



IAPD Report

E KYLE DAVIS

CRD# 2995789

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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

E KYLE DAVIS (CRD# 2995789)

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 **06/29/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/16/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/16/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA	02/13/2013 - 01/18/2019
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	ATLANTA, GA	02/13/2013 - 01/18/2019
B	MORGAN KEEGAN & COMPANY, INC.	4161	ATLANTA, GA	03/21/2007 - 02/13/2013

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	2
Customer Dispute	4



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 **28** 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	01/16/2019
B	FINRA	Investment Banking Representative	Approved	01/16/2019
B	Alabama	Agent	Approved	01/28/2019
B	Arizona	Agent	Approved	02/25/2019
B	Arkansas	Agent	Approved	09/22/2022
B	California	Agent	Approved	02/28/2022
B	Colorado	Agent	Approved	01/16/2019
B	Florida	Agent	Approved	01/16/2019
B	Georgia	Agent	Approved	01/16/2019
IA	Georgia	Investment Adviser Representative	Approved	01/22/2019
B	Illinois	Agent	Approved	02/08/2019
B	Indiana	Agent	Approved	03/25/2021
B	Kentucky	Agent	Approved	01/16/2019



Qualifications

	Regulator	Registration	Status	Date
B	Louisiana	Agent	Approved	01/16/2019
B	Maryland	Agent	Approved	01/16/2019
B	Massachusetts	Agent	Approved	12/16/2022
B	Michigan	Agent	Approved	09/15/2022
B	Missouri	Agent	Approved	01/16/2019
B	Nevada	Agent	Approved	01/16/2019
B	New Jersey	Agent	Approved	01/16/2019
B	New York	Agent	Approved	10/10/2019
B	North Carolina	Agent	Approved	01/16/2019
B	Ohio	Agent	Approved	01/16/2019
B	Oregon	Agent	Approved	01/17/2019
B	Pennsylvania	Agent	Approved	02/03/2022
B	South Carolina	Agent	Approved	01/30/2019
B	Tennessee	Agent	Approved	01/16/2019
B	Texas	Agent	Approved	10/04/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/04/2021
B	Vermont	Agent	Approved	10/25/2023
B	Virginia	Agent	Approved	01/16/2019



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	10/20/2021

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
1200 Abernathy Rd Ste 1750
Atlanta, GA 30328-5662

AMERIPRISE FINANCIAL SERVICES, LLC
Marietta, GA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	04/23/2003
	General Securities Representative Examination (S7)	Series 7	01/21/1998

State Securities Law Exams

Exam	Category	Date
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	Uniform Investment Adviser Law Examination (S65)	Series 65	05/27/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/27/1998

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
B	02/13/2013 - 01/18/2019	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ATLANTA, GA
IA	02/13/2013 - 01/18/2019	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ATLANTA, GA
B	03/21/2007 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
IA	03/21/2007 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	ATLANTA, GA
IA	03/05/2003 - 04/05/2007	MORGAN STANLEY	CRD# 7556	ATLANTA, GA
B	02/24/1998 - 04/05/2007	MORGAN STANLEY DW INC.	CRD# 7556	ATLANTA, GA
B	01/22/1998 - 03/20/1998	VTR CAPITAL, INC.	CRD# 21404	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	Atlanta, GA, United States
01/2019 - 03/2020	Ameriprise Financial Services, INC	Registered Representative	Y	Atlanta, GA, United States
02/2013 - 01/2019	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	ATLANTA, GA, 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.

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	2
Customer Dispute	4

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	
Date Initiated:	12/20/2007
Docket/Case Number:	0700248
Employing firm when activity occurred which led to the regulatory action:	MORGAN KEEGAN & COMPANY, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.
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: 12/20/2007

Sanctions Ordered: Monetary/Fine \$1,500.00

Other Sanctions Ordered:

Sanction Details: CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.

Regulator Statement IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MS. MARY LOPEZ AT 312-793-3023.

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Reporting Source: Individual

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Prohibition

Date Initiated: 12/20/2007

Docket/Case Number: 0700248

Employing firm when activity occurred which led to the regulatory action: MORGAN KEEGAN & COMPANY, INC.

Product Type: No Product

Allegations: CUSTOMER COMPLAINTS LED TO AWC WITH NASD, BASED ON ILLINOIS STATUTORY 8.E(1)(J) RESPONDENT ENTERED INTO CONSENT TO WITHDRAW.

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: 12/20/2007

Sanctions Ordered: Other: MONETARY/FINE

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,500.00

Portion Levied against individual: \$1,500.00

Payment Plan: LUMP SUM

Is Payment Plan Current: Yes

Date Paid by individual: 12/18/2007

Was any portion of penalty waived? No

**Amount Waived:****Broker Statement**

IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MS.
MARY LOPEZ AT 312-793-3023.

Disclosure 2 of 2**Reporting Source:**

Regulator

**Regulatory Action Initiated
By:**

NASD

Sanction(s) Sought:**Date Initiated:**

04/26/2007

Docket/Case Number:[2006007384001](#)**Employing firm when activity
occurred which led to the
regulatory action:**

MORGAN STANLEY DW, INC.

Product Type:**Allegations:**

NASD RULE 2110 AND INTERPRETIVE MATERIAL 2310-2: DAVIS EXECUTED
SECURITIES TRANSACTIONS IN THE ACCOUNT OF A CUSTOMER WITHOUT
CUSTOMER'S PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT.

