulatory action:** SALOMON SMITH BARYNEY INC

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THE REPSONDENT'S SALESPERSON REIGSTRATION IN ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO NASDR ENTERED LETTER OF ACCEPTANCE, WAIVER AND CONSENT, FILE NO. C01000039.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 06/22/2001

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** THE RESPONDENT'S REGISTRATION AS A SALESPERSON IN ILLINOIS IS REVOKED.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 01/04/2001

**Docket/Case Number:** C01000039

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** No Product

**Allegations:** NASD RULES 2110 AND 2310 - RESPONDENT EFFECTED SECURITIES



TRANSACTIONS FOR THE ACCOUNT OF A PUBLIC CUSTOMER WITHOUT THE CUSTOMERS PRIOR AUTHORIZATION OR CONSENT. THE FINDINGS ALSO STATED THAT CORONA RECOMMENDED TO A PUBLIC CUSTOMER PURCHASES AND SALES OF SECURITIES WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT HIS RECOMMENDATIONS WERE SUITABLE FOR THE CUSTOMER UPON THE BASIS OF THE FACTS DISCLOSED BY THE CUSTOMER AS TO OTHER SECURITIES HOLDINGS, THE CUSTOMER'S FINANCIAL SITUATION, AND NEEDS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 01/04/2001

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	10 DAYS
<b>Start Date:</b>	02/05/2001
<b>End Date:</b>	02/14/2001

**Monetary Sanction 1 of 1**

<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$12,500.00
<b>Portion Levied against individual:</b>	\$12,500.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	02/03/2003
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, CORONA CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 DAYS. SUSPENSION EFFECTIVE FEBRUARY 5, 2001, TO THE CLOSE OF BUSINESS ON FEBRUARY 14, 2001.

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**Reporting Source:** Firm  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Suspension  
**Other Sanction(s) Sought:** \$12,500 FINE  
**Date Initiated:** 01/04/2001  
**Docket/Case Number:** C01000039  
**Employing firm when activity occurred which led to the regulatory action:** SALOMON SMITH BARNEY INC.

**Product Type:** Other  
**Other Product Type(s):** NO PRODUCT  
**Allegations:** VIOLATION OF NASD RULES 2110 AND 2310.  
**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 01/04/2001  
**Sanctions Ordered:** Monetary/Fine \$12,500.00  
Suspension  
**Other Sanctions Ordered:** 10-DAY SUSPENSION  
**Sanction Details:** 10-DAY SUSPENSION; \$12,500 FINE.

**Firm Statement**

ON 1/4/01 ROBERT CORONA ENTERED INTO AN AWC WITH THE NASD IN WHICH MR. CORONA CONSENTED TO PAY A FINE IN THE AMOUNT OF \$12,500 AND A 10-DAY SUSPENSION.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Suspension  
**Other Sanction(s) Sought:** \$12,500 FINE  
**Date Initiated:** 01/04/2001  
**Docket/Case Number:** C01000039  
**Employing firm when activity occurred which led to the regulatory action:** SALOMON SMITH BARNEY INC.



<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	VIOLATION OF NASD RULES 2110 AND 2310
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	01/04/2001
<b>Sanctions Ordered:</b>	Monetary/Fine \$12,500.00 Suspension
<b>Other Sanctions Ordered:</b>	10-DAY SUSPENSION
<b>Sanction Details:</b>	10-DAY SUSPENSION; \$12,500 FINE.
<b>Broker Statement</b>	ON 1/4/01 ROBERT CORONA ENTERED INTO AN AWC WITH THE NASD IN WHICH MR. CORONA CONSENTED TO PAY A FINE IN THE AMOUNT OF \$12,500 AND A 10-DAY SUSPENSION.



### 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:** Firm

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

**Allegations:** CLAIMANT ALLEGES UNAUTHORIZED TRADING OF SPECULATIVE, UNSUITABLE, HIGH-TECH STOCKS. ADDITIONAL ALLEGATIONS INCLUDE MISREPRESENTATION, EXCESSIVE TRADING, FRAUD FAILURE TO DISCLOSE RISKS, VIOLATION OF CALIFORNIA CORPORATION CODE, NEGLIGENCE, BREACH OF CONTRACT, BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALING, BREACH OF FIDUCIARY DUTY AND VIOLATION OF ELDER ABUSE. TIME FRAME: 07/24/00 THROUGH 03/29/01

**Product Type:** Equity - OTC

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 06/27/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 06/27/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 02-01507

