



IAPD Report

Vincent L Petrangelo

CRD# 2866580

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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

Vincent L Petrangelo (CRD# 2866580)

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 **04/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	04/20/2018
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/28/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Lyndonville, VT	04/20/2018 - 12/31/2019
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	SPRINGFIELD, MA	11/09/2006 - 04/24/2018
B	RAYMOND JAMES & ASSOCIATES, INC.	705	SPRINGFIELD, MA	04/21/2006 - 04/24/2018

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	6



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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/20/2018
B	FINRA	General Securities Sales Supervisor	Approved	04/20/2018
B	California	Agent	Approved	04/20/2018
B	Connecticut	Agent	Approved	04/20/2018
B	Florida	Agent	Approved	04/20/2018
B	Maine	Agent	Approved	11/20/2023
B	Maryland	Agent	Approved	04/20/2018
B	Massachusetts	Agent	Approved	07/23/2018
B	Minnesota	Agent	Approved	09/13/2021
B	New Hampshire	Agent	Restricted Approval	09/28/2018
B	New Jersey	Agent	Approved	08/01/2018
B	New York	Agent	Approved	10/10/2019
B	Pennsylvania	Agent	Approved	03/09/2026



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	08/02/2018
B Tennessee	Agent	Approved	10/23/2024
B Texas	Agent	Approved	08/11/2022
IA Texas	Investment Adviser Representative	Restricted Approval	07/28/2022
B Vermont	Agent	Approved	04/20/2018
IA Vermont	Investment Adviser Representative	Approved	04/01/2026
B Virginia	Agent	Approved	04/20/2018
B Washington	Agent	Approved	04/17/2026

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1414 Main St Ste 1800
Springfield, MA 01144-7067

AMERIPRISE FINANCIAL SERVICES, LLC
Newark, VT





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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	04/12/2010
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/29/2010

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	09/09/1998
 General Securities Representative Examination (S7)	Series 7	08/13/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/12/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/30/2026
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/30/1997

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	04/20/2018 - 12/31/2019	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	Lyndonville, VT
IA	11/09/2006 - 04/24/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SPRINGFIELD, MA
B	04/21/2006 - 04/24/2018	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	SPRINGFIELD, MA
B	07/22/1998 - 04/25/2006	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	12/15/1997 - 06/17/1998	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Springfield, MA, United States
04/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Springfield, MA, United States
04/2006 - 04/2018	RAYMOND JAMES & ASSOCIATES, INC.	BRANCH MANAGER	Y	SPRINGFIELD, MA, 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.

Business Ownership; Vally View Farm; Co-owner; Homestead farm with an "honor system" farm stand; 1417 Maple Ridge Road, , NEWARK, VT, 05871-0000; Not Investment-Related; 03/02/2026; 20 to 39 hours per month; 0 during trading hours.



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	6

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:	Massachusetts Securities Division
Sanction(s) Sought:	Other: Conditional Registration
Date Initiated:	07/23/2018
Docket/Case Number:	R-2018-0070
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Ameriprise Financial Services, Inc.
Product Type:	No Product
Allegations:	On or about April 20, 2018, Ameriprise filed on FINRA's CRD an Application seeking registration of Petrangelo as a BD Agent in Massachusetts (the "Application"). Petrangelo has 14 disclosure incidents on the CRD which include 7 creditor Compromises that were written off, 2 judgment liens that were satisfied and 5 customer complaints alleging breach of fiduciary duty, churning, unauthorized trading and suitability issues. 2.As a result of the above-stated disclosure incidents, and pursuant to the Undertakings, the Division is placing conditions on Petrangelo's registration as a BD Agent of Ameriprise in Massachusetts.
Current Status:	Final
Resolution:	Conditional Registration



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: 07/23/2018

Sanctions Ordered: Undertaking
Other: Ameriprise must supervise Petrangelo on a heightened basis. Conditions on his registration shall be effective for 3 years from the date of entry of the Order.

Regulator Statement After three (3) years from the date of entry of this Order, Petrangelo must submit, within fifteen (15) days, to Ameriprise and the Director an affidavit stating that Petrangelo has fully complied with all conditions of this Order. In the event that Petrangelo cannot submit the required affidavit, Petrangelo must instead submit a statement explaining why the affidavit cannot be submitted.

Subject to the conditions stated above the application of Vincent L. Petrangelo for registration in Massachusetts as a broker-dealer agent of Ameriprise Financial Services, Inc. is allowed.

Reporting Source: Individual

Regulatory Action Initiated By: Massachusetts Securities Division

Sanction(s) Sought: Undertaking
Other: Conditional Registration

Date Initiated: 07/23/2018

Docket/Case Number: R-2018-0070

Employing firm when activity occurred which led to the regulatory action: Ameriprise Financial Services, Inc.

Product Type: No Product

Allegations: Due to disclosure history, and pursuant to the Undertakings, the Division is placing conditions on Petrangelo's registration as a BD Agent of Ameriprise in Massachusetts.

Current Status: Final

Resolution: Conditional Registration

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: 07/23/2018

Sanctions Ordered: Undertaking
Other: Ameriprise must supervise Petrangelo on a heightened basis. Conditions on his registration shall be effective for 3 years from the date of entry of the Order.



