



IAPD Report

PETER EDWARD CUNNINGHAM

CRD# 2400211

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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

PETER EDWARD CUNNINGHAM (CRD# 2400211)

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 **01/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MURIEL SIEBERT & CO., LLC	CRD# 5376	10/14/2019
IA	SIEBERT ADVISORNXT, LLC.	CRD# 288572	03/17/2020

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **21** 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	STOCKCROSS FINANCIAL SERVICES	6670	BEVERLY HILLS, CA	12/14/2012 - 01/02/2020
B	STOCKCROSS FINANCIAL SERVICES, INC.	6670	BEVERLY HILLS, CA	01/29/2002 - 01/02/2020
IA	SIEBERT ADVISORNXT, INC.	288572	Beverly Hills, CA	07/16/2018 - 09/04/2018

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	6
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 **21** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **MURIEL SIEBERT & CO., LLC**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 5376

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/15/2019
B NYSE American LLC	General Securities Representative	Approved	10/14/2019
B Nasdaq Stock Market	General Securities Representative	Approved	10/14/2019
B New York Stock Exchange	General Securities Representative	Approved	10/14/2019
B Arizona	Agent	Approved	12/26/2019
B California	Agent	Approved	11/01/2019
B Colorado	Agent	Approved	03/22/2023
B Connecticut	Agent	Approved	01/07/2020
B District of Columbia	Agent	Approved	10/17/2019
B Georgia	Agent	Approved	10/16/2019
B Indiana	Agent	Approved	02/05/2020
B Louisiana	Agent	Approved	07/07/2021
B Michigan	Agent	Approved	01/23/2020



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	04/12/2023
B Nebraska	Agent	Approved	04/23/2020
B New Mexico	Agent	Approved	11/08/2019
B New York	Agent	Approved	04/14/2020
B North Carolina	Agent	Approved	03/10/2020
B Ohio	Agent	Approved	10/16/2019
B Oregon	Agent	Approved	11/04/2019
B Pennsylvania	Agent	Approved	06/11/2020
B Rhode Island	Agent	Approved	11/22/2019
B South Carolina	Agent	Approved	11/14/2019
B Texas	Agent	Approved	02/14/2020
B Washington	Agent	Approved	03/12/2020

Branch Office Locations

9378 Wilshire Blvd
Suite 300
Beverly Hills, CA 90212

Employment 2 of 2

Firm Name: **SIEBERT ADVISORNXT, LLC.**
Main Address: 300 VESEY STREET, 5TH FLOOR
NEW YORK, NY 10282
Firm ID#: 288572



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	03/17/2020

Branch Office Locations

SIEBERT ADVISORNXT, LLC.

9464 Wilshire BLVD
Beverly Hills, CA 90212



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, 2 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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	02/25/1994
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State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/11/1994
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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	12/14/2012 - 01/02/2020	STOCKCROSS FINANCIAL SERVICES	CRD# 6670	BEVERLY HILLS, CA
B	01/29/2002 - 01/02/2020	STOCKCROSS FINANCIAL SERVICES, INC.	CRD# 6670	BEVERLY HILLS, CA
IA	07/16/2018 - 09/04/2018	SIEBERT ADVISORNXT, INC.	CRD# 288572	Beverly Hills, CA
B	12/22/2017 - 08/17/2018	MURIEL SIEBERT & CO., INC.	CRD# 5376	Beverly Hills, CA
B	03/28/2017 - 06/13/2017	MURIEL SIEBERT & CO., INC.	CRD# 5376	Beverly Hills, CA
B	11/07/1997 - 01/11/2002	TD WATERHOUSE INVESTOR SERVICES, INC.	CRD# 7870	OMAHA, NE
B	02/28/1994 - 11/07/1997	KENNEDY, CABOT & CO.	CRD# 2417	BEVERLY HILLS, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2019 - Present	Muriel Siebert & Co., Inc.	Registered Representative	Y	Beverly Hills, CA, United States
01/2002 - 01/2020	STOCKCROSS	REGISTERED REPRESENTATIVE	Y	BOSTON, MA, United States
03/2017 - 08/2018	Muriel Siebert & Co., Inc.	Registered Representative	Y	Beverly Hills, 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.

Name of Business: Siebert AdvisorNxt, LLC
Investment Related: Yes
Location: Same location as Muriel Siebert, & Co., LLC
Nature of business: Investment Advisory Firm
Position, Title or Relationship: Dual employee. Investment Advisor Representative
Approximate number of hours: Full time. Time split 50/50 between Muriel Siebert & Co., LLC and Siebert AdvisorNxt, LLC, subject to monthly change
Compensation at both entities paid by same parent company, Siebert Financial Corporation as both are under common



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ownership and control of parent company.



