



## IAPD Report

# TERRY PHILIP COLE JR

CRD# 2790843

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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

### TERRY PHILIP COLE JR (CRD# 2790843)

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 **05/01/2026**.

### CURRENT EMPLOYERS

|    | Firm           | CRD#        | Registered Since |
|----|----------------|-------------|------------------|
| B  | MORGAN STANLEY | CRD# 149777 | 10/12/2012       |
| IA | MORGAN STANLEY | CRD# 149777 | 10/19/2012       |

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **38** 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 | UBS FINANCIAL SERVICES INC. | 8174 | INDIANAPOLIS, IN | 06/30/2008 - 10/22/2012 |
| B  | UBS FINANCIAL SERVICES INC. | 8174 | INDIANAPOLIS, IN | 06/17/2008 - 10/22/2012 |
| B  | SALOMON SMITH BARNEY INC.   | 7059 | NEW YORK, NY     | 09/29/2000 - 05/07/2002 |

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

### DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

| Type             | Count |
|------------------|-------|
| Regulatory Event | 3     |
| Criminal         | 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 **38** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **MORGAN STANLEY**  
Main Address: 2000 WESTCHESTER AVENUE  
PURCHASE, NY 10577-2530  
Firm ID#: 149777

| Regulator                        | Registration                      | Status   | Date       |
|----------------------------------|-----------------------------------|----------|------------|
| <b>B</b> FINRA                   | General Securities Representative | Approved | 10/12/2012 |
| <b>B</b> NYSE American LLC       | General Securities Representative | Approved | 10/12/2012 |
| <b>B</b> Nasdaq Stock Market     | General Securities Representative | Approved | 10/12/2012 |
| <b>B</b> New York Stock Exchange | General Securities Representative | Approved | 10/12/2012 |
| <b>B</b> Alabama                 | Agent                             | Approved | 05/04/2026 |
| <b>B</b> Alaska                  | Agent                             | Approved | 05/11/2026 |
| <b>B</b> Arizona                 | Agent                             | Approved | 05/08/2026 |
| <b>B</b> California              | Agent                             | Approved | 10/12/2012 |
| <b>B</b> Colorado                | Agent                             | Approved | 10/12/2012 |
| <b>B</b> Connecticut             | Agent                             | Approved | 10/12/2012 |
| <b>B</b> District of Columbia    | Agent                             | Approved | 05/15/2024 |
| <b>B</b> Florida                 | Agent                             | Approved | 10/31/2012 |
| <b>B</b> Georgia                 | Agent                             | Approved | 10/12/2012 |



### Qualifications

| Regulator       | Registration                      | Status   | Date       |
|-----------------|-----------------------------------|----------|------------|
| B Hawaii        | Agent                             | Approved | 05/21/2026 |
| B Illinois      | Agent                             | Approved | 10/12/2012 |
| B Indiana       | Agent                             | Approved | 10/19/2012 |
| IA Indiana      | Investment Adviser Representative | Approved | 10/19/2012 |
| B Iowa          | Agent                             | Approved | 05/04/2026 |
| B Kentucky      | Agent                             | Approved | 05/04/2026 |
| B Louisiana     | Agent                             | Approved | 05/01/2026 |
| B Maine         | Agent                             | Approved | 05/04/2026 |
| B Maryland      | Agent                             | Approved | 05/11/2026 |
| B Massachusetts | Agent                             | Approved | 10/12/2012 |
| B Michigan      | Agent                             | Approved | 06/11/2020 |
| B Minnesota     | Agent                             | Approved | 10/12/2012 |
| B Mississippi   | Agent                             | Approved | 05/07/2026 |
| B Missouri      | Agent                             | Approved | 08/18/2016 |
| B Nebraska      | Agent                             | Approved | 05/25/2018 |
| B Nevada        | Agent                             | Approved | 05/04/2026 |
| B New Hampshire | Agent                             | Approved | 05/06/2026 |
| B New Mexico    | Agent                             | Approved | 10/12/2012 |
| B New York      | Agent                             | Approved | 01/06/2026 |



