



IAPD Report

KERRIE LEIGH MILLIGAN

CRD# 4276095

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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

KERRIE LEIGH MILLIGAN (CRD# 4276095)

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 **11/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	10/11/2012
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	07/01/2013

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **47** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	CHICAGO, IL	10/11/2012 - 06/24/2013
B	MORGAN STANLEY	149777	CHICAGO, IL	06/01/2009 - 10/17/2012
IA	MORGAN STANLEY	149777	CHICAGO, IL	06/01/2009 - 10/17/2012

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
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 **47** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

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

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 705

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/11/2012
B Investors' Exchange LLC	General Securities Representative	Approved	11/14/2025
B MEMX LLC	General Securities Representative	Approved	11/14/2025
B NYSE American LLC	General Securities Representative	Approved	10/11/2012
B NYSE Arca, Inc.	General Securities Representative	Approved	11/14/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	11/14/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/11/2012
B Nasdaq Stock Market	General Securities Representative	Approved	10/11/2012
B New York Stock Exchange	General Securities Representative	Approved	10/11/2012
B Alabama	Agent	Approved	10/11/2012
B Alaska	Agent	Approved	12/10/2021
B Arizona	Agent	Approved	10/11/2012
B Arkansas	Agent	Approved	09/04/2019



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	12/15/2015
B Colorado	Agent	Approved	10/11/2012
B Connecticut	Agent	Approved	11/14/2017
B Delaware	Agent	Approved	06/02/2022
B District of Columbia	Agent	Approved	01/09/2018
B Florida	Agent	Approved	10/11/2012
IA Florida	Investment Adviser Representative	Approved	07/31/2013
B Georgia	Agent	Approved	01/09/2018
B Idaho	Agent	Approved	01/13/2025
B Illinois	Agent	Approved	10/11/2012
B Indiana	Agent	Approved	03/31/2017
B Iowa	Agent	Approved	09/13/2013
B Kansas	Agent	Approved	11/16/2018
B Kentucky	Agent	Approved	04/21/2015
B Louisiana	Agent	Approved	10/11/2012
B Maine	Agent	Approved	01/05/2018
B Maryland	Agent	Approved	11/14/2017
B Massachusetts	Agent	Approved	03/13/2014
B Michigan	Agent	Approved	01/08/2018



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	03/17/2014
B Missouri	Agent	Approved	01/25/2018
B Montana	Agent	Approved	01/25/2018
B Nevada	Agent	Approved	10/28/2020
B New Hampshire	Agent	Approved	03/07/2018
B New Jersey	Agent	Approved	10/11/2012
B New Mexico	Agent	Approved	01/05/2018
B New York	Agent	Approved	12/08/2017
B North Carolina	Agent	Approved	10/11/2012
B Ohio	Agent	Approved	02/28/2013
B Oklahoma	Agent	Approved	01/25/2018
B Oregon	Agent	Approved	02/05/2018
B Pennsylvania	Agent	Approved	01/04/2018
B Puerto Rico	Agent	Approved	09/05/2023
B Rhode Island	Agent	Approved	01/08/2018
B South Carolina	Agent	Approved	10/11/2012
B South Dakota	Agent	Approved	12/16/2022
B Tennessee	Agent	Approved	10/11/2012
B Texas	Agent	Approved	10/11/2012



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	07/02/2015
B Utah	Agent	Approved	01/04/2021
B Vermont	Agent	Approved	01/11/2018
B Virginia	Agent	Approved	01/03/2018
B Washington	Agent	Approved	07/01/2016
B West Virginia	Agent	Approved	01/26/2018
B Wisconsin	Agent	Approved	11/25/2013

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
1 TOWN CENTER ROAD
10TH FLOOR
BOCA RATON, FL 33486



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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	08/04/2003
 General Securities Representative Examination (S7)	Series 7	06/07/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/16/2000

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/25/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/20/2000

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	10/11/2012 - 06/24/2013	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	CHICAGO, IL
B	06/01/2009 - 10/17/2012	MORGAN STANLEY	CRD# 149777	CHICAGO, IL
IA	06/01/2009 - 10/17/2012	MORGAN STANLEY	CRD# 149777	CHICAGO, IL
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CHICAGO, IL
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	CHICAGO, IL
IA	06/30/2003 - 04/02/2007	MORGAN STANLEY	CRD# 7556	CHICAGO, IL
B	05/09/2001 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	CHICAGO, IL
B	11/17/2000 - 03/19/2001	PFPC DISTRIBUTORS, INC.	CRD# 31334	PORTLAND, ME

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
06/2013 - Present	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	BOCA RATON, 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.

