



IAPD Report

RONALD C CAMET JR

CRD# 2752497

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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

RONALD C CAMET JR (CRD# 2752497)

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 **08/19/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	09/11/2002
IA	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	09/19/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	UBS PAINWEBBER INC.	8174	WEEHAWKEN, NJ	09/24/1996 - 09/10/2002

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
Customer Dispute	8



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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALLSTATE FINANCIAL ADVISORS, LLC**
Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508
Firm ID#: 109524

	Regulator	Registration	Status	Date
IA	Louisiana	Investment Adviser Representative	Approved	09/19/2023

Branch Office Locations

ALLSTATE FINANCIAL ADVISORS, LLC
3525 N Causeway Blvd Ste 617
Metairie, LA 70002-3635

Employment 2 of 2

Firm Name: **ALLSTATE FINANCIAL SERVICES, LLC**
Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508-1380
Firm ID#: 18272

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/11/2002
B	Alabama	Agent	Approved	02/03/2022
B	Arkansas	Agent	Approved	09/09/2020
B	California	Agent	Approved	03/28/2023
B	Colorado	Agent	Approved	10/21/2019
B	Florida	Agent	Approved	05/16/2018



Qualifications

Regulator	Registration	Status	Date
B Georgia	Agent	Approved	03/08/2021
B Louisiana	Agent	Approved	09/27/2002
B Mississippi	Agent	Approved	01/19/2006
B North Carolina	Agent	Approved	09/24/2021
B South Carolina	Agent	Approved	01/06/2022
B Tennessee	Agent	Approved	11/08/2006
B Texas	Agent	Approved	09/11/2002

Branch Office Locations

3525 N CAUSEWAY BLVD STE 617
METAIRIE, LA 70002-3635



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 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	09/23/1996
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/23/1996
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 Uniform Securities Agent State Law Examination (S63)	Series 63	10/07/1996
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	09/24/1996 - 09/10/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2023 - Present	Allstate Financial Advisors LLC	Representative	Y	Lincoln, NE, United States
09/2002 - Present	ALLSTATE INSURANCE CO	AGENT	N	NORTHBROOK, IL, United States
09/2002 - Present	Allstate Financial Services LLC	Agent	Y	Lincoln, NE, United States
09/2002 - Present	LSA Securities Inc	Agent	Y	Lincoln, NE, United States
03/2006 - 01/2022	BEAMM ENTERPRISES LLC	PRESIDENT	N	NEW ORLEANS, LA, 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.

TRAILING COMMISSIONS FROM EVERLAKE, LBL, WILTON RE AND THE STANDARD
 POSITION: Agent NATURE: Servicing Allstate legacy business for Everlake, LBL, Wilton Re and The Standard accounts.
 INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/01/2025
 ADDRESS: 3525 N Causeway Blvd, Suite 617, Metairie LA 70003, United States
 DESCRIPTION: Servicing customers for Allstate legacy business.



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

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: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER VERBALLY COMPLAINS OF UNSUITABLE INVESTMENTS IN APRIL 2000 TO MAY 2002. DAMAGES UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/18/2005

Complaint Pending? No

Status: Settled

Status Date: 07/18/2005

Settlement Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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



Allegations: CUSTOMER VERBALLY COMPLAINS OF UNSUITABLE INVESTMENTS IN APRIL 2000 TO MAY 2002. DAMAGES UNSPECIFIED.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/18/2005

Complaint Pending? No

Status: Settled

Status Date: 07/18/2005

Settlement Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER ALLEGES THAT MR. CAMET RECOMMENDED UNSUITABLE AND RISKY TECHNOLOGY STOCKS.

Product Type: Equity - OTC

Alleged Damages: \$130,401.33

Customer Complaint Information

Date Complaint Received: 02/17/2005

Complaint Pending? No

Status: Settled

Status Date: 06/03/2005

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER ALLEGES THAT MR CAMET RECOMMENDED UNSUITABLE AND RISKY TECHNOLOGY STOCKS

Product Type: Equity - OTC

Alleged Damages: \$130,401.33

Customer Complaint Information

Date Complaint Received: 02/17/2005



Complaint Pending? No
Status: Settled
Status Date: 06/03/2005
Settlement Amount: \$60,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER VERBALLY COMPLAINED THAT FINANCIAL ADVISOR (FA) INVESTED HER HUSBAND'S RETIREMENT FUNDS IN SPECULATIVE TECHNOLOGY STOCKS. SHE ALSO COMPLAINED THAT FA TRADED STOCKS WITHOUT OBTAINING CLIENT'S PRIOR APPROVAL.

