



IAPD Report

HOWARD PAUL EISENMAN

CRD# 502906

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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

HOWARD PAUL EISENMAN (CRD# 502906)

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 **06/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NBC SECURITIES, INC.	CRD# 17870	03/21/2000
IA	NBC SECURITIES, INC.	CRD# 17870	04/10/2000

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	JWGENESIS FINANCIAL SERVICES, INC.	11025	ST. LOUIS, MO	05/08/1997 - 04/18/2000
B	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL	04/03/1990 - 04/16/1997
B	SHEARSON LEHMAN HUTTON INC.	7506	NEW YORK, NY	02/09/1988 - 04/18/1990

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	2



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: **NBC SECURITIES, INC.**
Main Address: 1927 FIRST AVENUE NORTH
BIRMINGHAM, AL 35203
Firm ID#: 17870

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/21/2000
B	Alabama	Agent	Approved	08/18/2022
IA	Alabama	Investment Adviser Representative	Approved	08/18/2022
B	Alaska	Agent	Approved	01/07/2022
IA	Alaska	Investment Adviser Representative	Approved	01/24/2022
B	California	Agent	Approved	01/05/2022
IA	California	Investment Adviser Representative	Approved	01/05/2022
B	Florida	Agent	Approved	04/11/2000
IA	Florida	Investment Adviser Representative	Approved	05/16/2001
B	Georgia	Agent	Approved	06/27/2000
IA	Georgia	Investment Adviser Representative	Approved	01/12/2006
B	Indiana	Agent	Approved	08/22/2022
B	Kentucky	Agent	Approved	07/02/2025



Qualifications

Regulator	Registration	Status	Date
IA Kentucky	Investment Adviser Representative	Approved	07/02/2025
IA Louisiana	Investment Adviser Representative	Approved	03/22/2021
B Maryland	Agent	Approved	11/09/2022
IA Mississippi	Investment Adviser Representative	Approved	06/28/2023
B North Carolina	Agent	Approved	04/29/2004
IA North Carolina	Investment Adviser Representative	Approved	07/25/2019
IA South Carolina	Investment Adviser Representative	Approved	03/06/2020
B Virginia	Agent	Approved	03/21/2000
IA Virginia	Investment Adviser Representative	Approved	01/27/2022

Branch Office Locations

NBC SECURITIES, INC.
3116 CAPITOL CIRCLE NE
SUITE 10
TALLAHASSEE, FL 32308



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, 3 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
Interest Rate Options Examination (S5)	Series 5	10/23/1981
General Securities Representative Examination (S7)	Series 7	06/16/1979

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/10/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	08/06/1979

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	05/08/1997 - 04/18/2000	JWGENESIS FINANCIAL SERVICES, INC.	CRD# 11025	ST. LOUIS, MO
B	04/03/1990 - 04/16/1997	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	02/09/1988 - 04/18/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	04/10/1979 - 04/07/1988	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	

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
03/2000 - Present	ENHANCED FINANCIAL SERVICES	FINANCIAL CONSULTANT	Y	TALLAHASSEE, FL, United States
03/2000 - Present	NBC SECURITIES, INC	FINANCIAL CONSULTANT	Y	TALLAHASSEE, 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.

STULTZ, EISENMAN, HAGAN & HAGAN
LLC FORMED FOR PURPOSE OF JOINT OWNERSHIP OF THE BUILDING THE OFFICE IS LOCATED
NO ACTIVE BUSINESS DUTIES



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	2

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:	FLORIDA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/19/2006
Docket/Case Number:	0223A-S-8/05
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	NBC SECURITIES, INC.
Product Type:	No Product
Allegations:	UNAUTHORIZED TRADING ACTIVITY, UNSUITABLE INVESTMENTS, MAKING MISLEADING STATEMENTS, AND FAILURE TO FOLLOW NASD RULES AND OTHER APPLICABLE LAWS
Current Status:	Final
Resolution:	Stipulation and Consent
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:	07/19/2006



