



## IAPD Report

# Jonathan Ben Mirer

CRD# 336638

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**i** 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

### Jonathan Ben Mirer (CRD# 336638)

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 **03/26/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/11/2016
<b>IA</b>	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	07/19/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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>IA</b>	WELLS FARGO ADVISORS, LLC	19616	HENDERSON, NV	04/13/2004 - 08/05/2016
<b>B</b>	WELLS FARGO ADVISORS, LLC	19616	HENDERSON, NV	07/01/2003 - 08/05/2016
<b>IA</b>	WACHOVIA SECURITIES, LLC	19616	HENDERSON, NV	07/01/2003 - 03/15/2004

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	8
Termination	1



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **13** 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>B</b>	FINRA	General Securities Representative	Approved	07/11/2016
<b>B</b>	Arizona	Agent	Approved	02/20/2025
<b>B</b>	California	Agent	Approved	07/11/2016
<b>B</b>	Connecticut	Agent	Approved	07/11/2016
<b>B</b>	Florida	Agent	Approved	07/18/2016
<b>B</b>	Georgia	Agent	Approved	07/11/2016
<b>B</b>	Kentucky	Agent	Approved	07/11/2016
<b>B</b>	Massachusetts	Agent	Approved	08/19/2016
<b>B</b>	Nevada	Agent	Approved	07/11/2016
<b>IA</b>	Nevada	Investment Adviser Representative	Approved	07/19/2016
<b>B</b>	New Hampshire	Agent	Approved	07/12/2016
<b>B</b>	New Jersey	Agent	Approved	07/12/2016
<b>B</b>	New York	Agent	Approved	07/12/2016



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	03/26/2026
<b>B</b> Ohio	Agent	Approved	07/12/2016

### Branch Office Locations

**AMERIPRISE FINANCIAL SERVICES, LLC**  
2495 Village View Dr Ste 200  
Henderson, NV 89074

**AMERIPRISE FINANCIAL SERVICES, LLC**  
Hnederson, NV



## 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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 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 AMEX Put and Call Exam (PC)	PC	05/19/1977
 Registered Representative Examination (S1)	Series 1	01/13/1972

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/01/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1980

### 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	04/13/2004 - 08/05/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	HENDERSON, NV
B	07/01/2003 - 08/05/2016	WELLS FARGO ADVISORS, LLC	CRD# 19616	HENDERSON, NV
IA	07/01/2003 - 03/15/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	HENDERSON, NV
IA	09/07/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	FT LAUDERDALE, FL
B	09/01/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/23/1998 - 08/25/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	03/18/1993 - 04/15/1998	CIBC OPPENHEIMER CORP.	CRD# 630	NEW YORK, NY
B	11/02/1990 - 03/29/1993	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	07/23/1990 - 11/22/1991	CONNOR GREENFIELD SECURITIES CORPORATION	CRD# 22931	
B	12/20/1985 - 11/15/1989	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	03/18/1983 - 01/09/1986	ROTAN MOSLE INC.	CRD# 727	
B	11/04/1974 - 03/24/1983	OPPENHEIMER & CO., INC.	CRD# 630	
B	01/19/1972 - 12/11/1974	DEAN WITTER & CO. INCORPORATED	CRD# 6466	

#### 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	Henderson, NV, United States
07/2016 - 03/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Henderson, NV, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2009 - 07/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	PORTSMOUTH, NH, 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
Customer Dispute	8
Termination	1

### 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 8

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Wells Fargo Advisors
<b>Allegations:</b>	Claimants allege FA over-concentrated their portfolio in unsuitable investments.
<b>Product Type:</b>	Other: Miscellaneous
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Claimants request the Panel award compensatory damages in excess of \$75,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-00665
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	03/24/2020

### Customer Complaint Information



**Date Complaint Received:** 03/24/2020  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/31/2022  
**Settlement Amount:** \$50,000.00  
**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors  
**Allegations:** Claimants allege FA over-concentrated their portfolio in unsuitable investments.  
**Product Type:** Other: Miscellaneous  
**Alleged Damages:** \$0.00  
**Alleged Damages Amount Explanation (if amount not exact):** Claimants request the Panel award compensatory damages in excess of \$75,000.  
**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  
**Docket/Case #:** 20-00665  
**Filing date of arbitration/CFTC reparation or civil litigation:** 03/24/2020