Product Type: Equity - OTC
Alleged Damages: \$94,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2004
Complaint Pending? No
Status: Settled
Status Date: 08/11/2004
Settlement Amount: \$40,000.00
Individual Contribution Amount: \$0.00

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

Allegations: CUSTOMER VERBALLY COMPLAINED THAT FINANCIAL ADVISOR (FA) INVESTED HER HUSBAND'S RETIREMENT FUNDS IN SPECULATIVE TECHNOLOGY STOCKS, SHE ALSO COMPLAINED THAT FA TRADED STOCKS WITHOUT OBTAINING CLIENTS'T'S PRIOR APPROVAL

Product Type: Equity - OTC
Alleged Damages: \$94,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2004
Complaint Pending? No
Status: Settled
Status Date: 08/11/2004



Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Broker Statement PRIOR TO HIS DETH, [OTHER CUSTOMER NAMED]NEVER VOICED CONCERN ABOUT HIS ACCOUNT. AFTER HIS DEATH I ASKED CUSTOMER IF SHE WANTED TO MAINTAIN THE SAME TYPE OF ACCOUNT AND SHE SAID "YES". ALL TRADES WERE DISCUSSED WITH EITHER CUSTOMER OR CUSTOMER.

Disclosure 4 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: RETIRE TEXACO EMPLOYEE VERBALLY ALLEGES UNAUTHORIZED TRADING AND THAT FINANCIAL ADVISOR IMPROPERLY INVESTED HIS RETIREMENT FUNDS IN SPECULATIVE TECHNOLOGY STOCKS.

Product Type: Equity - OTC

Alleged Damages: \$240,000.00

Customer Complaint Information

Date Complaint Received: 01/24/2004

Complaint Pending? No

Status: Settled

Status Date: 05/12/2004

Settlement Amount: \$130,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS/PAINE WEBBER

Allegations: UNAUTHORIZED TRADING; FAILURE TO FOLLOW INSTRUCTIONS; VERBAL COMPLAINT RECEIVED 1/24/03, CUSTOMER HAD MANY UNSOLICITED TRADES DURING HIS 3 YEAR STAY

Product Type: Equity - OTC

Alleged Damages: \$240,000.00

Customer Complaint Information

Date Complaint Received: 01/24/2004

Complaint Pending? No

Status: Settled

Status Date: 05/12/2004

Settlement Amount: \$130,000.00



Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: FORMER CUSTOMER, THROUGH ATTORNEY ALLEGES THAT INVESTMENTS WERE UNSUITABLE AND INCONSISTENT WITH HER RISK TOLERANCE.

Product Type: Equity - OTC

Alleged Damages: \$69,167.62

Customer Complaint Information

Date Complaint Received: 01/16/2004

Complaint Pending? No

Status: Settled

Status Date: 03/19/2009

Settlement Amount: \$9,999.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS/PAINE WEBBER

Allegations: FORMER CUSTOMER VIA WRITTEN LETTER THROUGH ATTORNEY ALLEGES THAT INVESTMENTS WERE UNSUITABLE AND INCONSISTENT WITH RISK TOLERANCE

Product Type: Equity - OTC

Alleged Damages: \$69,167.62

Customer Complaint Information

Date Complaint Received: 01/16/2004

Complaint Pending? No

Status: Settled

Status Date: 03/19/2009

Settlement Amount: \$9,999.00

Individual Contribution Amount: \$0.00

Broker Statement [CUSTOMER] AND I DISCUSSED HIS PORTFOLIO IN DETAIL. HE NEVER HAD PROBLEMS WITH THE IRA. CUSTOMER ACQUIRED OWER OF ATTORNEY WHEN [CUSTOMER] BECAME SICK. WHEN SHE WANTED TO SELL SOME INVESTMENTS, THEY WERE SOLD.

**Disclosure 6 of 8**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: FORMER CUSTOMER ALLEGES THAT RONALD CAMET INVESTED CUSTOMER'S RETIREMENT FUNDS UNWISELY, ALTHOUGH CUSTOMER MADE IT CLEAR TO MR. CAMET THAT HE DID NOT WANT TO RISK HIS FUNDS.