**Date Notice/Process Served:** 06/27/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/21/2004

**Monetary Compensation Amount:** \$80,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual



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

**Allegations:** CLAIMANT ALLEGES UNAUTHORIZED TRADING OF SPECULATIVE, UNSUITABLE, HIGH-TECH STOCKS. ADDITIONAL ALLEGATIONS INCLUDE MISREPRESENTATION, EXCESSIVE TRADING, FRAUD FAILURE TO DISCLOSE RISKS, VIOLATION OF CALIFORNIA CORPORATION CODE, NEGLIGENCE, BREACH OF CONTRACT, BREACH OF IMPLIED COVENANT OF GOOD FAITH AND FAIR DEALING, BREACH OF FIDUCIARY DUTY AND VIOLATION OF ELDER ABUSE.

**Product Type:** Equity - OTC

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 06/27/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 06/27/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 02-01507

**Date Notice/Process Served:** 06/27/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/21/2004

**Monetary Compensation Amount:** \$80,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 5

**Reporting Source:** Firm

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

**Allegations:** UNAUTHORIZED TRADING.

**Product Type:** Other

**Other Product Type(s):** EQUITY LISTED

**Alleged Damages:** \$456,981.76

### Customer Complaint Information



**Date Complaint Received:** 04/18/2001  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 04/23/2001  
**Settlement Amount:** \$145,267.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SALOMON SMITH BARNEY  
**Allegations:** UNAUTHORIZED TRADING  
**Product Type:** Other  
**Other Product Type(s):** EQUITY LISTED  
**Alleged Damages:** \$456,981.76

**Customer Complaint Information**

**Date Complaint Received:** 04/18/2001  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 04/23/2001  
**Settlement Amount:** \$145,267.00  
**Individual Contribution Amount:** \$0.00

**Disclosure 3 of 5**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY, INC  
**Allegations:** CLIENT'S ATTORNEY ALLEGED THAT THE MUTUAL FUNDS PURCHASED IN THE CLIENT'S ACCOUNT WERE MISREPRESENTED AND UNSUITABLE DUE TO THE CONTINGENT DEFERRED SALES CHARGES AMOUNT CLAIMED \$31,079.78, SMITH BARNEY, INC.  
**Product Type:**  
**Alleged Damages:** \$31,079.78

**Customer Complaint Information**

**Date Complaint Received:** 12/30/1998  
**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 04/21/1999

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE CLIENT'S CLAIM WAS DENIED. THERE WERE NO OPTIONS OR COMMODITIES INVOLVED. NOT PROVIDED.

**Disclosure 4 of 5****Reporting Source:**

Individual

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

SALOMON SMITH BARNEY, INC.

**Allegations:**

CLIENT ALLEGED THAT HIS INSTRUCTIONS TO PURCHASE A STOCK WERE NOT FOLLOWED ALLEGED DAMAGES:\$8,000.00 SALOMON SMITH BARNEY INC.

**Product Type:****Alleged Damages:**

\$8,000.00

**Customer Complaint Information****Date Complaint Received:**

11/18/1998

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

01/26/1999

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE CLIENTS CLAIM WAS DENIED THERE WERE NO OPTIONS OR COMMODITIES INVOLVED. NOT PROVIDED

**Disclosure 5 of 5****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:****Allegations:**

[GUARDIAN], GUARDIAN FOR [CUSTOMER] ALLEGED UNAUTHORIZED TRADING CLAIMING \$19,000 IN DAMAGES AND COSTS

**Product Type:****Alleged Damages:**

\$19,000.00

**Customer Complaint Information****Date Complaint Received:**

03/06/1997

**Complaint Pending?**

No

**Status:**

Settled



**Status Date:**

**Settlement Amount:** \$13,935.72

**Individual Contribution Amount:** \$6,500.00

**Broker Statement**

FIRM SETTLED WITH CLIENT IN AMOUNT OF \$13,935.72 WHICH REINSTATED ACCOUNT TO ITS ORIGINAL VALUE WITH ORIGINAL INVESTMENTS FOR THE GUARDIAN ACCOUNT. ALSO PAID [GUARDIAN] PERSONALLY AN ADDITIONAL \$6,500. [THIRD PARTY] (818) 907-3737



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	SALOMON SMITH BARNEY
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	05/11/2001
<b>Allegations:</b>	TOOK AN ORDER TO SELL SECURITIES IN A NONDISCRETIONARY ACCOUNT FROM THE SPOUSE OF THE ACCOUNT OWNER.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Types:</b>	



## End of Report

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