### Qualifications

| Regulator               | Registration                      | Status              | Date       |
|-------------------------|-----------------------------------|---------------------|------------|
| <b>B</b> North Carolina | Agent                             | Approved            | 11/07/2017 |
| <b>B</b> North Dakota   | Agent                             | Approved            | 05/07/2026 |
| <b>B</b> Ohio           | Agent                             | Approved            | 10/12/2012 |
| <b>B</b> Oregon         | Agent                             | Approved            | 10/12/2012 |
| <b>B</b> Pennsylvania   | Agent                             | Approved            | 05/04/2026 |
| <b>B</b> Puerto Rico    | Agent                             | Approved            | 05/11/2026 |
| <b>B</b> South Carolina | Agent                             | Approved            | 09/28/2017 |
| <b>B</b> Texas          | Agent                             | Approved            | 01/23/2018 |
| <b>IA</b> Texas         | Investment Adviser Representative | Restricted Approval | 03/26/2020 |
| <b>B</b> Utah           | Agent                             | Approved            | 05/04/2026 |
| <b>B</b> Virginia       | Agent                             | Approved            | 10/12/2012 |
| <b>B</b> Wisconsin      | Agent                             | Approved            | 01/12/2016 |

### Branch Office Locations

**MORGAN STANLEY**  
800 East 96th Street  
Suite 400  
Indianapolis, IN 46240



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

|  | Exam   | Category  | Date       |
|--|--|-----------|------------|
|  | General Securities Principal Examination (S24) | Series 24 | 01/05/1999 |

#### General Industry/Product Exams

|  | Exam   | Category | Date       |
|--|--|----------|------------|
|  | Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
|  | General Securities Representative Examination (S7) | Series 7 | 06/16/2008 |

#### State Securities Law Exams

|  | Exam   | Category  | Date       |
|--|--|-----------|------------|
|  | Uniform Combined State Law Examination (S66)         | Series 66 | 06/27/2008 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 07/30/1996 |
|  | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 07/29/1996 |

### 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  |
|----|-------------------------|-----------------------------------|------------|------------------|
| IA | 06/30/2008 - 10/22/2012 | UBS FINANCIAL SERVICES INC.       | CRD# 8174  | INDIANAPOLIS, IN |
| B  | 06/17/2008 - 10/22/2012 | UBS FINANCIAL SERVICES INC.       | CRD# 8174  | INDIANAPOLIS, IN |
| B  | 09/29/2000 - 05/07/2002 | SALOMON SMITH BARNEY INC.         | CRD# 7059  | NEW YORK, NY     |
| B  | 09/17/1997 - 12/12/2000 | KEY STAR SECURITIES, INCORPORATED | CRD# 40896 | INDIANAPOLIS, IN |

#### 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               |
|-------------------|---|-------------------|--------------------|---------------------------------|
| 01/2015 - Present | MORGAN STANLEY PRIVATE BANK, NATIONAL ASSOCIATION | FINANCIAL ADVISOR | Y                  | NEW YORK, NY, United States     |
| 10/2012 - Present | MORGAN STANLEY                                    | FINANCIAL ADVISOR | Y                  | INDIANAPOLIS, IN, 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. D2D; DIRECTOR; NON-INVESTMENT RELATED; INDIANAPOLIS; IN LIFE SCIENCES R&D DIRECTOR AND 2% OWNER; 2003; 2-4 HRS PER MONTH; 0 HRS PER MONTH DURING TRADING HRS; GENERAL BUSINESS ADVICE
2. 17-0 MIAMI DOLPHINS LLC INHERITED MY DECEASED FATHERS SHARES IN THIS ENTITY. PASSIVE INVESTMENT
4. ALLGREENDEVELOPMENT; REAL ESTATE HOLDING CO W/MY WIFE
5. COLE-CHEM CORPORATION; PART OWNER; PROMOTION; DURING BUSINESS HOURS- 0, AFTER BUSINESS HOURS- 2; START DATE: 2005; DIVERSIFIED SPECIALTY CHEMICAL COMPANY; NOT INVESTMENT RELATED; HOUSTON, TX



## 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     |
| Criminal         | 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:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 04/29/2004

**Docket/Case Number:** C8A040026

**Employing firm when activity occurred which led to the regulatory action:** KEY STAR SECURITIES, INCORPORATED

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD CONDUCT RULE 2110 - RESPONDENT COLE FAILED TO TIMELY UPDATE HIS UNIFORM APPLICATION FOR SECURITIES REGISTRATION OR TRANSFER (FORM U4) TO DISCLOSE MATERIAL INFORMATION.