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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Claimants allege Branch Manager failed to adequately supervise Claimants' FAs. Alleged Activity dates: 2/13/2009 to present.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified; the Firm estimates the amount to be at least \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - New York
Docket/Case #:	20-03640
Filing date of arbitration/CFTC reparation or civil litigation:	10/26/2020

Customer Complaint Information

Date Complaint Received:	01/06/2021
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	01/06/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA - New York
Docket/Case #:	20-03640



Date Notice/Process Served: 01/06/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/14/2022

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Raymond James & Associates, Inc.

Allegations: Claimants allege Branch Manager failed to adequately supervise Claimants' FAs. Alleged Activity dates: 2/13/2009 to present.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified; the Firm estimates the amount to be at least \$5,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - New York

Docket/Case #: 20-03640

Date Notice/Process Served: 01/06/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/14/2022

Monetary Compensation Amount: \$32,500.00

Individual Contribution Amount: \$0.00

Broker Statement I was named as a respondent in this action based solely upon my role as a branch manager. I had no direct involvement in Claimant's account, nor did I supervise Claimant's advisor(s). My prior firm made a business decision to resolve this matter via settlement. The settlement will be funded entirely by my prior firm. I was not asked to contribute, nor did I contribute, to the settlement.

Disclosure 2 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATE, INC.

Allegations: **This disclosure is no longer reportable on the current U4 because it was filed more than 24 months ago and did not settle for \$15,000 or more**
CLIENT ALLEGES MISREPRESENTATION. ACTIVITY DATE IS 6/01/2015 THROUGH 10/31/2015

Product Type: Annuity-Variable

Alleged Damages: \$78,192.96

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: 02/16/2016

Complaint Pending? No

Status: Denied

Status Date: 04/29/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement **This disclosure is no longer reportable on the current U4 because it was filed more than 24 months ago and did not settle for \$15,000 or more.**

Disclosure 3 of 6

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 \$15,000 OR MORE** CLAIMANT ALLEGES SUITABILITY. THE DATE OF ACTIVITY IS 9/23/2011 TO 2/15/2012.

Product Type: Mutual Fund
Other: OPEN-END INCLUDES MONEY FUNDS

Alleged Damages: \$26,062.34

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: 10/10/2012

Complaint Pending? No



Status: Withdrawn

Status Date: 10/31/2012

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 \$15,000 OR MORE**

Disclosure 4 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCATES, 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 \$15,000 OR MORE** CLIENT ALLEGES UNAUTHORIZED TRADING. DATE OF ACTIVITY IS 11/10/2011 TO 11/11/2011.

Product Type: Mutual Fund
Unit Investment Trust

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DOLLAR AMOUNT WAS ALLEGED - FIRM ESTIMATES ALLEGED LOSS IN EXCESS OF \$5,000.

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: 03/14/2012

Complaint Pending? No

Status: Denied

Status Date: 03/29/2012

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 \$15,000 OR MORE**

Disclosure 5 of 6

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: Raymond James Financial Services, Inc., Raymond James & Associates, Inc.,

Allegations: breach of fiduciary duty, churning, unauthorized trading, and unsuitability.

Product Type: Other: various securities

Alleged Damages: \$47,444.29

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #13-00131](#)

Date Notice/Process Served: 01/09/2013

Arbitration Pending? No

Disposition: Award

Disposition Date: 11/27/2013

Disposition Detail: Respondent is jointly and severally liable for and shall pay to the Claimant compensatory damages in the amount of \$39,802.69.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: CLIENT ALLEGES BREACH OF FIDUCIARY DUTY OF INVESTMENT BROKER, CHURNING/EXCESSIVE, UNAUTHORIZED TRADES AND UNSUITABLE INVESTMENTS. ACTIVITY DATES FROM 9/2011 TO 4/2012.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

Alleged Damages: \$47,444.29

Alleged Damages Amount Explanation (if amount not exact): ORIGINAL COMPLAINT HAD NO DOLLAR AMOUNT ALLEGED; FIRM ESTIMATES \$5000 OR MORE. \$47,444.29 WAS ALLEGED WHEN COMPLAINT EVOLVED INTO ARBITRATION.

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

Status Date: 03/06/2013

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA - NEW YORK

Docket/Case #: [13-00131](#)

Date Notice/Process Served: 03/06/2013

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/27/2013

Monetary Compensation Amount: \$39,802.69

Individual Contribution Amount: \$0.00

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MSDW

Allegations: CUSTOMER CLAIMS THAT IN ABOUT SEPTEMBER 2005, THE FINANCIAL ADVISOR ALLEGEDLY DID NOT ADVISE CUSTOMER OF TRANSACTION FEES AND ALSO MADE ALLEGEDLY UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 09/14/2006

Complaint Pending? No

Status: Denied

Status Date: 09/26/2006

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MSDW

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 ** CUSTOMER CLAIMS THAT IN ABOUT SEPTEMBER 2005, THE FINANCIAL ADVISOR ALLEGEDLY DID NOT ADVISE CUSTOMER OF TRANSACTION FEES AND ALSO MADE ALLEGEDLY UNSUITABLE INVESTMENTS.

Product Type: Mutual Fund(s)



Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 09/14/2006

Complaint Pending? No

Status: Denied

Status Date: 09/26/2006

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 **



End of Report

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