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/19/2006

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement ON 7/16/2006, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF HOWARD PAUL EISENMAN. MR. EISENMAN NEITHER ADMITTED NOR DENIED THE FINDINGS. THE OFFICE FOUND THAT MR. EISENMAN ENGAGED IN UNAUTHORIZED TRADING IN AN ACCOUNT. MR. EISENMAN AGREED TO CEASE AND DESIST FROM VIOLATIONS OF CHAPTER 517, F.S. AND TO PAY AN ADMINISTRATIVE FINE OF \$10,000. IN ADDITION, MR. EISENMAN'S REGISTRATION WAS SUBJECT TO THE TERMS OF A REGISTRATION AGREEMENT FOR A PERIOD OF TWO YEARS. MR. EISENMAN WAS GRANTED RELIEF FROM THE TERMS OF THE AGREEMENT ON 9/26/2008.

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 08/01/2005

Docket/Case Number: 0223-S-8/05

Employing firm when activity occurred which led to the regulatory action: NBC SECURITIES, INC.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: RR ALLEGEDLY ENGAGED IN UNAUTHORIZED TRADING IN A CUSTOMER ACCOUNT.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/19/2006



Sanctions Ordered: Monetary/Fine \$10,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING ANY FINDINGS, RR EXECUTED A STIPULATION AND CONSENT AGREEMENT AND AGREED TO PAY AN ADMINISTRATIVE FINE OF \$10,000 AND A TWO YEAR REGISTRATION AGREEMENT WHICH INCLUDED HEIGHTENED SUPERVISION FOR A PERIOD OF 2 YEARS.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 06/08/1988

Docket/Case Number: 892-S-6/88

Employing firm when activity occurred which led to the regulatory action: SHEARSON LEHMAN HUTTON INC.

Product Type: Other

Other Product Type(s):

Allegations: ON JULY 8, 1998, FLORIDA APPROVED THE APPLICATION FOR REGISTRATION OF HOWARD PAUL EISENMAN AS AN ASSOCIATED PERSON OF SHEARSON LEHMAN HUTTON, INC., SUBJECT TO A STIPULATION AGREEMENT. THE AGREEMENT IMPOSES CERTAIN RESTRICTIONS ON EISENMAN'S REGISTRATION, INCLUDING: HE SHALL KEEP THE DEPARTMENT APPRISED OF THE STATUS OF ANY ARBITRATION OR CIVIL SUIT CURRENTLY PENDING AGAINST HIM AND SHALL IMMEDIATELY REPORT ANY COMPLAINT FILED AGAINST HIM HE WILL RECIEVE STRICT SUPERVISION.....HE WILL NOT EXERCISE DISCRETIONARY AUTHORITY;.....HE WILL REFRAIN FROM TRADING FOR OTHERS IN OPTIONS;.....ALL NEW ACCOUNTS HE ACCEPTS WILL BE FIRST APPROVED BY THE BRANCH MANAGER;ALL OF HIS TRADING ORDERS SHALL BE REVIEWED DAILY BY THE BRANCH MANAGER; HE WILL NOT ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY HE WILL NOT ENGAGE IN ANY PROHIBITED BUSINESS PRACTICE AS DEFINED BY RULE E-13, F.A.C.; AND,HE WILL COMPLY ALL STATE AND FEDERAL SECURITIES LAWS. IN ADDITION, THE AGREEMENT PROVIDES THAT EISENMAN'S REGISTRATION WAS SUSPENDED FOR A PERIOD OF FIVE (5) BUSINESS DAYS BEGINNING JUNE 22, 1988, AND THAT HE SHALL PAY A FINE TO THE DEPARTMENT OF \$1,000 TO COVER THE COST OF INVESTIGATION INTO THIS MATTER. DOCKET/CASE NO. 892-S-6/88, DATED JUNE 8, 1988.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 07/08/1988

Sanctions Ordered: Monetary/Fine \$1,000.00



Suspension

Other Sanctions Ordered:

Sanction Details:

