



IAPD Report

JEFFREY LANCE PRINCE

CRD# 2428655

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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

JEFFREY LANCE PRINCE (CRD# 2428655)

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 **03/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/23/2020
IA	LPL FINANCIAL LLC	CRD# 6413	11/23/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	MORGAN STANLEY	149777	WOODLAND HILLS, CA	06/01/2009 - 11/25/2020
IA	MORGAN STANLEY	149777	WOODLAND HILLS, CA	06/01/2009 - 11/25/2020
B	CITIGROUP GLOBAL MARKETS INC.	7059	WOODLAND HILLS, CA	05/31/2006 - 06/01/2009

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
Regulatory Event	3
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 **34** 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	11/23/2020
B	FINRA	General Securities Sales Supervisor	Approved	11/23/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	11/23/2020
B	Arizona	Agent	Approved	01/21/2021
B	California	Agent	Approved	11/23/2020
IA	California	Investment Adviser Representative	Approved	11/23/2020
B	Colorado	Agent	Approved	11/23/2020
B	Connecticut	Agent	Approved	08/11/2021
B	Florida	Agent	Approved	11/23/2020
B	Georgia	Agent	Approved	12/23/2020
B	Hawaii	Agent	Approved	01/14/2022
B	Idaho	Agent	Approved	08/11/2021
B	Illinois	Agent	Approved	10/28/2021



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	08/20/2021
B Kansas	Agent	Approved	08/13/2021
B Kentucky	Agent	Approved	11/17/2021
B Michigan	Agent	Approved	11/23/2020
B Minnesota	Agent	Approved	08/11/2021
B Mississippi	Agent	Approved	01/09/2026
B Nevada	Agent	Approved	11/23/2020
B New Hampshire	Agent	Approved	09/10/2021
B New Jersey	Agent	Approved	11/23/2020
B New Mexico	Agent	Approved	12/06/2021
B New York	Agent	Approved	11/23/2020
B North Carolina	Agent	Approved	11/23/2020
B Ohio	Agent	Approved	11/23/2020
B Oklahoma	Agent	Approved	08/25/2021
B Oregon	Agent	Approved	11/23/2020
B Pennsylvania	Agent	Approved	01/26/2021
B South Carolina	Agent	Approved	08/11/2021
B South Dakota	Agent	Approved	01/13/2021
B Tennessee	Agent	Approved	08/11/2021



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	11/23/2020
IA Texas	Investment Adviser Representative	Approved	11/23/2020
B Utah	Agent	Approved	08/30/2021
B Virginia	Agent	Approved	08/11/2021
B Washington	Agent	Approved	09/10/2021
B Wisconsin	Agent	Approved	06/06/2022
B Wyoming	Agent	Approved	08/20/2021

Branch Office Locations

LPL FINANCIAL LLC
31225 LA BAYA DR STE 202
WESTLAKE VILLAGE, CA 91362





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 2 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	11/13/2000
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	11/13/2000

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	10/18/2001
 Futures Managed Funds Examination (S31)	Series 31	09/14/1998
 General Securities Representative Examination (S7)	Series 7	03/03/1997
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/18/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/16/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/18/1994