(1)Name of Business: The Fox's Den Investment Club Address: 3801 Bayview Drive, Ft Lauderdale, FL, 33308, United States Activity Type: Other Position/Title: Other Investment Related: Yes Start Date: 06/01/2017 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I am strictly contributing \$15,000 to be a member in the investment club--I will not be an officer or the broker of record on the account. I will contribute purchase ideas as all members will.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	01/29/2015
Docket/Case Number:	2012034061401
Employing firm when activity occurred which led to the regulatory action:	MORGAN STANLEY SMITH BARNEY
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, GRIMSTAD CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT SHE EFFECTED TRADES IN A CUSTOMER'S ACCOUNT ON THE INSTRUCTIONS OF THE CUSTOMER'S HUSBAND WITHOUT THE CUSTOMER'S PRIOR WRITTEN AUTHORIZATION AND WITHOUT RECEIVING PRIOR APPROVAL TO EXERCISE DISCRETION IN THE ACCOUNT FROM HER MEMBER FIRM.
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:

01/29/2015

Sanctions Ordered:

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 02/24/2015

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement FINE PAID IN FULL ON FEBRUARY 24, 2015.
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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Censure

Date Initiated: 01/29/2015

Docket/Case Number: [2012034061401](#)

Employing firm when activity occurred which led to the regulatory action: MORGAN STANLEY SMITH BARNEY

Product Type: No Product

Allegations: BETWEEN 4/15/11 AND 7/16/12, FA EFFECTED TRADES IN A CUSTOMER'S ACCOUNT ON THE INSTRUCTIONS OF A CUSTOMER'S HUSBAND WITHOUT THE CUSTOMER'S PRIOR WRITTEN AUTHORIZATION AND WITHOUT RECEIVING PRIOR APPROVAL TO EXERCISE DISCRETION IN THE ACCOUNT FROM THE FIRM. BY HER ACTIONS, FA VIOLATED NASD RULE 2510(B) AND FINRA RULE 2010.



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:	01/29/2015
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	02/11/2015
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	THIS MATTER WAS SETTLED WITHOUT ANY ADMISSION OF LIABILITY. CLIENT CONSENTED VERBALLY TO THE TRADES IN QUESTION, DID NOT COMPLAIN AND DID NOT SUFFER A 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 1

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT HE DID NOT AUTHORIZE THE TRADE OF AAPL ON 5/23 OR 5/31. CLIENT WANTS THE SALE RESCINDED AND BE MADE WHOLE. CLIENT ALSO WANTS TO BE CREDITED THE FEES CHARGED ON CASH AND MONEY MARKET FUNDS WITHIN HIS ACCOUNTS. 05/23/2019-06/05/2019.

Product Type: Other: Private Securities

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): \$5,000 OR MORE

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: 07/30/2019

Complaint Pending? No

Status: Denied

Status Date: 08/07/2019

Settlement Amount:

Individual Contribution Amount:

Broker Statement

This is a case of seller's remorse. The client placed GTC orders with sell stops to protect value. While he was out of the country the trades executed. The stock subsequently went higher. The client then complained that he did not place said orders.



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: Firm

Firm Name: MORGAN STANLEY SMITH BARNEY, LLC

Termination Type: Discharged

Termination Date: 09/24/2012

Allegations: EMPLOYEE PROCESSED A WIRE TRANSFER REQUEST BY AN UNAUTHORIZED THIRD-PARTY PURPORTING TO ACT ON BEHALF OF CLIENT. THIS THIRD PARTY, UNBEKNOWNST TO EMPLOYEE, WAS ENGAGED IN FRAUDULENT CONDUCT TO MISAPPROPRIATE FUNDS FROM CLIENT.