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	6
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

Reporting Source:	Regulator
Regulatory Action Initiated By:	California
Sanction(s) Sought:	Cease and Desist Monetary Penalty other than Fines Other: Offer of Restitution
Date Initiated:	07/09/2021
Docket/Case Number:	2400211
URL for Regulatory Action:	https://dfpi.ca.gov/wp-content/uploads/sites/337/2021/07/Consent-Order-StockCross-Financial-Services-Inc..pdf
Employing firm when activity occurred which led to the regulatory action:	StockCross Financial Services, Inc.
Product Type:	Unit Investment Trust
Allegations:	Short-term UIT trading.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 07/09/2021

Sanctions Ordered: Cease and Desist
Monetary Penalty other than Fines
Other: Offer of restitution

Monetary Sanction 1 of 2

Monetary Related Sanction: Restitution

Total Amount: \$315,375.37

Portion Levied against individual: \$315,375.37

Payment Plan: 90 days

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$100,000.00

Portion Levied against individual: \$100,000.00

Payment Plan: 30 days

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: State of California

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Other: Offer of restitution

Date Initiated: 07/09/2021

Docket/Case Number: 2400211



Employing firm when activity occurred which led to the regulatory action:	StockCross Financial Services, Inc.
Product Type:	Unit Investment Trust
Allegations:	Short-term UIT trading.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/19/2021
Sanctions Ordered:	Cease and Desist Monetary Penalty other than Fines Other: Offer of restitution
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$100,000.00
Portion Levied against individual:	\$0.00
Payment Plan:	Paid
Is Payment Plan Current:	Yes
Date Paid by individual:	08/13/2021
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	\$315,375.37
Portion Levied against individual:	\$315,375.37
Payment Plan:	Offers of Restitution
Is Payment Plan Current:	Yes
Date Paid by individual:	08/10/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Have allocated this amount to the Firm. That has not yet been determined to be the final amount.



Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: Massachusetts Securities Division

Sanction(s) Sought: Cease and Desist
Censure
Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Restitution
Revocation

Date Initiated: 08/14/2018

Docket/Case Number: E-2017-0104

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: StockCross Financial Services, Inc.

Product Type: Unit Investment Trust

Allegations: Short-term UIT trading

Current Status: Final

Limitation Details: Cunningham shall not engage in or recommend any securities transaction in connection with any purchase or sale of units of any UIT products in the State of Massachusetts for a period of fifteen months from September 3, 2019.

Resolution: Consent

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: 09/03/2019

Sanctions Ordered: Cease and Desist
Censure
Other: Cunningham shall take forty hours of securities industry education courses within the twelve months following September 3, 2019.

Reporting Source: Individual

Regulatory Action Initiated By: Securities Division Commonwealth of Massachusetts

Sanction(s) Sought: Cease and Desist
Censure
Revocation

Date Initiated: 08/14/2018

Docket/Case Number: E-2017-0104



Employing firm when activity occurred which led to the regulatory action:	StockCross Financial Services, Inc.
Product Type:	Unit Investment Trust
Allegations:	Short term UIT trading. (From 2012-2017.)
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/03/2019
Sanctions Ordered:	Cease and Desist Censure Prohibition Other: Cunningham shall take forty hours of securities industry education courses within the twelve months following September 3, 2019. He also will not sell UITs to Massachusetts Clients for a period of 15 months from September 3, 2019.



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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STOCKCROSS FINANCIAL SERVICES, INC.
Allegations:	SHE CLAIMS THAT TRANSACTIONS IN HER ACCOUNT OVER A PERIOD OF ABOUT TEN YEARS WERE UNSUITABLE, AND THAT SHE WAS NOT PROVIDED WITH MATERIAL FACTS REGARDING THE SECURITIES THAT SHE PURCHASED.
Product Type:	Unit Investment Trust Other: STRUCTURED PRODUCTS
Alleged Damages:	\$437,635.00
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 #:	12-01832
Filing date of arbitration/CFTC reparation or civil litigation:	05/30/2012

Customer Complaint Information

Date Complaint Received:	05/30/2012
Complaint Pending?	No
Status:	Withdrawn
Status Date:	01/29/2014
Settlement Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	FINRA 12-01832
Date Notice/Process Served:	05/30/2012



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/29/2014
Monetary Compensation Amount:	\$150,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE ALLEGATIONS ARE INCORRECT, FALSE, AND ENTIRELY WITHOUT MERIT. CLAIMANT WITHDREW THEIR CASE AGAINST REGISTERED REP. THE CASE WAS SUBSEQUENTLY SETTLED WITH STOCKCROSS FINANCIAL SERVICES

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STOCKCROSS FINANCIAL SERVICES, INC.
Allegations:	CLAIMANT INVESTED FOR HIMSELF AND HIS LATE MOTHER AND IS DISSATISFIED WITH PERFORMANCE OF THE ACCOUNTS AND LOSSES INCURRED. ALLEGES NEGLIGENCE, UNSUITABLE RECOMMENDATIONS, MISREPRESENTATION OR OMISSION OF MATERIAL FACTS.
Product Type:	Mutual Fund Unit Investment Trust Other: STRUCTURED PRODUCT
Alleged Damages:	\$218,381.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00029
Date Notice/Process Served:	01/17/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/10/2012
Monetary Compensation Amount:	\$90,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE ALLEGATIONS ARE FALSE AND WITHOUT MERIT. A SETTLEMENT WAS AGREED UPON ONLY FOR THE PURPOSE OF AVOIDING THE SUBSTANTIAL LEGAL COST AND TIME INVOLVED IN ARBITRATION.