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	06/01/2009 - 11/25/2020	MORGAN STANLEY	CRD# 149777	WOODLAND HILLS, CA
IA	06/01/2009 - 11/25/2020	MORGAN STANLEY	CRD# 149777	WOODLAND HILLS, CA
B	05/31/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WOODLAND HILLS, CA
IA	05/31/2006 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	WOODLAND HILLS, CA
IA	07/29/1999 - 06/05/2006	MORGAN STANLEY	CRD# 7556	PURCHASE, NY
B	08/14/1998 - 06/05/2006	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	03/12/1998 - 08/13/1998	CIBC OPPENHEIMER CORP.	CRD# 630	NEW YORK, NY
B	04/08/1997 - 02/03/1998	BILTMORE SECURITIES, INC	CRD# 25023	FT. LAUDERDALE, FL
B	03/04/1997 - 04/14/1997	MURPHEY, MARSEILLES, SMITH & NAMMACK, INC.	CRD# 18032	NEW YORK, NY
B	02/22/1994 - 12/31/1996	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
11/2020 - Present	LPL Financial LLC	Registered Representative	Y	Westlake Village, CA, United States
01/2015 - 11/2020	MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
06/2009 - 11/2020	MORGAN STANLEY SMITH BARNEY	Mass Transfer	Y	LOS ANGELES, CA, United States
05/2006 - 11/2020	CITIGROUP GLOBAL MARKETS INC.	NON-PRODUCING BRANCH MGR	Y	WOODLAND HILLS, 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) 11/17/2020 - Prince Private Wealth - DBA for LPL Business (entity for LPL business) - inv rel - at reported business location(s) - start: 11/2020
- 2) 10/04/2021 - HUB Wealth LLC - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date: 10/23/2020 - 160 Hours Per Month/8 Hours During Securities Trading.
- 3) 02/24/2022 - J.L.Prince, Inc.- Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Start Date - 07/19/2021- 1 Hours Per Month/0 Hours During Securities Trading.
- 4) 07/19/2022 - PBC Private Wealth - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Advisor - Start Date - 07/16/2021 - 160 Hours Per Month/8 Hours During Securities Trading.
- 5) 08/15/2022- BKA & Associates- Investment Related - At Reported Business Location(s) - Non-Variable Insurance- Financial Advisor- Start Date- 08/11/2022- 1 Hours Per Month/ 1 Hours During Securities Trading
- 6) 08/17/2023 - Orion Capital - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 09/13/2023 - 240 Hours Per Month/ 240 Hours During Trading
- 7) 02/23/2024 - Cavalier Associates - Non-Variable Insurance - Financial Advisor - Investment Related - At Reported Business Location(s) - Start Date 02/16/2024 - 1 Hour Per Month/ 1 Hour During Trading
- 8) 12/27/2024 - PB California - Business Entity For Tax/Investment Purposes Only - Not Investment Related - At Reported Business Location(s) - Start Date 10/31/2024 - 1 hour per month/ during trading



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	3
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 3

Reporting Source:	Individual
Regulatory Action Initiated By:	California Department of Insurance
Sanction(s) Sought:	Suspension
Date Initiated:	12/07/2023
Docket/Case Number:	PLBS 15709-A
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	No Product
Allegations:	Representative failed to notify the Commissioner of changes in background information specifically concerning administrative actions from FINRA and the state of Maryland within thirty days as required under California Insurance Code Sections 1729.2(a) and 1729.2(d).
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:	12/07/2023



Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: Fifteen Days

Start Date: 01/22/2024

End Date: 02/05/2024

Disclosure 2 of 3

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MARYLAND

Sanction(s) Sought: Suspension

Date Initiated: 04/20/2023

Docket/Case Number: 2023-0124

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

Product Type: No Product

Allegations: On or about March 7, 2023, without admitting or denying the findings, Prince entered into an Acceptance, Waiver and Consent ("AWC") With FINRA wherein Prince consented to the entry of findings that he falsified the representative code for 586 trades in Morgan Stanley order entry system, causing Morgan Stanley trade confirmations to show an inaccurate representative code and as a result, he caused Morgan Stanley to maintain inaccurate books and records. The findings stated that Prince entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code that he shared with a retired representative. However, between August 2016 and February 2020, despite the fact that Morgan Stanley's system correctly prepopulated the trades with the joint representative code, Prince placed 586 trades in accounts that were covered by the agreement using another representative code that he shared with the retired representative, resulting in the Prince receiving a higher percentage of commissions that he was entitled to receive pursuant to the agreement. Morgan Stanley paid restitution of approximately \$17,000 to the retired representative, which is the approximate amount of additional commissions. Prince received as a result of changing the representative code on the trades. Prince received as a result of changing the representative code on the trades. Prince was suspended from FINRA in all capacities for a period of three (3) months, and agreed to pay a fine in the amount of \$5,000;

