IAPD Report

DANNY THOMAS OSSI

CRD# 2701406

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

DANNY THOMAS OSSI (CRD# 2701406)

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 **06/08/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	04/11/2011
IA	J. W. COLE ADVISORS, INC.	CRD# 112294	07/18/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	TAMPA, FL	04/21/2009 - 04/08/2011
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	TAMPA, FL	04/13/2007 - 04/08/2011
IA	RAYMOND JAMES FINANCIAL SERVICES	6694	TAMPA, FL	05/08/2007 - 10/10/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 124583

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/11/2011
B	California	Agent	Approved	07/19/2011
B	Florida	Agent	Approved	07/18/2011
B	South Carolina	Agent	Approved	09/26/2011
B	Washington	Agent	Approved	06/08/2021

Branch Office Locations

1810 S. MACDILL AVE.
SUITE 5
TAMPA, FL 33629

Employment 2 of 2

Firm Name: **J. W. COLE ADVISORS, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 112294

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/18/2011

Qualifications

Branch Office Locations

J. W. COLE ADVISORS, INC.
1810 S. MACDILL AVE.
SUITE 5
TAMPA, FL 33629

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/14/1996

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/29/1996

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	04/21/2009 - 04/08/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	TAMPA, FL
B	04/13/2007 - 04/08/2011	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	TAMPA, FL
IA	05/08/2007 - 10/10/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	TAMPA, FL
IA	03/21/1996 - 04/16/2007	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	TAMPA, FL
B	03/15/1996 - 04/16/2007	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	TAMPA, FL

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
04/2011 - Present	J.W. COLE FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	TAMPA, FL, United States
04/2011 - Present	JONATHAN ROBERTS ADVISORY GROUP, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	TAMPA, FL, United States
12/2010 - Present	OSSI CONSULTING ENGINEER, INC.	DIRECTOR	N	TAMPA, FL, 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. SEVEN PALMS HOME OWNERS ASSOCIATION - TAMPA, FL. PRESIDENT - 0 HOURS WEEKLY, 0 DURING TRADING HOURS. NOT INVESTMENT RELATED.

2. RENTAL PROPERTY / 0 HOURS PER WEEK / ANTICIPATED ANNUAL INCOME: $21,600 / NON-INVESTMENT RELATED

3. A) FIXED LIFE INSURANCE B. 1 HR/MONTH C. NON COMPANY/OFFICER POSITION D. NO CLIENT INVOLVEMENT

4. A) D/B/A OSSI FINANCIAL B) INVESTMENT RELATED C) 1810 S MACDILL AVE STE 5 D) FINANCIAL PLANNING E) FINANCIAL ADVISOR F) APRIL 2011 G) 160 HOURS PER MONTH / DURING TRADING HOURS

5. TOMA, LLC - INVESTMENT RELATED - 1810 S MACDILL AVE SUITE 5 TAMPA, FL 33629 - LLC WITH BROTHERS TO MANAGE PROPERTY - 7/15/19 - 1 HR PER MONTH - NONE DURING TRADING HRS

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	5

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES,INC

Allegations: NEGLIGENT MISREPRESENTATION, FRAUDULENT MISREPRESENTATION, CIVIL THEFT AND/OR VIOLATION OF FLORIDA CIVIL RICO ACT.

Product Type: No Product

Alleged Damages: $0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/23/2011

Complaint Pending? No

Status: Denied

Status Date: 11/25/2011

Settlement Amount:

Individual Contribution Amount:

Firm Statement CUSTOMER COMPLAINT WAS DENIED, NO FURTHER ACTION TAKEN.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	NEGLIGENT MISREPRESENTATION, FRAUDULENT MISREPRESENTATION, CIVIL THEFT AND/OR VIOLATION OF FLORIDA CIVIL RICO ACT.
Product Type:	No Product
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/08/2011
Complaint Pending?	No
Status:	Denied
Status Date:	12/08/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC
Allegations:	UNSUITABILITY, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATIONS AND OMISSIONS, FAILURE TO SUPERVISE AND FRAUD; FLORIDA SECURITIES FRAUD
Product Type:	Other: ETF
Alleged Damages:	$120,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-01824
Date Notice/Process Served:	05/20/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/03/2012

Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Firm Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC
Allegations:	UNSUITABILITY, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATIONS AND OMISSIONS, FAILURE TO SUPERVISE AND FRAUD, FLORIDA SECURITIES FRAUD.
Product Type:	Other: ETF
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
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-01824
Filing date of arbitration/CFTC reparation or civil litigation:	05/06/2011

Customer Complaint Information

Date Complaint Received:	05/09/2011
Complaint Pending?	No
Status:	Settled
Status Date:	05/09/2011
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-01824
Date Notice/Process Served:	05/09/2011

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/18/2012
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	RJFS SETTLED THIS CASE FOR NUISANCE VALUE: A BUSINESS DECISION THAT IS LESS THAN THE COST OF LITIGATION, FOR BUSINESS PURPOSES. MR. OSSI CONTINUE'S TO DENY ANY WRONG DOING. MR. OSSI CONTRIBUTED $0.