**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:** 04/29/2004  
**Sanctions Ordered:** Suspension  
**Other Sanctions Ordered:**  
**Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, COLE CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPCAITY FOR 3 MONTHS. SUSPENSION EFFECTIVE JUNE 7, 2004 THROUGH SEPTEMBER 6, 2004.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD  
**Sanction(s) Sought:** Suspension  
**Other Sanction(s) Sought:** 3 MONTHS  
**Date Initiated:** 04/29/2004  
**Docket/Case Number:** C8A040026  
**Employing firm when activity occurred which led to the regulatory action:** KEY STAR SECURITIES AND SALOMON SMITH BARNEY  
**Product Type:** No Product  
**Other Product Type(s):**  
**Allegations:** UNTIMELY UPDATE OF U-4  
**Current Status:** Final  
**Resolution:** Acceptance, Waiver & Consent(AWC)  
**Resolution Date:** 04/29/2004  
**Sanctions Ordered:** Suspension  
**Other Sanctions Ordered:**  
**Sanction Details:** SUSPENDED FOR 3 MONTHS IN SUMMER OF 2004. I HAD RESIGNED FROM SMITH BARNEY, AND THE INDUSTRY, IN APRIL 2002. THUS, I WAS NOT IN THE INDUSTRY AT THE TIME OF THE SUSPENSION.  
**Broker Statement** I WAS TOLD BY [FINRA OFFICIAL], HEAD OF NASD CHICAGO AT THE TIME, THAT IT WAS JUST A FORMALITY THAT NEEDED TO BE DONE.

### Disclosure 2 of 3

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.  
**Sanction(s) Sought:** Revocation  
**Other Sanction(s) Sought:**  
**Date Initiated:** 07/31/2002



**Docket/Case Number:** C8A020015

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILED TO PAY FINES AND/OR COSTS IN NASD CASE #C8A020015.

**Current Status:** Final

**Resolution:** Other

**Resolution Date:** 07/31/2002

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NASD REGISTRATION REVOKED ON JULY 31, 2002.

COLE'S REVOCATION WAS RESCINDED 2/07/08. HE PAID HIS FINE IN FULL ON 2/7/08.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:** Revocation

**Other Sanction(s) Sought:**

**Date Initiated:** 07/31/2002

**Docket/Case Number:** C8A020015

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILED TO PAY FINES AND/OR COSTS IN NASD CASE #C8A020015

**Current Status:** Final

**Resolution:** Other

**Resolution Date:** 07/31/2002

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NASD REGISTRATION REVOKED ON JULY 31, 2002. COLE'S REVOCATION WAS RESCINDED 2/07/08. HE PAID HIS FINE IN FULL ON 2/7/08.



**Disclosure 3 of 3**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Date Initiated:** 03/07/2002

**Docket/Case Number:** C8A020015

**Employing firm when activity occurred which led to the regulatory action:** KEY STAR SECURITIES, INCORPORATED

**Product Type:** No Product

**Allegations:** NASD RULES 2110 AND 3110(A) - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT TERRY PHILIP COLE, JR. ("RESPONDENT") CONSENTED TO THE ENTRY OF FINDINGS THAT HE, ACTING THROUGH MEMBER FIRM, FAILED TO COMPLY WITH SEC RULE, IN THAT MEMBER FIRM USED THE MAILS OR OTHER MEANS OR INSTRUMENTALITIES OF INTERSTATE COMMERCE TO EFFECT TRANSACTIONS IN SECURITIES WHEN MEMBER FIRM FAILED TO MAINTAIN THE MINIMUM REQUIRED NET CAPITAL. THE RESPONDENT, ACTING THROUGH MEMBER FIRM, ALSO FAILED TO COMPLY WITH SEC RULE, IN THAT MEMBER FIRM PREPARED INACCURATE TRIAL BALANCES AND NET CAPITAL COMPUTATIONS. IN ADDITION TO THE ABOVE, THE RESPONDENT, ACTING THROUGH MEMBER FIRM, FAILED TO COMPLY WITH SEC RULE, IN THAT MEMBER FIRM FILED WITH THE NASD FOCUS PART IIA QUARTERLY REPORTS, WHICH WERE INACCURATE IN THAT, AMONG OTHER THINGS, THE REPORTS OVERSTATED THE MEMBER FIRM'S NET CAPITAL.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 03/07/2002