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: 06/05/2023

Sanctions Ordered: Revocation

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 03/21/2023

Docket/Case Number: [2020068820401](#)

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

Product Type: No Product

Allegations:

Without admitting or denying the findings, Prince consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by falsifying the representative code for trades in the firm's order entry system, causing the firm's trade confirmations to show an inaccurate representative code. The findings stated that Prince entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code that he shared with a retired representative. The agreement set forth what percentages of the commissions Prince and the retired representative earned on trades placed using the joint representative code. Although the firm's system correctly prepopulated the trades with the joint representative code Prince shared with the retired representative pursuant to the joint production agreement, Prince entered the transactions under a different code that he shared with the retired representative. As a result, the firm's trade confirmations for the trades reflected an inaccurate representative code, and Prince received a higher percentage of commissions than what he was entitled to receive pursuant to the joint production agreement. Prince mistakenly believed that the retired representative had previously agreed that he could change the representative codes so that Prince would receive higher percentages of commissions than what was set forth in the agreement. However, Prince did not do anything to confirm his understanding, such as asking the retired representative whether he could change the representative codes on the trades at issue or speaking with the firm. The firm has since paid restitution of approximately \$17,000 to the retired representative, which is the approximate amount of additional commissions that should have been credited to the retired representative if Prince had not changed the representative code on the trades.

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:

03/21/2023

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

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Three Months
Start Date:	04/17/2023
End Date:	07/16/2023

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/06/2023
Was any portion of penalty waived?	No
Amount Waived:	

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	03/21/2023
Docket/Case Number:	2020068820401
Employing firm when activity occurred which led to the regulatory action:	Morgan Stanley



Product Type:	No Product
Allegations:	<p>Without admitting or denying the findings, Prince consented to the sanctions and to the entry of findings that he caused his member firm to maintain inaccurate books and records by falsifying the representative code for trades in the firm's order entry system, causing the firm's trade confirmations to show an inaccurate representative code. The findings stated that Prince entered into an agreement through which he agreed to service certain customer accounts, including executing trades for those accounts, under a joint representative code that he shared with a retired representative. The agreement set forth what percentages of the commissions Prince and the retired representative earned on trades placed using the joint representative code. Although the firm's system correctly prepopulated the trades with the joint representative code Prince shared with the retired representative pursuant to the joint production agreement, Prince entered the transactions under a different code that he shared with the retired representative. As a result, the firm's trade confirmations for the trades reflected an inaccurate representative code, and Prince received a higher percentage of commissions than what he was entitled to receive pursuant to the joint production agreement. Prince mistakenly believed that the retired representative had previously agreed that he could change the representative codes so that Prince would receive higher percentages of commissions than what was set forth in the agreement. However, Prince did not do anything to confirm his understanding, such as asking the retired representative whether he could change the representative codes on the trades at issue or speaking with the firm. The firm has since paid restitution of approximately \$17,000 to the retired representative, which is the approximate amount of additional commissions that should have been credited to the retired representative if Prince had not changed the representative code on the trades.</p>
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:	03/21/2023
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	THREE MONTHS
Start Date:	04/17/2023
End Date:	07/16/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00



Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



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: MSSB

Termination Type: Discharged

Termination Date: 11/13/2020

Allegations: Allegations that the representative submitted transactions under production numbers that were inconsistent with agreement with another representative resulting in a shortfall of revenue credited to the other representative.

Product Type: No Product

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Reporting Source: Individual

Firm Name: MSSB

Termination Type: Discharged

Termination Date: 11/13/2020

Allegations: ALLEGATIONS THAT THE REPRESENTATIVE SUBMITTED TRANSACTIONS UNDER PRODUCTION NUMBERS THAT WERE INCONSISTENT WITH AGREEMENT WITH ANOTHER REPRESENTATIVE RESULTING IN A SHORTFALL OF REVENUE CREDITED TO THE OTHER REPRESENTATIVE.

Product Type: No Product



End of Report

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