



IAPD Report

HEATHER PETERSON WEBER

CRD# 2911524

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

HEATHER PETERSON WEBER (CRD# 2911524)

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 **10/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/17/2006
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	03/20/2006

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **51** 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	CITIGROUP GLOBAL MARKETS INC.	7059	SARASOTA, FL	06/11/1999 - 04/01/2006
B	CITIGROUP GLOBAL MARKETS INC.	7059	SARASOTA, FL	06/09/1999 - 04/01/2006
B	J. B. HANAUER & CO.	6958	PARSIPPANY, NJ	10/03/1997 - 05/07/1999

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	10



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 **51** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**

Main Address: ONE BRYANT PARK
NEW YORK, NY 10036

Firm ID#: 7691

	Regulator	Registration	Status	Date
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	05/16/2014
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/16/2014
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/17/2006
B	Cboe Exchange, Inc.	General Securities Sales Supervisor	Approved	11/20/2019
B	FINRA	General Securities Representative	Approved	03/17/2006
B	FINRA	General Securities Sales Supervisor	Approved	11/20/2019
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	11/20/2019
B	New York Stock Exchange	General Securities Representative	Approved	03/17/2006
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	11/20/2019
B	Alabama	Agent	Approved	11/02/2006
B	Alaska	Agent	Approved	05/10/2016
B	Arizona	Agent	Approved	03/17/2006



Qualifications

	Regulator	Registration	Status	Date
B	Arkansas	Agent	Approved	01/08/2010
B	California	Agent	Approved	03/17/2006
B	Colorado	Agent	Approved	03/17/2006
IA	Colorado	Investment Adviser Representative	Approved	08/09/2022
B	Connecticut	Agent	Approved	05/21/2009
B	Delaware	Agent	Approved	03/17/2020
B	District of Columbia	Agent	Approved	10/31/2018
B	Florida	Agent	Approved	03/17/2006
IA	Florida	Investment Adviser Representative	Approved	03/20/2006
B	Georgia	Agent	Approved	03/17/2006
B	Hawaii	Agent	Approved	04/16/2012
B	Idaho	Agent	Approved	01/04/2010
B	Illinois	Agent	Approved	03/20/2006
B	Indiana	Agent	Approved	03/17/2006
B	Iowa	Agent	Approved	06/23/2009
B	Kansas	Agent	Approved	05/13/2009
B	Kentucky	Agent	Approved	03/17/2006
B	Louisiana	Agent	Approved	01/16/2020
B	Maine	Agent	Approved	12/07/2009



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	03/17/2006
B	Michigan	Agent	Approved	03/17/2006
B	Minnesota	Agent	Approved	03/17/2006
B	Mississippi	Agent	Approved	06/11/2009
B	Missouri	Agent	Approved	03/17/2006
B	Montana	Agent	Approved	04/21/2009
B	Nebraska	Agent	Approved	06/22/2009
B	Nevada	Agent	Approved	06/10/2009
B	New Hampshire	Agent	Approved	05/12/2009
B	New Jersey	Agent	Approved	07/25/2008
B	New Mexico	Agent	Approved	12/07/2009
B	New York	Agent	Approved	03/17/2006
B	North Carolina	Agent	Approved	03/17/2006
B	North Dakota	Agent	Approved	07/24/2006
B	Ohio	Agent	Approved	09/08/2008
B	Oklahoma	Agent	Approved	01/16/2020
B	Oregon	Agent	Approved	07/16/2009
B	Pennsylvania	Agent	Approved	03/27/2008
B	Puerto Rico	Agent	Approved	01/30/2020



Qualifications

	Regulator	Registration	Status	Date
B	Rhode Island	Agent	Approved	04/20/2012
B	South Carolina	Agent	Approved	05/13/2009
B	Tennessee	Agent	Approved	07/07/2009
B	Texas	Agent	Approved	03/17/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	07/18/2006
B	Utah	Agent	Approved	04/22/2009
B	Vermont	Agent	Approved	03/30/2020
B	Virgin Islands	Agent	Approved	01/17/2020
B	Virginia	Agent	Approved	03/17/2006
B	Washington	Agent	Approved	03/17/2006
B	West Virginia	Agent	Approved	03/31/2020
B	Wisconsin	Agent	Approved	03/17/2006
B	Wyoming	Agent	Approved	04/16/2020

Branch Office Locations

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
601 CLEVELAND ST
CLEARWATER, FL 33755

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
SNOWMASS VILLAGE, CO

**MERRILL LYNCH, PIERCE, FENNER & SMITH
INCORPORATED**
Clearwater, FL



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, 2 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	11/20/2019
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/22/2019

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	10/01/1997

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/09/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	10/14/1997

PROFESSIONAL DESIGNATIONS

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

No information reported.

