



IAPD Report

JOHNNY EARL BURRIS

CRD# 2850953

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

JOHNNY EARL BURRIS (CRD# 2850953)

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 **04/15/2017**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA BURRIS WEALTH MANAGEMENT, INC.	CRD# 171049	05/13/2014

QUALIFICATIONS

This representative is currently registered in **0** 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
B SOUTHEAST INVESTMENTS, N.C., INC.	43035	CHARLOTTE, NC	03/11/2014 - 06/02/2015
IA OPPENHEIMER & CO. INC.	249	SCOTTSDALE, AZ	03/14/2013 - 03/14/2014
B OPPENHEIMER & CO. INC.	249	SCOTTSDALE, AZ	02/26/2013 - 03/14/2014

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	1
Customer Dispute	3
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BURRIS WEALTH MANAGEMENT, INC.**
Main Address: 15286 N 144TH AVE
SURPRISE, AZ 85379
Firm ID#: 171049

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	05/13/2014

Branch Office Locations

BURRIS WEALTH MANAGEMENT, INC.
15286 N 144TH AVE
SURPRISE, AZ 85379



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 3 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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B Securities Industry Essentials Examination (SIE)	SIE	06/02/2015
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B General Securities Representative Examination (S7)	Series 7	07/13/2010
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/31/1997
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	07/26/2010
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/10/2005
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B Uniform Securities Agent State Law Examination (S63)	Series 63	02/19/1997
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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	03/11/2014 - 06/02/2015	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	CHARLOTTE, NC
IA	03/14/2013 - 03/14/2014	OPPENHEIMER & CO. INC.	CRD# 249	SCOTTSDALE, AZ
B	02/26/2013 - 03/14/2014	OPPENHEIMER & CO. INC.	CRD# 249	SCOTTSDALE, AZ
B	10/01/2012 - 12/12/2012	J.P. MORGAN SECURITIES LLC	CRD# 79	SUN CITY WEST, AZ
IA	10/01/2012 - 12/12/2012	J.P. MORGAN SECURITIES LLC	CRD# 79	SUN CITY WEST, AZ
IA	07/30/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SUN CITY WEST, AZ
B	07/14/2010 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SUN CITY WEST, AZ
IA	12/19/2005 - 12/31/2009	BURRIS FINANCIAL SERVICES, INC.	CRD# 114613	PEORIA, AZ
IA	12/19/2005 - 12/31/2008	BURRIS FINANCIAL SERVICES, INC.	CRD# 114613	SUN CITY WEST, AZ
IA	12/19/2005 - 12/31/2006	BURRIS FINANCIAL SERVICES, INC.	CRD# 114613	SUN CITY WEST, AZ
B	01/04/2000 - 12/31/2005	INVESTORS CAPITAL CORP.	CRD# 30613	SUN CITY WEST, AZ
B	07/12/1999 - 10/14/1999	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	04/01/1997 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA

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
03/2014 - Present	BURRIS WEALTH MANAGEMENT INC.	PRESIDENT/CEO	Y	SURPRISE, AZ, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



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	1
Customer Dispute	3
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: n/a
Date Initiated:	09/15/2016
Docket/Case Number:	2015044921601
Employing firm when activity occurred which led to the regulatory action:	Chase Investment Services Corp.

Product Type: Mutual Fund

Allegations: Burriss was named a respondent in a FINRA complaint alleging that he failed to execute a trade for his customers according to their instructions. The complaint alleges that the customers instructed Burriss to liquidate one of their securities holdings, which were shares in a mutual fund, in order to fund a tax payment to the IRS, and his failure to do so caused the customers' payment to the IRS to be rejected for insufficient funds. The complaint also alleges that after the customers complained to Burriss about their failed tax payment, he took multiple steps to resolve the customers' complaint himself without informing his member firm. Burriss verbally informed the customers that he would "take care of" their issue; executed a new trade; had a cashier's check drafted and sent that check to the IRS to satisfy the customer's remaining tax liability; sent the customers a follow-up letter apologizing for his error and assuring them he would remedy any fees or penalties that may have resulted from his error; and sent the IRS a letter requesting that the IRS forgive the customers' fees and penalties. The complaint further alleges that in



connection with his attempt to settle the customers' complaint away from the firm, Burris created and sent unapproved and misleading correspondence to the customers and to the IRS that did not follow the firm's Code of Conduct and applicable written procedures.

