



IAPD Report

ERIC ROBERT GAUSTER

CRD# 2416301

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	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

ERIC ROBERT GAUSTER (CRD# 2416301)

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 **03/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OPPENHEIMER & CO. INC.	CRD# 249	04/10/2006
IA	OPPENHEIMER & CO. INC.	CRD# 249	07/03/2006

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **27** 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	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY	02/21/2006 - 04/03/2006
B	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD	07/01/2002 - 02/21/2006
B	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	09/07/1994 - 05/31/2002

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	1
Customer Dispute	4
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 **27** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OPPENHEIMER & CO. INC.**
Main Address: 85 BROAD STREET
22ND FLOOR
NEW YORK, NY 10004
Firm ID#: 249

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	04/10/2006
B FINRA	General Securities Representative	Approved	04/10/2006
B NYSE American LLC	General Securities Representative	Approved	04/10/2006
B NYSE Arca, Inc.	General Securities Representative	Approved	08/12/2011
B NYSE Texas, Inc.	General Securities Representative	Approved	08/12/2011
B Nasdaq ISE, LLC	General Securities Representative	Approved	12/04/2007
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/12/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B New York Stock Exchange	General Securities Representative	Approved	04/11/2006
B Alabama	Agent	Approved	01/19/2022
B California	Agent	Approved	04/10/2006
B Colorado	Agent	Approved	10/21/2025
B Connecticut	Agent	Approved	04/10/2006



Qualifications

Regulator	Registration	Status	Date
B District of Columbia	Agent	Approved	09/10/2021
B Florida	Agent	Approved	08/03/2006
IA Florida	Investment Adviser Representative	Approved	03/03/2016
B Georgia	Agent	Approved	08/23/2016
B Idaho	Agent	Approved	11/01/2019
B Illinois	Agent	Approved	02/04/2019
B Indiana	Agent	Approved	08/15/2016
B Louisiana	Agent	Approved	01/23/2019
B Maryland	Agent	Approved	11/04/2019
B Massachusetts	Agent	Approved	04/21/2006
IA Massachusetts	Investment Adviser Representative	Approved	07/03/2006
B Michigan	Agent	Approved	08/13/2021
B Minnesota	Agent	Approved	04/10/2023
B Nebraska	Agent	Approved	08/15/2016
B Nevada	Agent	Approved	12/06/2023
B New Hampshire	Agent	Approved	06/21/2006
B New York	Agent	Approved	04/28/2006
B North Carolina	Agent	Approved	01/15/2019
B Ohio	Agent	Approved	04/11/2006



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	01/04/2019
B South Carolina	Agent	Approved	12/13/2019
B Tennessee	Agent	Approved	01/17/2019
B Texas	Agent	Approved	04/18/2023
IA Texas	Investment Adviser Representative	Restricted Approval	04/19/2023
B Virginia	Agent	Approved	08/15/2016
B Wisconsin	Agent	Approved	03/10/2026

Branch Office Locations

OPPENHEIMER & CO. INC.
6700 DANIELS PARKWAY
STE 1
FORT MYERS, FL 33912

OPPENHEIMER & CO. INC.
NAPLES, FL



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
------	----------	------

No information reported.



General Industry/Product Exams

Exam	Category	Date
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	02/11/2009
 General Securities Representative Examination (S7)	Series 7	09/06/1994

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	06/08/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/13/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/21/2006 - 04/03/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	07/01/2002 - 02/21/2006	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	09/07/1994 - 05/31/2002	SALOMON SMITH BARNEY 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
03/2006 - Present	OPPENHEIMER & CO	REGISTERED REP	Y	BOSTON, MA, 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.

ACTING AS TRUSTEE FOR MY NIECE AND NEPHEW'S TRUST ACCOUNTS (MINOR CHILDREN EVA AND HENRY GAUSTER). NO SIGNIFICANT TIME WILL BE SPENT ON THIS ACTIVITY.



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	1
Customer Dispute	4
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/03/2016
Docket/Case Number:	64762-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Oppenheimer & Co., Inc
Product Type:	No Product
Allegations:	n/a
Current Status:	Final
Resolution:	Order
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:	03/03/2016



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

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 03/03/2016

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

On 3/3/2016, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Eric Robert Gauster. Mr. Gauster neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Mr. Gauster engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Oppenheimer & Co., Inc. agreed to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Eric Robert Gauster's application as an associated person (RA) with Oppenheimer & Co., Inc. effective March 3, 2016.

Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 03/03/2016

Docket/Case Number: 64762-SR

Employing firm when activity occurred which led to the regulatory action: OPPENHEIMER & CO. INC.

Product Type: No Product

Allegations: On 3/3/2016, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Eric Robert Gauster. Mr. Gauster neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Mr. Gauster engaged in investment advisory business from offices within this state without the benefit of lawful registration in the state of Florida pursuant to section 517.12(4), F. S. Oppenheimer & Co., Inc. agreed to pay an administrative fine in the amount of \$10,000. The Office agreed to approve Eric Robert Gauster's application as an associated person (RA) with Oppenheimer & Co., Inc. effective March 3, 2016.