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



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/11/1999 - 04/01/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SARASOTA, FL
B	06/09/1999 - 04/01/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SARASOTA, FL
B	10/03/1997 - 05/07/1999	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, 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
12/2009 - Present	BANK OF AMERICA, N.A.	WEALTH MANAGEMENT ADVISOR	Y	TAMPA, FL, United States
03/2006 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	WEALTH MANAGEMENT ADVISOR	Y	TAMPA, FL, United States

OTHER BUSINESS ACTIVITIES

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

I*456357For-ProfitName: H&S Weber Real Estate LLCInvestment related: NAddress of business: Placida, Florida 33946Nature: LLCPosition: Owner, Start date: 12/19/16Hrs devoted: 0 hour AnnuallyHrs devoted during trading hours: 0Duties: This is a shell entity. It currently has no activity whatsoever. It was formed to hold ownership of our weekend vacation home in the event we choose to transfer that ownership into an entity .We have not yet done so. We may or may not rent it. As of February, 2024 still not renting.I*125188For profitName of outside business organization: Tampa Franchise Brands 6Investment related: NAddress of business:Tampa, FL 33609Nature of business: LLC,Position, title, association: Family Held, Start date of relationship: 7/25/2019Hrs devoted: 0 hour(s) AnnuallyHrs devoted during trading hours: 0Duties: TFB 6 will own (but will be dated effective as of 7-25-19) my and my husband's ownership in Southeast Hawk Investors LLC. Southeast Hawk Investors LLC owns an interest in Hawk Acquisitions LLC, which owns an interest in Hawk Parent LLC (Hooters)I*385336 profit or not profit: Entity For ProfitName of outside business organization: Tampa Franchise Brands 5Investment related: NAddress of business: Clearwater, Florida 33767Nature of business: Limited Liability CompanyPosition, title, association: Other, Treasurer Start date of relationship: 6/30/21Hrs devoted: 0 hour(s) YearlyHrs devoted during trading hours: 0Duties: Family Held, Holding Company; which owns 50% of Moon Mountain USA, LLC which owns MM Vapor Cafe Winter Haven, LLC which owns and operates a Moon Mountain Vapor Cafounge in Winter Haven, FL.I*422996 Entity For ProfitName of outside business organization: Tarpon Tails LLCInvestment related: NAddress of business: Clearwater, FL, 33757Nature of business: LLCPosition, title, association: Other Start date of relationship: 5/11/22Hrs devoted: 0 hour(s) YearlyHrs devoted during trading hours: 0Duties: Indirect owner of Fresh Tracks LLC through my ownership of Tarpon Tails LLC. My husband and I are co-tenants in the entirety owners of Tarpon Tails LLC., This entity will hold the future ownership of franchise related businesses. It is not yet active.I*391502, Entity Type: Entity For Profit, Name of OBA: 9752 LGI, LLC, Address: Clearwater, Florida, 33756, Investment Related: N, Position, Title, Association: ["General Partner/Managing Member","Owner"], Employee Start Date: 09/24/2019, No Hours: 0 Yearly, No Hours during Trading: 0 Yearly,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Duties: N/A Ownership of our second home

I*5847299

Entity Type: N/A

Name of OBA: Franchise Scale Partners, LLC

Address: Clearwater, Florida, 33767

Investment Related: No

Position, Title, Association: N/A

Employee Start Date: 09/30/2026

Number of Hours: 0, Yearly

Number of Hours during trading: 0, Yearly

Duties: Ownership of franchise rights to Vivi's Chicken and Mac restaurant concept None

I*, 400053

Entity Type: Entity For Profit

Name of OBA: H&S Weber Investments, LLC

Address: Clearwater, Florida 33767

Investment Related: No

Position, Title, Association: Other

Employee Start Date: 04/15/2015

No Hours: 1 hour per year

No Hours during trading: 0

Duties: Holding Company



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	10

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 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The customer alleges unsuitable investment recommendations and misrepresentation
Product Type:	Equity Listed (Common & Preferred Stock) Options
Alleged Damages:	\$350,000.00
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
Docket/Case #:	19-02789
Filing date of arbitration/CFTC reparation or civil litigation:	09/16/2019

Customer Complaint Information

Date Complaint Received:	09/24/2019
Complaint Pending?	No



Status:	Settled
Status Date:	11/17/2020
Settlement Amount:	\$125,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 2 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The customer alleges unsuitable investment recommendations and misrepresentation from February 2012 to June 2014.
Product Type:	Options
Alleged Damages:	\$1,000,000.00
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
Docket/Case #:	17-00613
Filing date of arbitration/CFTC reparation or civil litigation:	03/08/2017

