



IAPD Report

KEITH ALLEN CAMERON

CRD# 2515534

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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

KEITH ALLEN CAMERON (CRD# 2515534)

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 **07/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	02/19/2025
IA	LPL FINANCIAL LLC	CRD# 6413	06/09/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	FINANCIAL ADVOCATES INVESTMENT MANAGEMENT	151298	LACEY, WA	05/14/2015 - 06/13/2025
IA	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	OLYMPIA, WA	10/28/1994 - 11/30/2004
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	08/31/1994 - 11/30/2004

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	8
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 1 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	02/19/2025
B Washington	Agent	Approved	04/01/2025
IA Washington	Investment Adviser Representative	Approved	06/09/2025

Branch Office Locations

LPL FINANCIAL LLC
612 WOODLAND SQUARE LOOP SE
STE 320
LACEY, WA 98503



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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 General Securities Representative Examination (S7TO)	Series 7TO	02/19/2025
 Securities Industry Essentials Examination (SIE)	SIE	01/06/2025
 General Securities Representative Examination (S7)	Series 7	08/30/1994

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/31/2025
 Uniform Investment Adviser Law Examination (S65)	Series 65	10/05/1994

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
IA	05/14/2015 - 06/13/2025	FINANCIAL ADVOCATES INVESTMENT MANAGEMENT	CRD# 151298	LACEY, WA
IA	10/28/1994 - 11/30/2004	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	OLYMPIA, WA
B	08/31/1994 - 11/30/2004	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
12/2024 - Present	CAMERON WEALTH MANAGEMENT	REGISTERED REPRESENTATIVE	Y	LACEY, WA, United States
12/2024 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	LACEY, WA, United States
05/2015 - Present	FINANCIAL ADVOCATES INVESTMENT MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	LACEY, WA, United States
05/2005 - Present	McSwain Financial Services, LLC	insurance agent	N	Lacey, WA, 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- 12/05/2024 - Mcswain Financial services - Non-Variable Insurance - inv r ltd - At reported Business location(s) - start 05/01/2005 - 5 hrs mnth
- 2- 12/05/2024 - Cameron Advisory Services - Business Entity For Tax/Investment Purposes Only - non inv r ltd - start 11/29/2014 - 160 hrs mnth 6 hrs during trading
- 3- 12/05/2024 - Notary - inv r ltd - start 09/30/2012 - 0.1 hrs mnth - 0.1 hrs during trading
- 4- 12/05/2024 - Cameron Wealth Management, Inc. - DBA for LPL Business (entity for LPL business) - inv r ltd - Start date: 03/01/2025 - 160 hrs mnth - 6 hrs 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
Customer Dispute	8
Termination	1

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 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH

Allegations: CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE MADE UNSUITABLE INVESTMENTS AND MISREPRESENTED MATERIAL FACTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Arbitration/Reparation

Status Date: 06/12/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER 06-02720



Date Notice/Process Served: 06/12/2006
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/20/2006
Monetary Compensation Amount: \$494,785.61
Individual Contribution Amount: \$0.00
Firm Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations: CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE MADE UNSUITABLE INVESTMENTS AND MISREPRESENTED MATERIAL FACTS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/12/2006
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD
Docket/Case #: 06-02720
Date Notice/Process Served: 06/12/2006
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/20/2006
Monetary Compensation Amount: \$494,785.61
Individual Contribution Amount: \$0.00
Broker Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

**Disclosure 2 of 8**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE MISREPRESENTATION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$120,000.00

Customer Complaint Information

Date Complaint Received: 09/21/2005

Complaint Pending? No

Status: Settled

Status Date: 12/27/2005

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Firm Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC

Allegations: CLIENT ALLEGES THAT FINANCIAL ADVISOR MADE MISREPRESENTATION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$120,000.00

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: 09/21/2005

Complaint Pending? No

Status: Settled

Status Date: 12/27/2005

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

Disclosure 3 of 8



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CUSTOMERS ALLEGE FA MISREPRESENTED MATERIAL FACTS AND MADE UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY-OTC

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received: 05/17/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/17/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 05-02362

Date Notice/Process Served: 05/17/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2005

Monetary Compensation Amount: \$645,000.00

Individual Contribution Amount: \$0.00

Firm Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CUSTOMERS ALLEGE FA MISREPRESENTED MATERIAL FACTS AND MADE UNSUITABLE INVESTMENTS.

Product Type: Equity-OTC

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/17/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 05-02362

Date Notice/Process Served: 05/17/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/2005

Monetary Compensation Amount: \$645,000.00

Individual Contribution Amount: \$0.00

Broker Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

Disclosure 4 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CLAIMANTS ALLEGE UNSUITABLE RECOMMENDATIONS AND INVESTMENTS IN THEIR ACCOUNTS.

Product Type: Equity - OTC

Alleged Damages: \$2,700,000.00

Customer Complaint Information

Date Complaint Received: 06/13/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/13/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 03-04007



Date Notice/Process Served: 06/13/2003
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/20/2004
Monetary Compensation Amount: \$1,750,000.00
Individual Contribution Amount: \$0.00
Broker Statement WE SETTLED THIS MATTER FOR BUSINESS REASONS.