**Customer Complaint Information**

**Date Complaint Received:** 03/24/2020  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 10/31/2022  
**Settlement Amount:** \$50,000.00  
**Individual Contribution Amount:** \$0.00

**Disclosure 2 of 8**

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unauthorized trading. (8/27/2009-7/11/2016)

**Product Type:** Other: Equity-Foreign

**Alleged Damages:** \$62,000.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 10/25/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/07/2017

**Settlement Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unauthorized trading (8/27/2009-7/11/2016).

**Product Type:** Other: Equity-Foreign

**Alleged Damages:** \$62,000.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 10/25/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/07/2017

**Settlement Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Disclosure 3 of 8**



**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged she was never told about any of the trades in her account. (9/13/2000-3/23/2016)

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$40,000.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/23/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/31/2017

**Settlement Amount:** \$30,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged she was never told about any of the trades in her account(9/13/2000-3/23/2016).

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$40,000.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/23/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 01/31/2017

**Settlement Amount:** \$30,000.00

**Individual Contribution Amount:** \$0.00



**Disclosure 4 of 8**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unsuitable investments in energy stocks. (1/19/2005-4/14/2016)

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 04/04/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/10/2017

**Settlement Amount:** \$17,300.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unsuitable investments in energy stocks (1/19/2005-4/14/2016).

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 04/04/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/10/2017



**Settlement Amount:** \$17,300.00

**Individual Contribution Amount:** \$0.00

**Disclosure 5 of 8**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unsuitable investments. (9/10/2008-3/17/2016)

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/17/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/30/2016

**Settlement Amount:** \$55,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors

**Allegations:** Client verbally alleged unsuitable investments. (9/10/2008-3/17/2016)

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

**Is this an oral complaint?** Yes

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/17/2016

**Complaint Pending?** No

**Status:** Settled



**Status Date:** 12/30/2016

**Settlement Amount:** \$55,000.00

**Individual Contribution Amount:** \$0.00

#### Disclosure 6 of 8

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors, LLC

**Allegations:** Claimant alleges that from 2009 through 2016, FA made unauthorized trades and unsuitable investments.

**Product Type:** Other: Miscellaneous

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Claimant is seeking unspecified damages but a good faith determination indicates damages to be greater than \$5,000.

#### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 16-02089

**Date Notice/Process Served:** 07/26/2016

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/17/2017

**Monetary Compensation Amount:** \$17,000.00

**Individual Contribution Amount:** \$17,000.00

**Firm Statement** This settlement with FA only. Wells Fargo was first notified about the settlement on 10/3/19.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Wells Fargo Advisors, LLC

**Allegations:** Claimant alleges that from 2009 through 2016, FA made unauthorized trades and unsuitable investments.

**Product Type:** Other: Miscellaneous

**Alleged Damages:** \$0.00



**Alleged Damages Amount Explanation (if amount not exact):** Claimant is seeking unspecified damages but a good faith determination indicates damages to be greater than \$5,000.

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 16-02089

**Date Notice/Process Served:** 07/26/2016

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/17/2017

**Monetary Compensation Amount:** \$17,000.00

**Individual Contribution Amount:** \$17,000.00

### Disclosure 7 of 8

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER

**Allegations:** CLAIMANTS ALLEGE INTER ALIA, COMMON LAW AND STATUTORY SECURITIES VIOLATIONS IN CONNECTION WITH EQUITY TRANSACTIONS FROM JANUARY THROUGH APRIL 2000.

**Product Type:** Other

**Other Product Type(s):** EQUITY

**Alleged Damages:** \$282,000.00

### Customer Complaint Information

**Date Complaint Received:** 06/04/2001

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 10/28/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD # 01-02693

**Date Notice/Process Served:** 06/01/2001

**Arbitration Pending?** No



**Disposition:** Settled  
**Disposition Date:** 10/28/2002  
**Monetary Compensation Amount:** \$67,500.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** CLAIMANTS AGREED TO COOPERATE IN THE EXPUNGEMENT OF THIS MATTER FROM MR. MIRER'S CRD. FURTHERMORE, MR. MIRER DID NOT CONTRIBUTE TO THE SETTLEMENT.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DEAN WITTER  
**Allegations:** CLAIMANTS ALLEGE INTER ALIA, COMMON LAW AND STATUTORY SECURITIES VIOLATIONS IN CONNECTION WITH EQUITY TRANSACTIONS FROM JANUARY THROUGH APRIL 2000  
**Product Type:** Other  
**Other Product Type(s):** EQUITY  
**Alleged Damages:** \$282,000.00