Product Type: No Product

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Reporting Source: Individual

Firm Name: MORGAN STANLEY SMITH BARNEY, LLC

Termination Type: Discharged

Termination Date: 09/24/2012

Allegations: EMPLOYEE PROCESSED A WIRE TRANSFER REQUEST BY AN UNAUTHORIZED THIRD-PARTY PURPORTING TO ACT ON BEHALF OF CLIENT. THIS THIRD PARTY, UNBEKNOWNST TO EMPLOYEE, WAS ENGAGED IN FRAUDULENT CONDUCT TO MISAPPROPRIATE FUNDS FROM CLIENT.

Product Type: No Product

Broker Statement

YOU WILL NOTE ON MY CRD RECORD THAT I WAS DISCHARGED FROM EMPLOYMENT WITH MORGAN STANLEY SMITH BARNEY AFTER SERVING AS AN EMPLOYEE FOR ALMOST 12 YEARS. I AM PROVIDING THIS NARRATIVE TO OFFER ADDITIONAL BACKGROUND INFORMATION REGARDING THAT DISCHARGE. THE CIRCUMSTANCE RELATES TO A WIRE REQUEST THAT I BELIEVED HAD COME FROM A CLIENT. IN MID-JULY OF 2012, I RECEIVED A REQUEST VIA EMAIL FROM THE HUSBAND OF A CLIENT REGARDING A WIRE TRANSFER. THIS WAS NOT UNUSUAL, SINCE THE CLIENT HERSELF WAS NOT A SOPHISTICATED INVESTOR, AND RELIED ON HER HUSBAND TO ASSIST HER IN CONNECTION WITH ANY DECISION MAKING RELATED TO HER ACCOUNT. ALTHOUGH HE WAS NOT A LISTED ACCOUNTHOLDER, I WAS USED TO DEALING WITH THE HUSBAND IN CONNECTION WITH VARIOUS ACCOUNT MATTERS. ADDITIONALLY, I NOTED THAT HIS WIFE, THE CLIENT, WAS CC'D ON THE EMAIL. THE EMAIL REQUESTED THAT I COMPLETE A WIRE TRANSFER FOR \$38,000 TO A BANK ACCOUNT. I SUBSEQUENTLY RECEIVED A PHONE CALL FROM A MAN, PURPORTING TO BE THE HUSBAND OF MY CLIENT, CONFIRMING THE WIRE TRANSFER REQUEST. AFTER THE PHONE CONVERSATION, I SENT TO BOTH OF THEM TWO FOLLOW-UP EMAILS CONFIRMING THESE INSTRUCTIONS, PRIOR TO INITIATING THE WIRE REQUEST. AGAIN, THIS WAS NORMAL, INSOFAR AS, ON EACH AND EVERY OCCASION - EVERY TIME- IN OUR HISTORY OF DOING BUSINESS TOGETHER, THE CLIENT



WOULD INSTRUCT ME TO SPEAK TO HER HUSBAND. FOUR WEEKS LATER, IN LATE AUGUST, I RECEIVED A CALL FROM THE CLIENTS, WHO HAD REVIEWED THEIR STATEMENTS AND INFORMED ME THAT THE WIRE REQUEST WAS UNAUTHORIZED. APPARENTLY, A HACKER HAD BREACHED MSSB FIREWALLS AND ACCESSED THE ACCOUNT, AND USED THAT INFORMATION TO SEND THE FRAUDULENT WIRE REQUEST. THE PHONE CALL WAS OBVIOUSLY A LIE AS WELL. I IMMEDIATELY NOTIFIED MSSB MANAGEMENT OF THE CIRCUMSTANCES, AND OFFERED ASSISTANCE IN EVERY WAY POSSIBLE SO THAT THE PERPETRATOR COULD BE CAUGHT. AFTER AN INVESTIGATION, IT APPEARS THAT THE DECISION WAS MADE TO TERMINATE MY EMPLOYMENT.



End of Report

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