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:

04/26/2007

Sanctions Ordered:

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

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT
CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF
FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM
ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10
BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT
FROM MAY 21, 2007 THROUGH JUNE 4, 2007. FINES PAID.

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Reporting Source:

Individual

**Regulatory Action Initiated
By:**

NASD

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

04/26/2007

Docket/Case Number:[2006007384001](#)



Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY DW, INC.
Product Type:	Other
Other Product Type(s):	BONDS
Allegations:	NASD RULE 2110 AND INTERPRETIVE MATERIAL 2310-2: DAVIS EXECUTED SECURITIES TRANSACTIONS IN THE ACCOUNT OF A CUSTOMER WITHOUT CUSTOMER'S PRIOR KNOWLEDGE, AUTHORIZATION OR CONSENT.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	04/26/2007
Sanctions Ordered:	Monetary/Fine \$7,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM MAY 21, 2007 TO JUNE 4, 2007.



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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James Associates
Allegations:	Breach of Fiduciary Duty, Negligence, Negligent Supervision, Fraud, Breach of Contract, Breach of Contract - Third Party Beneficiary, and violation of Section 10(b) of the Securities Exchange Act. 10/4/2012 - 10/31/2019
Product Type:	Unit Investment Trust
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 #:	19-03563
Filing date of arbitration/CFTC reparation or civil litigation:	12/03/2019

Customer Complaint Information

Date Complaint Received:	12/03/2019
Complaint Pending?	No
Status:	Settled
Status Date:	02/24/2021
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	RJA agreed to pay Claimant \$75,000 and all mediator's fees in this case, in exchange for a full release of claims and a dismissal of the matter with prejudice.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raymond James Associates
Allegations:	Breach of Fiduciary Duty, Negligence, Negligent supervision, Fraud, Breach of



Contract, Breach of Contract - Third Party Beneficiary, and violation of Section 10(b) of the Securities Exchange Act. 10/4/2012 - 10/31/2019

Product Type: Unit Investment Trust

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 #: 19-03563

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 12/03/2019

Customer Complaint Information

Date Complaint Received: 12/03/2019

Complaint Pending? No

Status: Settled

Status Date: 02/24/2021

Settlement Amount: \$75,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement RJA agreed to pay Claimant \$75,000 and all mediator's fees in this case, in exchange for a full release of claims and a dismissal of the matter with prejudice.

Disclosure 2 of 4

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** MORGAN STANLEY & CO., INCORPORATED

Allegations: CUSTOMER ALLEGES THAT FINANCIAL ADVISOR REPRESENTED THAT INVESTMENT IN AUCTION RATE SECURITIES WAS A LIQUID INVESTMENT. UNABLE TO CONCLUDE THAT DAMAGES ARE UNDER \$5,000.

Product Type: Other

Other Product Type(s): AUCTION RATE SECURITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/04/2008

Complaint Pending? No

Status: Settled

Status Date: 05/27/2008



Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Firm Statement THE FIRM PURCHASED AUCTION RATE SECURITIES FROM CLIENT AT PAR VALUE.
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & COMPANY, INC.
Allegations: CUSTOMER ALLEGES THAT FINANCIAL ADVISOR REPRESENTED THAT INVESTMENT IN AUCTION RATE SECURITIES WAS A LIQUID INVESTMENT. UNABLE TO CONCLUDE THAT DAMAGES ARE UNDER \$5,000.
Product Type: Other: ARS
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE 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: 03/04/2008
Complaint Pending? No
Status: Denied
Status Date: 03/14/2008
Settlement Amount:
Individual Contribution Amount:
Broker Statement THE FIRM HAS PROVIDED THE CLIENT WITH A LENDING SOLUTION; CLAIM OTHERWISE DENIED.**AS OF 03/04/2010 THIS ITEM IS NO LONGER REPORTABLE.**

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED
Allegations: CLIENT ACCOUNTS WERE NOT PROPERLY GROUPED TO ACHIEVE APPROPRIATE BREAKPOINTS IN PRICING. ALLEGED COMPENSATORY DAMAGE UNSPECIFIED.
Product Type: Other



Other Product Type(s): ICS (VISION/ACCESS)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/20/2007

Complaint Pending? No

Status: Settled

Status Date: 07/13/2007

Settlement Amount: \$11,868.64

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: CLIENT ACCOUNTS WERE NOT PROPERLY GROUPED TO ACHIEVE APPROPRIATE BREAKPOINTS IN PRICING. ALLEGED COMPENSATORY DAMAGE UNSPECIFIED.

Product Type: Other

Other Product Type(s): ICS (VISION/ACCESS)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/20/2007

Complaint Pending? No

Status: Settled

Status Date: 07/13/2007

Settlement Amount: \$11,868.64

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

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

Allegations: CUSTOMER CLAIMED UNAUTHORIZED TRADES WERE MADE. ORAL COMPLAINT. ALLEGED DAMAGES UNSPECIFIED.

Product Type: Other

Other Product Type(s): BONDS

Alleged Damages: \$0.00

Customer Complaint Information



Date Complaint Received:	12/29/2005
Complaint Pending?	No
Status:	Settled
Status Date:	01/27/2006
Settlement Amount:	\$11,386.20
Individual Contribution Amount:	\$0.00



End of Report

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