User Guidance

www.adviserinfo.sec.gov

IAPD Report

HAROLD JAY MEYERS

CRD# 333327

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

HAROLD JAY MEYERS (CRD# 333327)

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 **09/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	07/09/2009
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	07/14/2009

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **16** 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	WELLS FARGO ADVISORS, LLC	19616	BEVERLY HILLS, CA	01/01/2008 - 07/10/2009
IA	WELLS FARGO ADVISORS, LLC	19616	BEVERLY HILLS, CA	01/01/2008 - 07/10/2009
B	A. G. EDWARDS & SONS, INC.	4	BEVERLY HILLS, CA	12/05/2003 - 01/03/2008

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	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 **16** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/16/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/16/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/16/2025
B	FINRA	General Securities Representative	Approved	07/14/2009
B	Investors' Exchange LLC	General Securities Representative	Approved	09/16/2025
B	NYSE American LLC	General Securities Representative	Approved	07/14/2009
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/16/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/16/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	07/14/2009
B	Nasdaq Stock Market	General Securities Representative	Approved	07/14/2009
B	New York Stock Exchange	General Securities Representative	Approved	07/14/2009
B	Arizona	Agent	Approved	05/28/2020
IA	California	Investment Adviser Representative	Approved	07/09/2009

Qualifications

	Regulator	Registration	Status	Date
B	California	Agent	Approved	07/14/2009
B	Colorado	Agent	Approved	07/14/2009
B	District of Columbia	Agent	Approved	11/17/2021
B	Florida	Agent	Approved	08/04/2025
B	Louisiana	Agent	Approved	09/29/2020
B	Maryland	Agent	Approved	04/12/2022
B	Massachusetts	Agent	Approved	06/18/2019
B	Nevada	Agent	Approved	09/03/2010
B	New Hampshire	Agent	Approved	02/13/2019
B	New Jersey	Agent	Approved	07/14/2009
B	New York	Agent	Approved	07/14/2009
B	Oregon	Agent	Approved	07/18/2017
B	Texas	Agent	Approved	07/14/2009
B	Utah	Agent	Approved	10/21/2016
B	Wisconsin	Agent	Approved	05/28/2025

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
2121 AVENUE OF THE STARS (FOX PLAZA)
SUITE 2100 & 2150
LOS ANGELES, CA 90067

STIFEL, NICOLAUS & COMPANY, INCORPORATED
LOS ANGELES, CA

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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	NYSE Allied Member Examination (S41)	Series 41	08/28/1978
B	Registered Representative Examination (S1)	Series 1	02/21/1958

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/07/1997

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
B	01/01/2008 - 07/10/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	BEVERLY HILLS, CA
IA	01/01/2008 - 07/10/2009	WELLS FARGO ADVISORS, LLC	CRD# 19616	BEVERLY HILLS, CA
B	12/05/2003 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	BEVERLY HILLS, CA
IA	12/08/2003 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	BEVERLY HILLS, CA
B	07/11/2001 - 12/17/2003	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	01/14/1997 - 07/11/2001	WELLS FARGO VAN KASPER, LLC	CRD# 7665	SAN FRANCISCO, CA
B	03/30/1995 - 12/19/1996	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	06/26/1995 - 07/28/1995	MEYERS SECURITIES CORPORATION	CRD# 7183	ROCHESTER, NY
B	02/24/1978 - 03/24/1995	H.J. MEYERS & CO., INC.	CRD# 7183	ROCHESTER, NY
B	01/20/1978 - 03/10/1978	LOEB PARTNERS	CRD# 7534	
B	01/04/1977 - 01/20/1978	LOEB RHOADES & CO. INC.	CRD# 7502	
B	05/16/1974 - 01/04/1977	LOEB, RHOADES & CO. INC.	CRD# 525	
B	03/12/1969 - 04/21/1974	SHEARSON, HAMMILL & CO., INCORPORATED	CRD# 766	

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
07/2009 - Present	STIFEL NICOLAUS & CO INC	FINANCIAL ADVISOR	Y	WESTWOOD, CA, 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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	WEST VIRGINIA SECURITIES DIVISION
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/04/1994
Docket/Case Number:	94-1043 (E94-0719)
Employing firm when activity occurred which led to the regulatory action:	H. J. MEYERS & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	THE RESPONDENTS HAVE VIOLATED THE PROVISIONS OF THE ACT: UNREGISTERED BROKER/DEALER & AGENT,OFFERING & SELLING SECURITIES IN THIS STATE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/12/1994
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	CEASE & DESIST ORDER FINAL

Regulator Statement	SEE #7 ABOVE CONTACT: J.P.SEYMOUR,CHIEF OF ENFORCEMENT,(304)558-2257 OR FAX # (304) 344-2229.

Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF WEST VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/04/1994
Docket/Case Number:	94-1043 (E94-0719)
Employing firm when activity occurred which led to the regulatory action:	H. J. MEYERS & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	BROKER AT H. J. MEYERS & CO., INC., FIRM OF WHICH HAROLD JAY MEYERS WAS PRESIDENT, ENGAGED IN A TRANSACTION IN A STATE IN WHICH THE FIRM WAS NOT REGISTERED. NOT HAROLD J. MEYERS PERSONALLY.
Current Status:	Final
Resolution:	Consent
Resolution Date:	09/12/1994
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	CEASE & DESIST ORDER ISSUED BY STATE OF WEST VIRGINIA
Broker Statement	Not Provided

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/30/1986
Docket/Case Number:	LA-4061
Employing firm when activity occurred which led to the regulatory action:	H. J. MEYERS & CO.
Product Type:	

Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	10/31/1987
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. LA-4061 FILED APRIL 30, 1986 BY DISTRICT NO. 2S AGAINST H. J. MEYERS & CO., INC. AND HAROLD JAY MEYERS, VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT MEYERS, PARTICIPATED IN CONTINGENCY OFFERINGS AND FAILED TO PROMPTLY TRANSMIT FUNDS RECEIVED FOR THE PURCHASE OF UNITS TO ESCROW ACCOUNT IN CONTRAVENTION OF SEC RULE 15c2-4; REPRESENTED THAT UNITS WERE BEING OFFERED ON A "MINIMUM-MAXIMUM BASIS AND THAT CONSIDERATION PAID WOULD BE REFUNDED IF THE REQUISITE NUMBER OF UNITS WERE NOT SOLD BY A SPECIFIED DATE WHEN, IN THE UNITS WERE NOT SOLD BY SUCH DATE AND THE CONSIDERATION PAID WAS NOT REFUNDED; AND, WHILE PURPORTING TO OPERATE WITHIN THE EXEMPTIVE PROVISIONS OF SUBPARAGRAPH (k)(2)(i) OF RULE 15c3-3 AND NOT OTHERWISE COMPLYING WITH THE PROVISIONS OF THE RULE, DEPOSITED CUSTOMERS' FUNDS INTO ITS OPERATING ACCOUNT. DECISION RENDERED JUNE 1, 1987, WHEREIN RESPONDENT MEMBER IS CENSURED, FINED $15,000.00 AND ASSESSED COSTS OF $97.00 AND RESPONDENT MEYERS IS CENSURED, FINED $10,000.00 AND ASSESSED COST OF $97.00. IF NO FURTHER ACTION, DECISION IS FINAL JULY 15, 1987. JUNE 16, 1987 - APPEALED TO THE BOARD OF GOVERNORS. NOT REFUNDED; AND, WHILE PURPORTING TO OPERATE WITHIN THE BOARD OF GOVERNORS' DECISION RENDERED OCTOBER 1, 1987 WHEREIN THE FINDINGS MADE AND THE SANCTIONS IMPOSED ARE AFFIRMED; THEREFORE, RESPONDENT MEMBER IS CENSURED AND FINED $10,000.00 AND RESPONDENT MEYERS IS CENSURED AND FINED $5,000.00, AND RESPONDENTS ARE ASSESSED COSTS OF $97.00, JOINTLY AND SEVERALLY. ALLEGATIONS CONTAINED IN THE FIRST CAUSE OF A FAILURE TO DEPOSIT FUNDS TO AN ESCROW ACCOUNT ARE DISMISSED IN REGARD TO ONE OFFERING AND SUSTAINED AS TO THE OTHER. IF NO FURTHER ACTION, DECISION IS FINAL OCTOBER 31, 1987. OCTOBER 31, 1987 - DECISION IS FINAL. NOT REFUNDED; AND, WHILE PURPORTING TO OPERATE WITHIN THE *****$5,097.00 FINE & COST PAID 9/27/88*****

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	04/30/1986
Docket/Case Number:	LA-4061
Employing firm when activity occurred which led to the regulatory action:	H. J. MEYERS & CO.
Product Type:	
Other Product Type(s):	
Allegations:	IN LATE 1983 AND EARLY 1984. WHILE OFFERING PRIVATE PLACEMENT, THE FUNDS, RECEIVED FORM PUBLIC CUSTOMERS WERE NOT TRANSMITTED TO SEPARATE ESCROW ACCOUNTS. THIS WAS DONE UNINTENTIONALLY, AS THESE WERE OUR FIRST UNDERTAKINGS OF PRIVATE PLACEMENTS. THE INVESTIGATION WAS INITIATED BY THE NASD THERE WERE NO CUSTOMER COMLAINTS THE FUNDS WERE FORWARDED TO THE ISSUER AND SECURITIES WERE ISSUED TO CUSTOMERS.
Current Status:	Final
Resolution:	Decision
Resolution Date:	10/31/1987
Sanctions Ordered:	Censure Monetary/Fine $5,000.00
Other Sanctions Ordered:	
Sanction Details:	CENSURED & FINED $5,000.
Broker Statement	NO CUSTOMERS WERE HARMED OR EXPERIENCED ANY LOSS.