### Customer Complaint Information

**Date Complaint Received:** 06/04/2001  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 06/04/2001  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD # 01-02693  
**Date Notice/Process Served:** 06/01/2001  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 10/28/2002  
**Monetary Compensation Amount:** \$67,500.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** CLAIMANTS AGREED TO COOPERATE IN THE EXPUNGEMENT OF THIS MATTER FROM MR. MIRER'S CRD. FURTHERMORE, MR. MIRER DID NOT CONTRIBUTE TO THE SETTLEMENT.



**Disclosure 8 of 8**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER

**Allegations:** SUITABILITY;

**Product Type:**

**Alleged Damages:** \$123,750.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #87-01861

**Date Notice/Process Served:** 09/28/1987

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 07/19/1989

**Disposition Detail:** AWARD AGAINST PARTY  
\*\*\*MIRER IS LIABLE IN THE AMOUNT OF \$3,750.00 IN ACTUAL DAMAGES\*\*\*

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**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER

**Allegations:**

**Product Type:**

**Alleged Damages:** \$123,750.00

**Customer Complaint Information**

**Date Complaint Received:** 11/12/1986

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/19/1989

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 87-01861

**Date Notice/Process Served:** 09/28/1987



**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 07/19/1989

**Monetary Compensation Amount:** \$3,750.00

**Individual Contribution Amount:** \$3,750.00

**Firm Statement** MIRER RESIGNED VOLUNTARILY ON 10/21/89 FOR THE FOLLOWING REASON;  
ON NOVEMBER 12, 1986, [CUSTOMER] WROTE TO OPPENHEIMER AND CO., INC. TO COMPLAIN OF THE CONDUCT OF JONATHAN MIRER CONCERNING THE PURCHASE BY [CUSTOMER] OF 33,000 SHARES IN NATIONWIDE POWER CORP. AT \$4 PER SHARE. THIS TRANSACTION OCCURED  
WHEN MIRER WAS WORKING AT ROTAN MOSLE. ACCORDING TO [CUSTOMER'S] LETTER, THE PRICE OF THE STOCK HAD DECLINED BECAUSE OF THE  
BANKRUPTCY OF NATIONWIDE TO \$0.25 PER SHARE CAUSING HIM A LOSS OF APPROXIMATELY \$123,750.00. IN HIS LETTER, [CUSTOMER] ALLEGED THAT  
"HE WAS LED TO BELIEVE" BY MIRER THAT A PERSONAL FRIEND OF MIRER, WAS GOING TO PURCHASE A LARGE AMOUNT OF STOCK (IN NATIONWIDE) AND THUS CREATE A RISE IN PRICE. ADDITIONALLY, [CUSTOMER] ALLEGES THAT MIRER LED HIM TO BELIEVE THAT MIRER HAD ENTERED AN ORDER TO SELL THE NATIONWIDE STOCK. THE NATIONWIDE STOCK WAS NOT SOLD. THE PRICE OF THE STOCK LATER FELL CAUSING [CUSTOMER] A LOSS. ON DECEMBER 16, 1986, THE NATIONAL ASSOCIATION OF SECURITIES DEALERS INC. BEGAN REVIEWING [CUSTOMER'S] COMPLAINT. ON JANUARY 21, 1987, OPPENHEIMER REPLIED TO THE NASD DENYING WRONGDOING ON THE PART OF MIRER.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PAINEWEBBER

**Allegations:** 1) FAILURE & REFUSAL TO EXECUTE MKT ORDER BY [CUSTOMER] TO SELL; 2) RECOMMENDING SPECULATIVE, UNSUITABLE STOCK TO [CUSTOMER]; 3) SPECIFIC COMPANY RECOMMENDED WAS NOT FINANCIALLY SOUND/INSOLVENT; 4) [OTHER FIRM EMPLOYEE] & MIRER TRADED PARTICULAR STOCK OF OUR OWN & PREFERENTIAL CUSTOMERS BASED ON INFORMATION NOT GIVEN TO [CUSTOMER]. AWARD REQUEST OF \$163,179.46.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$123,750.00