Disclosure 3 of 6

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: STOCKCROSS FINANCIAL SERVICES

Allegations: CLIENT COMPLAINED OF UNAUTHORIZED PURCHASE IN ACCOUNT.

Product Type: Debt-Corporate

Alleged Damages: \$10,000.00

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: 07/15/2010

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/29/2010

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement CLIENT WROTE THAT HE DID NOT SPECIFICALLY AUTHORIZE A TRADE IN HIS ACCOUNT. FIRM CONTACTED, MISCOMMUNICATION BETWEEN CLIENT AND BROKER. CLIENT ACCEPTED TRADE, NO ACTION TAKEN.

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTOR SERVICES, INC.

Allegations: CLIENT ALLEGES NEGLIGENCE AND FRAUD

Product Type: Unit Investment Trust(s)

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 05/02/2005

Complaint Pending? No

Status: Settled

Status Date: 06/06/2005

Settlement Amount: \$65,103.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: T D WATERHOUSE INVESTOR SERVICES

Allegations: CLIENT ALLEGES NEGLIGENCE AND FRAUD

Product Type: Unit Investment Trust(s)

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 05/02/2005

Complaint Pending? No

Status: Settled

Status Date: 06/05/2005

Settlement Amount: \$65,103.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTOR SERVICES, INC.

Allegations: CLIENT CLAIMS THE INVESTMENT SPECIALISTS SOLICITED UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$12,384.00

Customer Complaint Information

Date Complaint Received: 12/23/2002

Complaint Pending? No

Status: Denied

Status Date: 02/04/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTOR SERVICES INC

Allegations: CLIENT CLAIMS HE WAS SOLICITED FOR UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)

Alleged Damages: \$12,384.00

**Customer Complaint Information**

Date Complaint Received: 12/23/2002

Complaint Pending? No

Status: Denied

Status Date: 02/04/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTOR SERVICES, INC.

Allegations: SUITABILITY

Product Type: Other

Other Product Type(s): INVESTMENT RECOMMENDATIONS

Alleged Damages: \$111,037.47

Arbitration InformationArbitration/Reparation Claim filed with and Docket/Case No.: [TD NASD - CASE #00-02687](#)

Date Notice/Process Served: 06/06/2000

Arbitration Pending? No

Disposition: Award

Disposition Date: 11/05/2001

Disposition Detail: RESPONDENT CUNNINGHAM IS LIABLE, JOINTLY AND SEVERALLY, AND SHALL PAY TO CLAIMANT \$40,000 IN COMPENSATORY DAMAGES.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TD WATERHOUSE INVESTORS SERVICES, INC.

Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE BREACHED FIDUCIARY DUTY, MADE UNSUITABLE INVESTMENTS AND RECOMMENDATIONS CONTRARY TO INVESTMENT OBJECTIVES RELATING TO ACCOUNT ACTIVITY IN JANUARY 1999. CUSTOMER CLAIMS \$111,037.47 PLUS PUNITIVE DAMAGES.

Product Type: Equity - OTC

Other Product Type(s): UNIT INVESTMENT TRUSTS

Alleged Damages: \$111,037.47

Customer Complaint Information



Date Complaint Received: 07/11/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/11/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD ARBITRATION #00-02687](#)

Date Notice/Process Served: 07/11/2000

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/05/2001

Monetary Compensation Amount: \$40,000.00

Individual Contribution Amount: \$0.00



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

Reporting Source: Firm

Firm Name: TD WATERHOUSE INVESTOR SERVICES, INC.

Termination Type: Discharged

Termination Date: 12/18/2001

Allegations: REASON FOR TERMINATION: DUE TO MUTIPLE CUSTOMER COMPLAINTS.

Product Type: No Product

Other Product Types:

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Reporting Source: Individual

Firm Name: TD WATERHOUSE INVESTOR SERVICES INC

Termination Type: Discharged

Termination Date: 12/18/2001

Allegations: MULTIPLE CUSTOMER COMPLAINTS

Product Type: No Product

Other Product Types:

Broker Statement THE POSITIVE RESULT OF A WITHDRAWN COMPLAINT NECESSITATED THIS AMENDED FILING BY TD WATERHOUSE. HOWEVER, CUNNINGHAM DISAGREES WITH THEIR ANSWER TO NEW QUESTION 7F(1). CUNNINGHAM HAS REQUESTED FROM TD WATERHOUSE A REVIEW OF THEIR ANSWER TO 7F(1).



End of Report

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