Disclosure 3 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATION AND OMISSION, FAILURE TO SUPERVISE AND FRAUD
Product Type:	Other: MANAGED FEE BASED ACCOUNT
Alleged Damages:	$280,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00622
Date Notice/Process Served:	02/28/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/03/2012
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	$0.00
Firm Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC

Allegations:	NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATION AND OMISSION, FAILURE TO SUPERVISE AND FRAUD
Product Type:	Other: MANAGED FEE BASED ACCOUNT
Alleged Damages:	$280,000.00
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:	12/30/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/28/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00622
Date Notice/Process Served:	02/28/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/18/2012
Monetary Compensation Amount:	$10,000.00
Individual Contribution Amount:	$0.00
Broker Statement	RJFS SETTLED THIS CASE FOR NUISANCE VALUE: A BUSINESS DECISION THAT IS LESS THAN THE COST OF LITIGATION, FOR BUSINESS PURPOSES. MR. OSSI CONTINUE'S TO DENY ANY WRONG DOING. MR. OSSIE CONTRIBUTED $0.

Disclosure 4 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC. AND RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	ALLEGATIONS: SOLICITATION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATIONS AND OMISSIONS, FRAUD; ACTIVITY DATES: 12/15/98 - 5/29/09.

Product Type:	Other: REAL ESTATE VENTURE, ETF
Alleged Damages:	$1,600,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No
Arbitration/Reparation forum or court name and location:	
Docket/Case #:	
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2010

Customer Complaint Information

Date Complaint Received:	11/22/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/14/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION, BOCA RATON, FL
Docket/Case #:	11-00316
Date Notice/Process Served:	02/14/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/02/2012
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$0.00
Firm Statement	AMOUNT REFLECTED UNDER INDIVIDUAL CONTRIBUTION IS AMOUNT THE FA IS REQUIRED TO PAY PURSUANT TO CONTRACT SIGNED BY INDIVIDUAL. THIS AMOUNT MAY BE REDUCED BY ERRORS AND OMISSIONS INSURANCE PENDING A FINAL DETERMINATION BY THE E&O COMMITTEE AS TO COVERAGE.

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC. AND RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	ALLEGATIONS: SOLICITATION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATIONS AND OMISSIONS, FRAUD; ACTIVITY DATES: 12/15/98 - 5/29/09.
Product Type:	Other: REAL ESTATE VENTURE, ETF
Alleged Damages:	$1,600,000.00
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:	11/22/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/14/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION, BOCA RATON, FL
Docket/Case #:	11-00316
Date Notice/Process Served:	02/14/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/02/2012
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC. AND RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	ALLEGATIONS: SOLICITATION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MATERIAL MISREPRESENTATIONS AND OMISSIONS, FRAUD; ACTIVITY DATES 12/15/98 - 5/29/09.
Product Type:	Other: REAL ESTATE VENTURE, ETF

Alleged Damages:	$1,600,000.00
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:	11/22/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/14/2011
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION, BOCA RATON, FL
Docket/Case #:	11-00316
Date Notice/Process Served:	02/14/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/02/2012
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$0.00
Broker Statement	RJFS SETTLED THIS CASE FOR NUISANCE VALUE: A BUSINESS DECISION THAT IS LESS THAN THE COST OF LITIGATION, FOR BUSINESS PURPOSES. MR. OSSI CONTINUE'S TO DENY ANY WRONG DOING. MR. OSSI CONTRIBUTED $0.

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $10,000 OR MORE.** **SUITABILITY** CLIENT ALLEGES THAT HE MADE AN INITIAL INVESTMENT OF $50,000, PRIMARILY INVESTED IN MICROSOFT. OVER THE NEXT FEW YEARS, DANNY OSSI ENCOURAGED CLIENT TO INVEST IN OTHER EQUITIES. CLIENT WITHDREW $20,000 FROM THE ACCOUNT ON MARGIN. CLIENT ALSO BEGAN PURCHASING SECURITIES ON MARGIN. CUSTOMER DOES

	NOT SPECIFY AN AMOUNT OF DAMAGES. THE FIRM ESTIMATES OVER $5,000 IN DAMAGE.
Product Type:	Other
Other Product Type(s):	STOCKS
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	04/04/2002
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/11/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR $10,000 OR MORE.** FIRM DETERMINED THAT CLAIM WAS ABANDONED ON 10/11/02.

End of Report

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