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

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:

04/10/2017

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	five business days
Start Date:	04/17/2017
End Date:	04/21/2017

Monetary Sanction 1 of 1

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



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.(CURRENTLY KNOWN AS J.P.MORGAN SECURITIES LLC)
Allegations:	CLIENT ALLEGES UNAUTHORIZED TRADING AND INKED IN INFORMATION AFTER THE CLIENT SIGNED THE FORM. ACTIVITY DATE 03/06/2012-03/06/2012.
Product Type:	Mutual Fund
Alleged Damages:	\$9,924.07
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:	05/14/2013
Complaint Pending?	No
Status:	Settled
Status Date:	06/26/2013
Settlement Amount:	\$8,711.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP. (CURRENTLY KNOWN AS J.P. MORGAN SECURITIES LLC)
Allegations:	CLIENT ALLEGES UNAUTHORIZED TRADING AND INKED IN INFORMATION AFTER THE CLIENT SIGNED THE FORM. ACTIVITY DATE 03/06/2012-03/06/2012
Product Type:	Mutual Fund
Alleged Damages:	\$9,924.07
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: 05/14/2013

Complaint Pending? No

Status: Settled

Status Date: 06/26/2013

Settlement Amount: \$8,711.00

Individual Contribution Amount: \$0.00

Broker Statement

OSHA's OFFICE OF THE WHISTLEBLOWER CONCLUDED ON 1-10-17 JP MORGAN's TERMINATION WAS RETALIATORY. OSHA AWARDED THE RR DAMAGES, BACK PAY, ALL ATTORNEY FEES, AND EXPUNGEMENT.

REGARDING THIS COMPLAINT:

THE ACTUAL DATE OF THE ORIGINAL COMPLAINT IS 3-27-13 AND NOT 5-14-13. PER CLIENT SIGNED AFFIDAVITS, JP MORGAN CHASE & CO. PERSONNEL HAVE DRAFTED, MULTIPLE FALSE AND/OR MISLEADING COMPLAINTS. DESPITE VERIFIABLE, FALSE STATEMENTS BY THIS CLIENT. THE FIRM SETTLED THE ALLEGATIONS WITHOUT GIVING THE RR THE OPPORTUNITY TO RESPOND TO THE ALLEGATIONS.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.(CURRENTLY KNOWS AS J.P.MORGAN SECURITIES LLC)

Allegations: CUSTOMER ALLEGES MISREPRESENTATION AND SUITABILITY IN CONNECTION WITH MUTUAL FUNDS. ACTIVITY DATE 03/09/2012.

Product Type: Mutual Fund

Alleged Damages: \$6,488.40

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: 04/10/2013

Complaint Pending? No

Status: Denied

Status Date: 06/25/2013

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.(CURRENTLY KNOWN AS J.P.MORGAN SECURITIES LLC)

Allegations: CUSTOMER ALLEGES MISREPRESENTATION AND SUITABILITY IN CONNECTION WITH MUTUAL FUNDS. ACTIVITY DATE 03/09/2012.

Product Type: Mutual Fund

Alleged Damages: \$6,488.40

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: 04/10/2013

Complaint Pending? No

Status: Denied

Status Date: 06/25/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement OSHA's OFFICE OF THE WHISTLEBLOWER CONCLUDED ON 1-10-17 JP MORGAN's TERMINATION WAS RETALIATORY. OSHA AWARDED THE RR DAMAGES, BACK PAY, ALL ATTORNEY FEES, AND EXPUNGEMENT.

REGARDING THIS COMPLAINT:

PER THE CLIENT SIGNED AFFIDAVIT AND JP MORGAN HAS ACKNOWLEDGED THIS ALLEGED COMPLAINT WAS DRAFTED BY THE FIRM'S PERSONNEL. AGAINST COMPANY POLICIES, IT WAS DRAFTED BY A FINRA LICENSED PRINCIPAL. THIS IS NOT THE ONLY SOLICITED, FALSE AND/OR MISLEADING BANK DRAFTED COMPLAINT. ACCORDING TO THE CLIENT SIGNED AFFIDAVIT SHE WAS TOLD TO SIGN THE DOCUMENT TO "GET SOME MONEY BACK".

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP(CURRENTLY KNOWN AS JPMORGAN SECURITIES LLC)

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING MANAGED ACCOUNT INVESTMENT. ACTIVITY DATES 06/25/2012-06/26/2012.