ON JULY 8, 1998, FLORIDA APPROVED THE APPLICATION FOR REGISTRATION OF HOWARD PAUL EISENMAN AS AN ASSOCIATED PERSON OF SHEARSON LEHMAN HUTTON, INC., SUBJECT TO A STIPULATION AGREEMENT. THE AGREEMENT IMPOSES CERTAIN RESTRICTIONS ON EISENMAN'S REGISTRATION, INCLUDING: HE SHALL KEEP THE DEPARTMENT APPRISED OF THE STATUS OF ANY ARBITRATION OR CIVIL SUIT CURRENTLY PENDING AGAINST HIM AND SHALL IMMEDIATELY REPORT ANY COMPLAINT FILED AGAINST HIM HE WILL RECIEVE STRICT SUPERVISION.....HE WILL NOT EXERCISE DISCRETIONARY AUTHORITY;.....HE WILL REFRAIN FROM TRADING FOR OTHERS IN OPTIONS;....ALL NEW ACCOUNTS HE ACCEPTS WILL BE FIRST APPROVED BY THE BRANCH MANAGER;ALL OF HIS TRADING ORDERS SHALL BE REVIEWED DAILY BY THE BRANCH MANAGER; HE WILL NOT ACT IN ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL CAPACITY HE WILL NOT ENGAGE IN ANY PROHIBITED BUSINESS PRACTICE AS DEFINED BY RULE E-13, F.A.C.; AND,HE WILL COMPLY ALL STATE AND FEDERAL SECURITIES LAWS. IN ADDITION, THE AGREEMENT PROVIDES THAT EISENMAN'S REGISTRATION WAS SUSPENDED FOR A PERIOD OF FIVE (5) BUSINESS DAYS BEGINNING JUNE 22, 1988, AND THAT HE SHALL PAY A FINE TO THE DEPARTMENT OF \$1,000 TO COVER THE COST OF INVESTIGATION INTO THIS MATTER. DOCKET/CASE NO. 892-S-6/88, DATED JUNE 8, 1988.

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF FLORIDA - DIVISION OF SECURITIES

Sanction(s) Sought:

Suspension

Other Sanction(s) Sought:

STATE OF FLORIDA APPROVED MY REGISTRATION AFTER SERVING A 5 DAY SUSPENSION BEGINNING ON 6/22/1988; AND PAYING THE STATE A \$1000 FINE TO COVER IT'S INVESTIGATIVE COSTS

Date Initiated:

06/08/1988

Docket/Case Number:

892-S-6/88

Employing firm when activity occurred which led to the regulatory action:

SHEARSON LEHMAN HUTTON INC.

Product Type:

Index Option(s)

Other Product Type(s):

Allegations:

STATE OF FLORIDA - DIVISION OF SECURITIES ALLEGED THAT DURING THE PERIOD PENDING THE TRANSFER OF MY SECURITIES LICENSE, 03/88 THRU 07/88, THAT I MAY HAVE VIOLATED STATE STATUTES THROUGH ACTIVITIES AS AN UNLICENSED PERSON - AFTER SHEARSON BOUGHT THE SMITH BARNEY, TALLAHASSEE, FL OFFICE. THE INVESTIGATION INCLUDED A REVIEW OF SEVERAL CUSTOMER COMPLAINTS WHICH HAVE BEEN FILED AGAINST EISENMAN, INCLUDING AT LEAST TWO COMPLAINTS WHICH WERE FILED DIRECTLY WITH THE



DEPARTMENT.

Current Status:

Final

Resolution:

Stipulation and Consent

Resolution Date:

07/08/1988

Sanctions Ordered:

Monetary/Fine \$1,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

RESTRICTED LICENSE ISSUED. 5 DAY SUSPENSION FROM 06/22/88 THRU 06/28/88. PAID \$1,000 TO COVER THE COST INVOLVED IN THE STATE'S INVESTIGATION