Current Status: Final

Resolution: Order



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:	03/03/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/03/2016
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THIS ORDER WAS THE RESULT OF A FINDING THAT (BROKER) WAS NOT PROPERLY REGISTERED IN THE STATE AS AN INVESTMENT ADVISOR REPRESENTATIVE WITH OPPENHEIMER. THIS OCCURRED DUE TO AN ADMINISTRATIVE ERROR NOT CAUSED BY (BROKER). (BROKER) WAS PROPERLY REGISTERED WHEN HE RESIDED IN A DIFFERENT STATE. WHEN HE MOVED TO FLORIDA, HIS STATE INVESTMENT ADVISOR REPRESENTATIVE LICENSE WAS NOT PROPERLY TRANSFERRED TO FLORIDA. THIS WAS AN ADMINISTRATIVE INADVERTENT CLERICAL ERROR BY AN ADMINISTRATIVE ASSOCIATE AT OPPENHEIMER. AS A RESULT (BROKER) WAS UNDER THE REASONABLY MISTAKEN BELIEF THAT HE WAS PROPERLY REGISTERED. NO CUSTOMERS WERE HARMED BY THIS ERROR. THE FIRM HAS PAID THE FINE ON BEHALF OF (BROKER).



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 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO., INC.

Allegations: UNSUITABILITY; SWITCHING; BREACH OF FIDUCIARY DUTY

Product Type: Other: UNSPECIFIED SECURITIES

Alleged Damages: \$261,601.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #12-00626](#)

Date Notice/Process Served: 02/22/2012

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/04/2013

Disposition Detail: GAUSTER IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$82,965 AND INTEREST IN THE AMOUNT OF \$13,612.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: SWITCHING OF UNIT INVESTMENT TRUST AND SUITIBILY OF COMMON STOCKS DURING THE PERIOD SEPTEMBER 2006 THROUGH DECEMBER 2009.

Product Type: Equity-OTC
Unit Investment Trust

Alleged Damages: \$169,812.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 12-00626
Filing date of arbitration/CFTC reparation or civil litigation: 02/22/2012

Customer Complaint Information

Date Complaint Received: 03/12/2012
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 03/12/2012
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [12-00626](#)
Date Notice/Process Served: 03/12/2012
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 10/04/2013
Monetary Compensation Amount: \$451,759.98
Individual Contribution Amount: \$96,577.00

Broker Statement CLIENT ACCOUNT DECLINE WAS DUE IN PART TO LARGE WITHDRAWALS TOTALING \$200,000 DURING DECLINING MARKETS. GAUSTER IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$82,695 AND INTEREST IN THE AMOUNT OF \$13,612. BROKER WAS NAMED OM THE ARBITRATION, DISCLOSURE WAS ORIGINALLY FILED INCORRECT.

Disclosure 2 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED MISREPRESENTATION OF MUTUAL FUNDS - 8/1/97 TO 1/14/03.

Product Type: Mutual Fund(s)

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 06/10/2003



Complaint Pending? No

Status: Closed/No Action

Status Date: 10/17/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM ABANDONED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GMI

Allegations: THE CLIENT ALLEGED MISREPRESENTATION OF MUTUAL FUNDS - 8/1/97 TO 1/14/03.

Product Type: Money Market Fund(s)

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 06/10/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/17/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Firm

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

Allegations: CLAIMANT ALLEGES FAILURE TO PROVIDE ACCURATE INFORMATION AND INAPPROPRIATE INVESTMENTS. (JUNE 2001)

Product Type: Mutual Fund(s)

Alleged Damages: \$50,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2002

Complaint Pending? No

Status: Settled

Status Date: 12/04/2003

Settlement Amount: \$13,500.00



Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER WAS RESOLVED THROUGH MEDIATION. THIS INDIVIDUAL DID NOT CONTRIBUTE TO THE SETTLEMENT.

.....

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED UNSUITABILITY OF INVESTMENTS - 2001 TO 2002. DAMAGES UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/15/2002

Complaint Pending? No

Status: Denied
Settled

Status Date: 12/04/2003

Settlement Amount: \$13,500.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: ALLEGED IMPROPER CONDUCT REGARDING THE RECOMMENDATION OF AN OUTSIDE INVESTMENT BETWEEN JANUARY 1998 THROUGH DECEMBER 1998.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$400,503.20

Customer Complaint Information

Date Complaint Received: 12/12/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/12/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NUMBER 00-05204

Date Notice/Process Served: 12/12/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/28/2002

Monetary Compensation Amount: \$425,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: ALLEGED IMPROPER CONDUCT REGARDING THE RECOMMENDATION OF AN OUTSIDE INVESTMENT BETWEEN JANUARY 1998 THROUGH DECEMBER 1998.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$400,503.20

Customer Complaint Information

Date Complaint Received: 12/12/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/12/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 00-05204

Date Notice/Process Served: 12/12/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/28/2002

Monetary Compensation Amount: \$425,000.00

Individual Contribution Amount:



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:	Individual
Firm Name:	SMITH BARNEY
Termination Type:	Permitted to Resign
Termination Date:	03/24/2006
Allegations:	DISCHARGED WITHOUT CAUSE
Product Type:	Other
Other Product Types:	NONE
Broker Statement	MANAGER CITED 2002 CIRCUMSTANCE AFTER SMITH BARNEY BUY OUT OF COMPANY



End of Report

This page is intentionally left blank.