Product Type: Other: MANAGED ACCOUNT

Alleged Damages: \$18,000.00

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: 04/11/2013

Complaint Pending? No

Status: Denied

Status Date: 05/21/2013

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP (CURRENTLY KNOWN AS J. P. MORGAN SECURITIES LLC)

Allegations: CLIENT ALLEGES SUITABILITY AND MISREPRESENTATION REGARDING MANAGED ACCOUNT INVESTMENT. ACTIVITY DATES 06/25/2012-06/26/2012.

Product Type: Other: MANAGED ACCOUNT

Alleged Damages: \$18,000.00

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: 04/11/2013

Complaint Pending? No

Status: Denied

Status Date: 05/21/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement OSHA's OFFICE OF THE WHISTLEBLOWER CONCLUDED ON 1-10-17 JP MORGAN's TERMINATION WAS RETALIATORY. OSHA AWARDED THE RR DAMAGES, BACK PAY, ALL ATTORNEY FEES, AND EXPUNGEMENT.

REGARDING THIS COMPLAINT:

PER CLIENT SIGNED AFFIDAVITS AND VERIFIED BY JP MORGAN CHASE, THE FIRM'S PERSONNEL DRAFTED MULTIPLE COMPLAINTS ON BEHALF OF CLIENTS. THE TIMING OF THIS COMPLAINT IS ONLY 1 DAY AFTER ANOTHER, CLIENT CONFIRMED, SOLICITED, FALSE, BANK DRAFTED COMPLAINT.



DESPITE THIS FACT, THE FIRM DID A THOROUGH REVIEW. AFTER FIRM REVIEWED THE TAX RETURNS, THE LOSSES OCCURRED FROM A "CONDOMINIUM" SALE. THE LOSS ON HER TAXES WERE IN NO WAY RELATED TO SECURITIES AND THE COMPLAINT WAS DENIED.



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: JPMORGAN SECURITIES LLC
Termination Type: Discharged
Termination Date: 11/06/2012

Allegations: REGISTERED REPRESENTATIVE (RR) FAILED TO FOLLOW FIRM PROCEDURES IN ADDRESSING A CUSTOMER CONCERN REGARDING A LATE ORDER ENTRY WHICH RESULTED IN A LOSS OF \$635. IN AN EFFORT TO ASSIST THE CLIENT, HE FAILED TO HAVE AN OUTGOING LETTER APPROVED BY A FIRM PRINCIPAL. IN ADDITION, AN ISSUE AROSE CONCERNING A CLIENT-INITIATED PURCHASE WHICH WAS RECORDED BY RR AS UNSOLICITED AND WHETHER THAT NOTATION WAS CONSISTENT WITH FIRM PROCEDURES GIVEN THE NATURE OF INFORMATION PROVIDED BY RR TO THE CLIENT.

Product Type: No Product

Reporting Source: Individual
Firm Name: JPMORGAN SECURITIES
Termination Type: Discharged
Termination Date: 11/06/2012

Allegations: REGISTERED REPRESENTATIVE (RR) FAILED TO FOLLOW FIRM PROCEDURES IN ADDRESSING A CUSTOMER CONCERN REGARDING A LATE ORDER ENTRY WHICH RESULTED IN A LOSS OF \$635. IN AN EFFORT TO ASSIST THE CLIENT, HE FAILED TO HAVE AN OUTGOING LETTER APPROVED BY A FIRM PRINCIPAL. IN ADDITION, AN ISSUE AROSE CONCERNING A CLIENT-INITIATED PURCHASE WHICH WAS RECORDED BY RR AS UNSOLICITED AND WHETHER THAT NOTATION WAS CONSISTENT WITH FIRM PROCEDURES GIVEN THE NATURE OF INFORMATION PROVIDED BY RR TO THE CLIENT

Product Type: No Product

Broker Statement OSHA's OFFICE OF THE WHISTLEBLOWER CONCLUDED ON 1-10-17 JP MORGAN'S TERMINATION WAS RETALIATORY. OSHA AWARDED THE RR DAMAGES, BACK PAY, ALL ATTORNEY FEES, AND EXPUNGEMENT. OSHA ALSO AWARDED ALL NEGATIVE REFERENCES RELATING TO THE TERMINATION AND COMPLAINT/S REMOVED.



End of Report

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