



## IAPD Report

# JOSEPH GREGORY PAPEZ JR

CRD# 2384968

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### JOSEPH GREGORY PAPEZ JR (CRD# 2384968)

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 **01/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CENTAURUS FINANCIAL, INC.	CRD# 30833	08/04/2010
<b>IA</b>	CENTAURUS FINANCIAL, INC.	CRD# 30833	08/05/2010

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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>IA</b>	CHICAGO INVESTMENT GROUP ADVISORS, LLC	148188	LAS VEGAS, NV	08/07/2009 - 07/19/2010
<b>B</b>	CHICAGO INVESTMENT GROUP, LLC	11853	LAS VEGAS, NV	08/07/2009 - 07/19/2010
<b>IA</b>	CHICAGO INVESTMENT GROUP, LLC	11853	LAS VEGAS, NV	08/07/2009 - 10/04/2009

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



## 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 17 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **CENTAURUS FINANCIAL, INC.**  
Main Address: 2300 EAST KATELLA AVE  
SUITE 200  
ANAHEIM, CA 92806  
Firm ID#: 30833

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/04/2010
B	Arizona	Agent	Approved	08/04/2010
IA	Arizona	Investment Adviser Representative	Approved	11/10/2015
B	California	Agent	Approved	08/04/2010
IA	California	Investment Adviser Representative	Approved	08/05/2010
B	Colorado	Agent	Approved	08/06/2015
IA	Colorado	Investment Adviser Representative	Approved	08/06/2015
B	Florida	Agent	Approved	12/11/2014
IA	Florida	Investment Adviser Representative	Approved	04/07/2015
B	Hawaii	Agent	Approved	03/01/2018
IA	Hawaii	Investment Adviser Representative	Approved	03/01/2018
B	Illinois	Agent	Approved	02/25/2016
IA	Illinois	Investment Adviser Representative	Approved	02/25/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Indiana	Agent	Approved	01/11/2017
<b>IA</b> Indiana	Investment Adviser Representative	Approved	01/11/2017
<b>IA</b> Iowa	Investment Adviser Representative	Approved	03/30/2021
<b>IA</b> Mississippi	Investment Adviser Representative	Approved	12/13/2019
<b>IA</b> Nebraska	Investment Adviser Representative	Approved	07/11/2024
<b>IA</b> Nevada	Investment Adviser Representative	Approved	08/13/2010
<b>B</b> Nevada	Agent	Approved	08/17/2010
<b>IA</b> New Hampshire	Investment Adviser Representative	Approved	04/11/2024
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	01/06/2026
<b>IA</b> Oklahoma	Investment Adviser Representative	Approved	05/14/2024
<b>B</b> Oregon	Agent	Approved	04/17/2018
<b>IA</b> Oregon	Investment Adviser Representative	Approved	04/17/2018
<b>B</b> Texas	Agent	Approved	08/24/2012
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	01/06/2017
<b>B</b> Wisconsin	Agent	Approved	05/27/2025

### Branch Office Locations

**CENTAURUS FINANCIAL, INC.**  
10845 GRIFFITH PEAK DRIVE  
SUITE #2  
LAS VEGAS, NV 89135



## 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	08/27/2003
 General Securities Representative Examination (S7)	Series 7	09/09/1993

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/11/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/11/1993

### 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
IA	08/07/2009 - 07/19/2010	CHICAGO INVESTMENT GROUP ADVISORS, LLC	CRD# 148188	LAS VEGAS, NV
B	08/07/2009 - 07/19/2010	CHICAGO INVESTMENT GROUP, LLC	CRD# 11853	LAS VEGAS, NV
IA	08/07/2009 - 10/04/2009	CHICAGO INVESTMENT GROUP, LLC	CRD# 11853	LAS VEGAS, NV
B	06/01/2004 - 08/19/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LAS VEGAS, NV
IA	06/01/2004 - 08/19/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LAS VEGAS, NV
IA	04/10/2003 - 06/14/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	LAS VEGAS, NV
B	09/10/1993 - 06/14/2004	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	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
08/2010 - Present	CENTAURUS FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	ANAHEIM, CA, 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. JP ASSET MGMT LLC, NON-INVESTMENT RELATED, LAS VEGAS, NV, 89135, FOR TAX PURPOSES, MANAGER, SINCE 1/19/2015, DEVOTED TIME IS 2 HRS A MONTH, ADMINISTRATIVE.
2. JP INSURANCE SERVICES, NON-INVESTMENT RELATED, 10845 GRIFFITH PEAK DRIVE, SUITE #200, LAS VEGAS, NV 89135. SELL TERM LIFE, WHOLE LIFE, HEALTH AND DISABILITY INSURANCE, MANAGING PARTNER, SINCE 10/5/2012, DEVOTED TIME IS 5 HRS A MONTH.
3. JP WEALTH MANAGEMENT & FINANCIAL PLANNING  
POSITION: Financial Advisor NATURE: DBA FOR BRANDING AND MARKETING PURPOSES RELATED: NO NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: null START DATE: 07/15/2020