### Customer Complaint Information

**Date Complaint Received:** 11/12/1986

**Complaint Pending?** No



**Status:** Arbitration/Reparation

**Status Date:** 07/19/1989

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; 87-01861

**Date Notice/Process Served:** 09/28/1987

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 07/19/1989

**Monetary Compensation Amount:** \$3,750.00

**Individual Contribution Amount:** \$3,750.00

### Civil Litigation Information

**Disposition:** Monetary Judgment to Customer

**Disposition Date:**

**Broker Statement**

THE RESPONDENT, MIRER, SHALL BE LIABLE TO THE CLAIMANT AND SHALL PAY THE SUM OF THREE THOUSAND SEVEN HUNDRED FIFTY DOLLARS (\$3,750.00), SUCH AMOUNT REPRESENTS CLAIMANTS ACTUAL DAMAGES.  
SUMMARY:1) PAINWEBBER ATTORNEY ASKED [CUSTOMER] DIRECTLY "DID YOU GIVE MR. MIRER A MARKET ORDER TO SELL THE STOCK"? [CUSTOMER'S] REPLY "NO I DIDN'T" 2) P.W. ATTORNEY PROVED BY GETTING RECORDS OF OTHER [CUSTOMER] ACCOUNTS AT OTHER FIRMS, THAT HE DISTINCTLY BOUGHT SPECULATIVE STOCKS IN LARGE SIZE (100,000+). 3) WE SUBMITTED QUARTERLY 10Q, 10K TO DISPROVE THIS, COMPANY WAS EARNING MONEY, HAS NO DEBT. 4) P.W. PROVIDED COMPUTER RUNS OF ALL TRANSACTIONS IN THE STOCK, MIRER & [OTHER FIRM EMPLOYEE] DID NO TRADING, NOR DID ANY PREFERENTIAL CUSTOMERS. IN SUMMARY, ALL CLAIMS IN CASE WERE DISPROVED; ONLY QUESTIONABLE CONDUCT ACCORDING TO ARBITRATORS - BROKERS EVENTUAL RESPON. TO TELL CLIENT TO SELL IN THESE SITUATIONS.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Firm Name:** RAYMOND JAMES & ASSOCIATES, INC

**Termination Type:** Permitted to Resign

**Termination Date:** 12/01/1992

**Allegations:** N/A  
IT WAS DETERMINED THAT MR. MIRER AS GENERAL PARTNER OF AN INVESTMENT PARTNERSHIP PAID MONIES TO HIMSELF WITHOUT ADEQUATE WRITTEN BACK-UP, WHICH MONIES WERE SUBSEQUENTLY RETURNED

**Product Type:**

**Other Product Types:**

**Broker Statement** I WAS PERMITTED TO RESIGN.  
AS GENERAL PARTNER, I HAD LEGAL AUTHORITY AND OBLIGATION TO PAY ALL OPERATING EXPENSES OF THE PARTNERSHIP (SEC. 207,P7), INCLUDING ALL TAXES, ORGANIZATION AND INVESTMENT EXPENSES, LEGAL EXPENSES. IN AUG., 1992 THE PARTNERSHIP'S ATTORNEYS RECOMMENDED AMENDING THE PARTNERSHIP DOCUMENTS, REWRITING TAX OPINIONS AND UPDATING REGISTRATIONS. THE LEGAL WORK WAS ESTIMATED AT \$10,000, AND \$10,000 WAS WITHDRAWN FROM THE PARTNERSHIP RESERVES. \$2,500 WAS BILLED AND PAID, AND AFTER BEING TOLD BY THE ATTORNEYS THAT NO FURTHER BILLS WERE FORTHCOMING IN 1992, I REDEPOSITED THE \$7,500 BALANCE INTO THE PARTNERSHIP ACCOUNT. RAYMOND JAMES SAID I TOOK MONIES OUT OF THE ACCOUNT WITHOUT BILLING DOCUMENTS AS BACKUP. BUT THE PARTNERSHIP DOCUMENTS ALLOWED WITHDRAWAL OF MONIES FOR RESERVES FOR LEGAL COSTS.



## End of Report

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