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:	Individual
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege breach of fiduciary duty; breach of written contract; fraud by misrepresentation and omission; and violation of state and federal securities law, FINRA Rules of Fair Practice and NYSE Rules.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$281,134.00
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 #:	16-03710
Filing date of arbitration/CFTC reparation or civil litigation:	12/20/2016

Customer Complaint Information

Date Complaint Received:	01/11/2017
Complaint Pending?	No
Status:	Settled
Status Date:	01/04/2019
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Clients allege registered representative invested a significant portion of clients' savings in highly risky, concentrated energy positions. 1/23/15 through 4/9/15

Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	No damage amount was alleged, but the firm has made a good faith determination that the damages from the alleged conduct could be $5000.00 or greater
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:	07/18/2016
Complaint Pending?	No
Status:	Denied
Status Date:	08/19/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	STIFEL, NICOLAUS & COMPANY, INCORPORATED
Allegations:	Claimants allege breach of fiduciary duty, breach of written contract, fraud by misrepresentation and omission, financial abuse, violation of state and federal securities laws and FINRA rules of Fair Practice and NYSE Rules.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$677,317.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02476
Filing date of arbitration/CFTC reparation or civil litigation:	09/17/2015

Customer Complaint Information

Date Complaint Received:	10/05/2015
Complaint Pending?	No

Status:	Denied
Status Date:	09/20/2016
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	The Panel assessed 100% of the hearing fees charged to Claimants.

Disclosure 4 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	BRCH OF FIDUCIARY DT; UNAUTHORIZED TRADING; ACCOUNT RELATED-BREACH OF CONTRACT
Product Type:	
Alleged Damages:	$47,856.02

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #96-01147
Date Notice/Process Served:	03/22/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/17/1997
Disposition Detail:	CASE IS CLOSED, SETTLED ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	I DO NOT KNOW BECAUSE I`VE NOT SEEN A COPY OF THE STATEMENT OF CLAIM FILED WITH NASD HOWEVER IF THE CLAIM IS AS FILED IN STATE COURT THERE ARE NO ALLEGATIONS AGAINST ME OTHER THAN IN MY CAPACITY AS PRINCIPAL. IN OTHER WORDS CUSTOMER WAS NEVER MY CLIENT AND I NEVER SPOKE TO

	THEM.
Product Type:	
Alleged Damages:	$47,856.02

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOC. OF SECURITIES DEALERS; 96-01147
Date Notice/Process Served:	03/22/1996
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/17/1997
Monetary Compensation Amount:	$47,948.98
Individual Contribution Amount:	$0.00
Broker Statement	THE CASE WAS SETTLED FOR $47948.98 BUT I, H.J. MEYERS WAS NOT PART OF THE SETTLEMENT OR FINED OR CHARGED IN ANY CAPACITY. NOT PROVIDED

Disclosure 5 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	H.J. MEYERS & CO., INC.
Allegations:	CHURNING; UNAUTHORIZED TRADING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #95-04401
Date Notice/Process Served:	09/28/1995
Arbitration Pending?	No

Disposition: Settled

Disposition Date: 09/16/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** PARTIES SETTLED THRU MEDIATION **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: I WAS ACCUSED OF FAILURE TO SUPERVISE AND WAS
NAMED AS A RESPONDENT IN MY CAPACITY AS A CONTROLLING PERSON
AND PRINCIPAL

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/16/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 95-04401

Date Notice/Process Served: 09/28/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/16/1998

Monetary Compensation Amount: $47,000.00

Individual Contribution Amount:

Broker Statement SETTLED - $47,000.00
I WAS NEVER THE SUPERVISOR OF THIS BROKER. THESE
ALLEGATIONS AGAINST ME ARE FALSE. I DO NOT KNOW THE CUSTOMER
AND
NEVER SPOKE TO THEM, NEVER THE LESS I AGREED TO THE
SETTLEMENT
IN ORDER TO AVOID SIGNIFICANT ATTORNEY FEES AND COSTS AND MY
CONCERN ABOUT THE FACT THAT THE ARBITRATION WAS TO TAKE PLACE
IN FLORIDA WHERE I DO NOT RESIDE. I WAS NEVER THE SUPERVIOSR
OF THIS BROKER OR THE OFFICE IN WHICH HE WORKED I WAS NAMED AS
A CONTROL PERSON OF THE FIRM WHEN I WAS WITH H.J. MEYERS & CO.

Disclosure 6 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: ACCOUNT RELATED-BREACH OF CONTRACT; MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: $900,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-03148

Date Notice/Process Served: 07/25/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/27/1996

Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES,
RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: BREACH OF CONTRACT 900000 FAILURE TO DISCLOSE
FIN. INFO (ILLEGIBLE) CASE HAS BEEN SETTLED WITH NO PAYMENT DUE OF HAROLD J. MEYERS.

Product Type:

Alleged Damages: $900,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	National Association of Securities Dealers, Inc.; 95-03148
Date Notice/Process Served:	07/25/1995
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/27/1996
Broker Statement	HAROLD J. MEYERS WAS NOT INCLUDED IN SETTLEMENT PAYMENT. Not Provided

End of Report

This page is intentionally left blank.