Disclosure 5 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CUSTOMERS ALLEGE UNSUITABLE RECOMMENDATIONS AND INVESTMENTS IN THEIR ACCOUNT. ALLEGED DAMAGES UNSPECIFIED.
Product Type: Equity - OTC
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/27/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/13/2003
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 03-04007
Date Notice/Process Served: 06/13/2003
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/20/2004
Monetary Compensation Amount: \$1,750,000.00
Individual Contribution Amount: \$0.00
Broker Statement THIS ARBITRATION WAS PART OF A SINGLE CONSOLIDATED ACTION BROUGHT BY 21 CLAIMANTS (REFERENCE NASD ARBITRATION # 03-04007 IN THE MATTER OF [OTHER CUSTOMER NAMED], [OTHER CUSTOMER NAMED] ET AL VS. MERRILL LYNCH, PIERCE, FENNER & SMITH, INC. AND



KEITH CAMERON). THE SETTLEMENT AMOUNT REPRESENTS THE TOTAL PAID TO ALL 21 CLAIMANTS. THE [CUSTOMERS]' SHARE OF THE SETTLEMENT IS UNKNOWN.

Disclosure 6 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: CUSTOMERS ALLEGE UNSUITABLE INVESTMENTS IN THEIR ACCOUNT.

Product Type: Equity - OTC

Alleged Damages: \$157,000.00

Customer Complaint Information

Date Complaint Received: 01/23/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/13/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 03-04007

Date Notice/Process Served: 06/13/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/20/2004

Monetary Compensation Amount: \$1,750,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THIS ARBITRATION WAS PART OF A SINGLE CONSOLIDATED ACTION BROUGHT BY 21 CLAIMANTS (REFERENCE NASD ARBITRATION # 03-04007 IN THE MATTER OF [OTHER CUSTOMER NAMED], [OTHER CUSTOMER NAMED] ET AL VS. MERRILL LYNCH, PIERCE, FENNER & SMITH, INC. AND KEITH CAMERON). THE SETTLEMENT AMOUNT REPRESENTS THE TOTAL PAID TO ALL 21 CLAIMANTS. THE [CUSTOMERS]' SHARE OF THE SETTLEMENT IS UNKNOWN.

Disclosure 7 of 8

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: THE CUSTOMER ALLEGES THAT UNSUITABLE INVESTMENT RECOMMENDATIONS WERE MADE FOR THE ACCOUNT.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITIES

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 12/03/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/28/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement MERRILL LYNCH AND ITS FINANCIAL ADVISOR DENY THE ALLEGATIONS. BASED ON THE CUSTOMER'S REPEATED REFERENCES TO EVENTS IN THE MEDIA, IT IS CLEAR THAT THE ALLEGATIONS ARE AN ATTEMPT TO CAPITALIZE ON THE MEDIA ATTENTION AND ARE NOT RELATED TO ANY WRONGDOING BY THE FINANCIAL ADVISOR. MERRILL LYNCH DENIED CUSTOMER'S COMPLAINT IN JUNE 2003.

Disclosure 8 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH

Allegations: THE CUSTOMER ALLEGES CHURNING AND SUITABILITY IN CONNECTION WITH THE MANAGEMENT OF HIS ACCOUNT. DAMAGES UNSPECIFIED.

Product Type: Mutual Fund
Other: EQUITY

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: 12/26/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/13/2003



Settlement Amount:

Individual Contribution Amount:
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: THE CUSTOMER ALLEGES CHURNING AND SUITABILITY IN CONNECTION WITH THE MANAGEMENT OF HIS ACCOUNT. DAMAGES UNSPECIFIED.
Product Type: Mutual Fund
Other: EQUITY
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: 12/26/2002
Complaint Pending? No
Status: Closed/No Action
Status Date: 06/13/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement MERRILL LYNCH AND ITS FINANCIAL ADVISOR DENY THE ALLEGATIONS. THE CUSTOMERS WERE INVESTED IN A WELL-BALANCED PORTFOLIO AND VICTIMS OF THE GENERAL MARKET MALAISE. THE ALLEGATIONS ARE PURELY PERFORMANCE DRIVEN.



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: MERRILL LYNCH,PIERCE,FENNER&SMITH INC
Termination Type: Discharged
Termination Date: 11/01/2004
Allegations: MR. CAMERON'S EMPLOYMENT WAS TERMINATED ON NOVEMBER 1,2004,AFTER THE FIRM LEARNED THAT HE HAD RECOMMENDED UNSUITABLE INVESTMENTS IN CLIENTS' ACCOUNTS.
Product Type: Other
Other Product Types:

Reporting Source: Individual
Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Termination Type: Discharged
Termination Date: 11/01/2004
Allegations: MR. CAMERON'S EMPLOYMENT WAS TERMINATED ON NOVEMBER 1, 2004, AFTER THE FIRM LEARNED THAT HE HAD RECOMMENDED UNSUITABLE INVESTMENTS IN CLIENTS' ACCOUNTS.
Product Type: Equity-OTC



End of Report

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