Product Type: Equity - OTC

Alleged Damages: \$140,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2003

Complaint Pending? No

Status: Settled

Status Date: 01/31/2005

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: PETITION FOR WRIT OF INJUNCTION FILED IN 23RD JUDICIAL DISTRICT COURT, PARISH OF LOUISIANA
DOCKET # 00075978D

Date Notice/Process Served: 08/25/2003

Litigation Pending? No

Disposition: Other

Disposition Date: 11/13/2003

Firm Statement ON 11/13/03 THE COURT STAYED LITIGATION PENDING BINDING ARBITRATION. THE CUSTOMER DID NOT FILE FOR ARBITRATION. ON 1/31/05 THE CASE SETTLED AT MEDIATION.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS/PAINE WEBBER

Allegations: FORMER CUSTOMER ALLEGES THAT RONLAD CAMET INVESTE CUSTOMERS RETIREMENT FUNDS UNWISELY. ALTHOUGHT CUSTOMER MADE IT CLEAR TO MR CAMET THAT HE DID NOT WAT TO RISK HIS FUNDS.

Product Type: Equity - OTC

Alleged Damages: \$140,000.00

Customer Complaint Information



Date Complaint Received: 07/15/2003

Complaint Pending? No

Status: Settled

Status Date: 01/31/2005

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: PETITION FOR WRIT OF INJUNCTION FILED IN 23RD JUDICIAL DISTRICT COURT, PARISH OF LOUISIANA DOCKET# 00075978D

Date Notice/Process Served: 08/25/2003

Litigation Pending? No

Disposition: Other

Disposition Date: 11/13/2003

Broker Statement ON 11/15/2003 THE COURT STAYED LITIGATION PENDING ARBITRATION. CASE GOING TO MEDIATION

Disclosure 7 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CUSTOMER ASSERTS VARIOUS STATUTORY AND COMMON LAW THEORIES OF LIABILITY RELATED TO ALLEGED ASSET MISALLOCATION IN RETIREMENT ACCOUNT. CUSTOMER SEEKS COMPENSATION BETWEEN \$100,000 TO \$500,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; CASE# 04-00377

Date Notice/Process Served: 01/26/2004

Arbitration Pending? No



Disposition: Settled
Disposition Date: 09/01/2004
Monetary Compensation Amount: \$90,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS/PAINWEBBER

Allegations: ALLEGED ASSET MISALLOCATION IN RETIREMENT ACCOUNT. SEVERAL PORTFOLIOS AND THE ASSOCIATED RISK WITH EACH PORTFOLIO WERE DISCUSSED I THE INITIAL MEETINGS AS WELL AS BEING CONTAINED IN THE SEMINAR PRESENTATION. UBS/PAINWEBBER MARKET STRATEGIST INFORMATION AND ANALYST RECOMMENDATIONS WERE FOLLOWED. MR [CUSTOMER] DISCUSSED AND SEVERAL METTINGS AND PHONE CONVERSATIONS WERE HELD OVER THE TWO YEAR PERIOD TO DISCUSS THE PROTFOLO.

Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 01/26/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/26/2004
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 04-00377
Date Notice/Process Served: 01/26/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 09/01/2004
Monetary Compensation Amount: \$90,000.00
Individual Contribution Amount: \$0.00

Disclosure 8 of 8

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEGE THAT THE INVESTMENTS MADE IN THEIR ACCOUNTS WERE NOT SUITABLE AND ASSERT VARIOUS COMMON LAW AND STATUTORY CAUSES OF ACTION.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/03/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/03/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DOCKET #02-02942

Date Notice/Process Served: 06/03/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/24/2003

Monetary Compensation Amount: \$132,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLAIMANTS ALLEGE THAT THE INVESTMENTS MADE IN THEIR ACCOUNTS WERE NOT SUITABLE AND ASSERT VARIOUS COMMON LAW AND STATUTORY CAUSES OF ACTION. CLIENTS THAT MADE OWN DECISIONS AND STATE ON NEW ACCOUNT PAPERWORK THAT THEY WANTED TO BE EITHER MODERATELY AGGRESSIVE OR AGGRESSIVE COMPLAINED AFTER LOSING MONEY IN BOTH CASES, CLIENTS HELD INVESTMENTS IN AND ADDED TO THEM IN 2000.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/03/2002



Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/03/2002
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DOCKET #02-02942
Date Notice/Process Served:	06/03/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/24/2003
Monetary Compensation Amount:	\$132,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	ALL SOLICITED TRADES WERE DISCUSSED AND APPROVED BY LARRY AND MADELINE BUSINELLE



End of Report

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