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

ADDRESS: 10845 Griffith Peak Drive, Suite 200, Las Vegas NV 89135, United States  
DESCRIPTION: DBA FOR BRANDING AND MARKETING 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	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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	CENTAURUS FINANCIAL, INC.
<b>Allegations:</b>	CLIENT ALLEGES THAT THE REPRESENTATIVE SHOULD HAVE PURCHASED THE REAL ESTATE INVESTMENT TRUST TRANSACTIONS EFFECTED IN JULY 2012 AT A DISCOUNT SINCE HE WAS AN ADVISORY CLIENT.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	FIRM BELIEVED THE ALLEGED DAMAGES WOULD BE MORE THAN \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/22/2012
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	07/25/2014

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

REGISTERED REPRESENTATIVE DENIES ANY ALLAGATIONS OF WRONG DOING AND BELIEVES HE FULFILLED HIS DUTIES TO THE CUSTOMER.

**Disclosure 2 of 5****Reporting Source:**

Firm

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

CGMI

**Allegations:**

CLIENT ALLEGES, INTER ALIA, THAT USE OF MARGIN WAS UNSUITABLE 06/1999 - 06/2002. DAMAGES UNSPECIFIED.

**Product Type:**

No Product

**Alleged Damages:**

\$0.00

**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:**

06/12/2012

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

07/27/2012

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

CLAIM DENIED.

**Reporting Source:**

Individual

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

CITIGROUP GLOBAL MARKETS INC.

**Allegations:**

CLIENT ALLEGES, INTER ALIA, THAT USE OF MARGIN WAS UNSUITABLE FROM 06/1999 - 06/2002. DAMAGES UNSPECIFIED.

**Product Type:**

No Product

**Alleged Damages:**

\$0.00

**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:** 06/28/2012**Complaint Pending?** No**Status:** Denied**Status Date:** 07/27/2012**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

CUSTOMER UTILIZED MARGIN PRIOR TO MY INVOLEMENT, AND WHILE I WAS ASSOCIATED WITH ACCOUNT. CUSTOMER FULLY UNDERSTOOD MARGIN AND THE RISKS ASSOCIATED WITH IT.

**Disclosure 3 of 5****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** WELLS FARGO INVESTMENTS, LLC.**Allegations:** THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008. ACTIVITY DATE(S): 1/16/2007-7/17/2007**Product Type:** Other: AUCTION RATE SECURITIES**Alleged Damages:** \$0.00**Alleged Damages Amount Explanation (if amount not exact):** GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN \$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:** 11/20/2008**Complaint Pending?** No**Status:** Settled**Status Date:** 03/11/2010**Settlement Amount:** \$475,000.00**Individual Contribution Amount:** \$0.00**Firm Statement**

THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO,



AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; 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.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO INVESTMENTS, LLC.

**Allegations:** THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008. ACTIVITY DATE(S) 1/16/2007 - 7/17/2007

**Product Type:** Other: AUCTION RATE SECURITIES

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN \$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:** 11/20/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 03/11/2010

**Settlement Amount:** \$475,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



**Disclosure 4 of 5**

**Reporting Source:** Firm

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

**Allegations:** BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND VIOLATION OF N.R.S. SECTION 90.570 AND 90.660 BEGINNING AUGUST 10, 1998.

**Product Type:** Equity - OTC

**Other Product Type(s):** ANNUITIES

**Alleged Damages:** \$1,000,000.00

**Customer Complaint Information**

**Date Complaint Received:** 01/28/2003

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/28/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE, DOCKET NUMBER: 2003-011328

**Date Notice/Process Served:** 01/28/2003

**Arbitration Pending?** No

**Disposition:** Dismissed

**Disposition Date:** 07/28/2004

**Monetary Compensation Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

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

**Allegations:** BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND VIOLATION OF N.R.S. SECTION 90.570 AND 90.660 BEGINNING AUGUST 10, 1998.

**Product Type:** Equity - OTC

**Alleged Damages:** \$1,000,000.00

**Customer Complaint Information**

**Date Complaint Received:** 01/28/2003

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 07/28/2004

**Settlement Amount:** \$115,000.00

**Individual Contribution Amount:** \$0.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE, DOCKET NUMBER: 2003-011328

**Date Notice/Process Served:** 01/28/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/28/2004

**Monetary Compensation Amount:** \$115,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MATTER SETTLED AT MEDIATION BETWEEN CUSTOMER AND SMITH BARNEY. PAPEZ DENIED ALL ALLEGATIONS AND CUSTOMER AGREED AS PART OF SETTLEMENT NOT TO OPPOSE EXPUNGEMENT OF THIS CLAIM AGAINST PAPEZ.

### Disclosure 5 of 5

**Reporting Source:** Individual

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

**Allegations:** THE CLIENT ALLEGED UNSUITABILITY WITH REGARD TO MUTUAL FUNDS - 2000. DAMAGES UNSPECIFIED.

**Product Type:** Mutual Fund(s)

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 06/10/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/15/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE CLAIM WAS DENIED.



## End of Report

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