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

**Regulator Statement** CENSURES, AND JOINT AND SEVERAL FINE OF \$7,500. NASD REGISTRATION REVOKED FOR FAILURE TO PAY FINES AND/OR COSTS ON JULY 31, 2002. FINES PAID ON FEBRUARY 07, 2008.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD REGULATION INC.

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:** \$7,500 FINE (JOINT AND SEVERAL WITH FORMER EMPLOYER)

**Date Initiated:** 07/27/2001

**Docket/Case Number:** C8A010015 (FORMERLY E8A990650)

**Employing firm when activity occurred which led to the regulatory action:** KEY STAR SECURITIES INCORPORATED



|                                 |  |
|---------------------------------|--|
| <b>Product Type:</b>            | No Product   |
| <b>Other Product Type(s):</b>   |  |
| <b>Allegations:</b>             | NASD ALLEGES THAT FROM 6/25/99 THRU 7/17/00, KEY STAR SECURITIES INC., ACTING THROUGH ITS MEMBER COLE, FAILED TO MAINTAIN MINIMUM REQUIRED NET CAPITAL, PREPARED INACCURATE TRIAL BALANCES, NET CAPITAL COMPUTATIONS AND NASD FOCUS REPORTS IN VIOLATION OF VARIOUS SEC AND NASD RULES. COLE HAS ADVISED THAT HE WILL ACCEPT THOSE ALLEGATIONS AS FINDINGS, A CENSURE AND \$7,500 FINE TO RESOLVE THE MATTER. AWAITING APPROVAL FROM NASD. |
| <b>Current Status:</b>          | Final  |
| <b>Resolution:</b>              | Acceptance, Waiver & Consent(AWC)  |
| <b>Resolution Date:</b>         | 03/07/2002   |
| <b>Sanctions Ordered:</b>       | Censure<br>Monetary/Fine \$7,500.00  |
| <b>Other Sanctions Ordered:</b> |  |
| <b>Sanction Details:</b>        | \$7,500 JOINT AND SEVERAL FINE AGAINST FC COLE AND FORMER EMPLOYER, PAYABLE IN INSTALLMENTS.   |
| <b>Broker Statement</b>         | FC COLE AND FORMER EMPLOYER RESOLVED THIS MATTER BY \$7,500 FINE, CENSURE AND ACCEPTING, WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, THE ALLEGATIONS IN ITEM 7 AS FINDINGS. [THIRD PARTY] IS HANDLING THIS MATTER.  |



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

|   |  |
|---|--|
| <b>Reporting Source:</b>  | Individual   |
| <b>Organization Name (if charge(s) were brought against an organization over which individual exercised control):</b> | N/A  |
| <b>Court Details:</b>   | STATE OF INDIANA<br>MARION COUNTY, INDIANA<br>CASE # 99107641                      |
| <b>Charge Date:</b>   | 06/20/1999   |
| <b>Charge Details:</b>  | 1 BATTERY - DROPPED - MISDEMEANOR - A<br>1 RESIDENTIAL ENTRY - DROPPED - FELONY- D |
| <b>Felony?</b>  | Yes  |
| <b>Current Status:</b>  | Final  |
| <b>Status Date:</b>   | 04/25/2000   |
| <b>Disposition Details:</b>   | MISDEMEANOR - BATTERY - DISMISSED<br>FELONY - RESIDENTIAL ENTRY - DISMISSED        |
| <b>Broker Statement</b>   | EX-FIANCES WAS SEEKING REVENGE AND MADE UP CHARGES WHICH WERE LATER DISMISSED      |



## End of Report

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