Broker Statement

I DENY THAT I PARTICIPATED IN ANY UNLAWFUL SECURITIES SOLICITATION. MY ATTORNEY IN MARCH OF 1988, AFTER CHECKING WITH THE NASD INDICATED THAT MY LICENSE HAD BEEN "TATTED" OVER FROM SMITH BARNEY TO SHEARSON AS OF 03/18/88. I WENT TO WORK WITH THE APPROVAL OF MY BRANCH MANAGER, MERRITT R. CLEMENTS AND HIS SUPERVISOR FOR SHEARSON, RUDY HLAVEK. ONCE NOTIFIED THAT MY LICENSE HAD NOT BEEN TRANSFERRED, MY ACTIVITIES WERE LIMITED TO ACTIVITIES APPROVED BY MY BRANCH MANAGER WITH HIS SUPERVISORS APPROVAL. I DID NOT RECEIVE ANY COMPENSATION AND WAS NOT AWARE THAT I HAD VIOLATED ANY STATE STATUTES. SUBSEQUENTLY, ALL RESTRICTIONS OF MY LICENSE HAVE BEEN LIFTED BY THE STATE OF FLORIDA SECURITIES DIVISION



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NBC SECURITIES, INC.
Allegations:	CUSTOMER ALLEGED REPRESENTATIVE PROVIDED UNSUITABLE ADVISE AND EXECUTED TRANSACTIONS WITHOUT PROPER AUTHORIZATION. CUSTOMER ALLEGES ACTIONS BY REP RESULTED IN TAX LOSSES OF APPROXIMATELY 78,000 AS WELL AS MARKET APPRECIATION OF PG STOCK.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$200,000.00

Customer Complaint Information

Date Complaint Received:	11/18/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/27/2004
Settlement Amount:	\$75,000.00
Individual Contribution Amount:	\$20,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD/FINRA: 05-01026
Date Notice/Process Served:	03/28/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/05/2006
Monetary Compensation Amount:	\$75,000.00
Individual Contribution Amount:	\$20,000.00

Civil Litigation Information

Court Details:	THIRD JUDICIAL CIRCUIT COURT TAYLOR COUNTY, FLORIDA CASE NUMBER 04-694CA
Date Notice/Process Served:	09/27/2004



Litigation Pending? No
Disposition: Dismissed
Disposition Date: 02/23/2005
Monetary Compensation Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: SMITH BARNEY, HARRIS UPHAM & CO, INC.

Allegations: ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION

Product Type:

Alleged Damages: \$21,864.43

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [UNKNOWN - CASE #90-01877](#)

Date Notice/Process Served: 07/10/1990

Arbitration Pending? No

Disposition: Other

Disposition Date: 08/14/1995

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$20,105.00 JOINTLY AND SEVERALLY

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SMITH BARNEY, HARRIS UPHAM & CO, INC.

Allegations: UNSUITALBE TRADES AND MISREPRESENTATION CONCERNING OPTION TRADES IN 1987. CLAIMANT REQUESTED DAMAGES UNDER SECT. 517.211(4) OF THE FL STATUTE OF \$46,031.00

Product Type:

Alleged Damages: \$21,864.43

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.: 90-01877](#)**Date Notice/Process Served:** 07/10/1990**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 08/14/1995**Monetary Compensation Amount:** \$20,105.00**Individual Contribution Amount:****Firm Statement** AN AWARD WAS RENDERED IN THE AMOUNT OF \$20,105.00
CONTACT: PAUL BARENHOLTZ (212) 816-7291**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY, HARRIS UPHAM & CO, INC.**Allegations:** UNSUITABILITY, MISREPRESENTATION. SEEKING DAMAGES OF \$46,031.00
THE COMPLAINT WAS A RESULT OF A TRADE THAT TOOK PLACE IN AUGUST 1987 (JUST PRIOR TO THE MARKET CRASH)**Product Type:** Index Option(s)**Alleged Damages:** \$21,864.43**Customer Complaint Information****Date Complaint Received:** 07/10/1990**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 08/14/1995**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.: 90-01877](#)**Date Notice/Process Served:** 07/10/1990**Arbitration Pending?** No



Disposition:	Award to Customer
Disposition Date:	08/14/1995
Monetary Compensation Amount:	\$20,105.00
Individual Contribution Amount:	\$0.00
Broker Statement	SMITH BARNEY & EISENMAN ARE FOUND LIABLE, AND SHALL PAY THE CLAIMANT \$20,105.00.



End of Report

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