Customer Complaint Information

Date Complaint Received:	05/01/2017
Complaint Pending?	No
Status:	Settled
Status Date:	12/12/2018
Settlement Amount:	\$92,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 3 of 10



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The customer alleges unsuitable investment recommendations and misrepresentation from March 2011 to July 2014.
Product Type:	Options
Alleged Damages:	\$1,000,000.00
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
Docket/Case #:	17-00599
Filing date of arbitration/CFTC reparation or civil litigation:	03/09/2017

Customer Complaint Information

Date Complaint Received:	03/10/2017
Complaint Pending?	No
Status:	Settled
Status Date:	10/30/2019
Settlement Amount:	\$225,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 4 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The customer alleges unsuitable investment recommendations and misrepresentation from August 2012 to July 2014.
Product Type:	Options
Alleged Damages:	\$300,000.00
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

Docket/Case #: 17-00600

Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2017

Customer Complaint Information

Date Complaint Received: 03/10/2017

Complaint Pending? No

Status: Settled

Status Date: 08/13/2018

Settlement Amount: \$95,000.00

Individual Contribution Amount: \$0.00

Broker Statement Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 5 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Allegations: The Customer alleges unsuitable investment recommendations and misrepresentation and omission of material facts from September 2010 to July 2014.

Product Type: Options

Alleged Damages: \$500,000.00

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

Docket/Case #: 16-01835

Filing date of arbitration/CFTC reparation or civil litigation: 06/20/2016

Customer Complaint Information

Date Complaint Received: 07/07/2016



Complaint Pending?	No
Status:	Settled
Status Date:	12/21/2017
Settlement Amount:	\$265,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 6 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Merrill Lynch, Pierce, Fenner & Smith Incorporated
Allegations:	The Customer alleges unsuitable investment recommendations and misrepresentation and omission of material facts from February 2011 to November 2014.
Product Type:	Options
Alleged Damages:	\$500,000.00
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
Docket/Case #:	16-01726
Filing date of arbitration/CFTC reparation or civil litigation:	06/10/2016

Customer Complaint Information

Date Complaint Received:	06/20/2016
Complaint Pending?	No
Status:	Settled
Status Date:	03/20/2018
Settlement Amount:	\$180,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

**Disclosure 7 of 10**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Merrill Lynch, Pierce, Fenner & Smith Incorporated

Allegations: The Customers allege unsuitable investment recommendations and misrepresentation and omission of material facts from November 2012 to July 2014.

Product Type: Options

Alleged Damages: \$475,000.00

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

Docket/Case #: 15-02281

Filing date of arbitration/CFTC reparation or civil litigation: 09/01/2015

Customer Complaint Information

Date Complaint Received: 09/10/2015

Complaint Pending? No

Status: Settled

Status Date: 11/04/2016

Settlement Amount: \$175,000.00

Individual Contribution Amount: \$0.00

Broker Statement Merrill Lynch settled this matter in order to avoid the costs and uncertainty of arbitration. Merrill Lynch and Ms. Weber deny any allegations of wrongdoing. Ms. Weber was not asked to and did not contribute monetarily towards the settlement agreement.

Disclosure 8 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES MISREPRESENTATION FROM APRIL 2011 TO AUGUST 2014.

Product Type: Options

Alleged Damages: \$0.00



Alleged Damages Amount
Explanation (if amount not exact):

DAMAGES ARE NOT SPECIFIED.

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: 08/22/2014

Complaint Pending? No

Status: Denied

Status Date: 11/10/2014

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

OUR INVESTIGATION HAS DETERMINED THAT THE ALLEGATIONS ARE WITHOUT MERIT AND THE CLIENT'S CLAIMS ARE DENIED IN THEIR ENTIRETY.

Disclosure 9 of 10

Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** SALOMON SMITH BARNEY

Allegations: THE CLIENT ALLEGED MISREPRESENTATION WITH REGARD TO THE PURCHASE OF AN EQUITY. OCTOBER 2001. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/10/2002

Complaint Pending? No

Status: Denied

Status Date: 08/19/2002

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 10 of 10

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

SALOMON SMITH BARNEY

Allegations:

THE CLIENT ALLEGED MISREPRESENTATION WITH REGARD TO THE PURCHASE OF AN ANNUITY. AUGUST 2000. ALLEGED DAMAGES UNSPECIFIED.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

01/19/2001

Complaint Pending?

No

Status:

Denied

Status Date:

03/05/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CLIENT'S CLAIM WAS DENIED.



End of Report

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