



IAPD Report

HARVEY PHILLIP COOK

CRD# 53025

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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

HARVEY PHILLIP COOK (CRD# 53025)

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 **09/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/23/2018
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	08/24/2018

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **23** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GERMANTOWN, TN	01/15/1992 - 08/14/2018
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	GERMANTOWN, TN	05/11/1978 - 08/14/2018
B	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	572	GERMANTOWN, TN	09/15/1972 - 09/26/1978

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	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 **23** 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 Principal	Approved	08/23/2018
B FINRA	General Securities Representative	Approved	08/23/2018
B FINRA	General Securities Sales Supervisor	Approved	08/23/2018
B FINRA	Municipal Securities Principal	Approved	08/23/2018
B FINRA	Municipal Securities Representative	Approved	08/23/2018
B FINRA	Registered Options Principal	Approved	08/23/2018
B Investors' Exchange LLC	General Securities Principal	Approved	09/09/2025
B Investors' Exchange LLC	General Securities Representative	Approved	09/09/2025
B MEMX LLC	General Securities Principal	Approved	09/09/2025
B MEMX LLC	General Securities Representative	Approved	09/09/2025
B MEMX LLC	General Securities Sales Supervisor	Approved	09/09/2025
B MEMX LLC	Registered Options Principal	Approved	09/09/2025
B NYSE American LLC	General Securities Principal	Approved	08/23/2018



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Representative	Approved	08/23/2018
B NYSE American LLC	Municipal Securities Principal	Approved	08/23/2018
B NYSE American LLC	Municipal Securities Representative	Approved	08/23/2018
B NYSE American LLC	Registered Options Principal	Approved	08/23/2018
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B NYSE Arca, Inc.	General Securities Principal	Approved	09/09/2025
B NYSE Arca, Inc.	General Securities Representative	Approved	09/09/2025
B NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	09/09/2025
B NYSE Arca, Inc.	Registered Options Principal	Approved	09/09/2025
B NYSE Texas, Inc.	General Securities Principal	Approved	09/09/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	09/09/2025
B NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	09/09/2025
B Nasdaq PHLX LLC	General Securities Principal	Approved	08/23/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	08/23/2018
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	08/23/2018
B Nasdaq PHLX LLC	Registered Options Principal	Approved	08/23/2018
B Nasdaq Stock Market	General Securities Principal	Approved	08/23/2018
B Nasdaq Stock Market	General Securities Representative	Approved	08/23/2018
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	08/23/2018



Qualifications

Regulator	Registration	Status	Date
B Nasdaq Stock Market	Registered Options Principal	Approved	08/23/2018
B New York Stock Exchange	General Securities Principal	Approved	08/23/2018
B New York Stock Exchange	General Securities Representative	Approved	08/23/2018
B New York Stock Exchange	Municipal Securities Principal	Approved	08/23/2018
B New York Stock Exchange	Municipal Securities Representative	Approved	08/23/2018
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	08/29/2018
B Arkansas	Agent	Approved	08/23/2018
B California	Agent	Approved	08/24/2018
B Connecticut	Agent	Approved	08/27/2021
B Florida	Agent	Approved	08/23/2018
B Georgia	Agent	Approved	09/25/2018
B Louisiana	Agent	Approved	02/21/2022
B Maryland	Agent	Approved	07/14/2022
B Massachusetts	Agent	Approved	09/19/2018
B Minnesota	Agent	Approved	12/14/2022
B Mississippi	Agent	Approved	08/23/2018
B Missouri	Agent	Approved	02/18/2021
B Nevada	Agent	Approved	03/29/2023



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	08/23/2018
B North Carolina	Agent	Approved	08/23/2018
B Oregon	Agent	Approved	08/23/2018
B Pennsylvania	Agent	Approved	10/07/2018
B South Carolina	Agent	Approved	09/06/2018
B Tennessee	Agent	Approved	08/23/2018
IA Tennessee	Investment Adviser Representative	Approved	08/24/2018
B Texas	Agent	Approved	08/28/2018
IA Texas	Investment Adviser Representative	Restricted Approval	03/13/2019
B Utah	Agent	Approved	11/13/2018
B Virginia	Agent	Approved	08/23/2018
B Washington	Agent	Approved	12/14/2022

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
 1100 RIDGEWAY LOOP ROAD
 MEMPHIS, TN 38120

RAYMOND JAMES & ASSOCIATES, INC.
 MEMPHIS, TN










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 7 principal/supervisory exams, 7 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Principal Examination (S24)	Series 24	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	05/11/1978
 Registered Principal Examination (S40)	Series 40	04/27/1978
 NYSE Branch Manager Examination (S12)	Series 12	04/25/1978

General Industry/Product Exams


Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Foreign Currency Options Examination (S15)	Series 15	02/09/1989
 Interest Rate Options Examination (S5)	Series 5	11/13/1981
 AMEX Put and Call Exam (PC)	PC	09/08/1977





Qualifications

PASSED INDUSTRY EXAMS

General Industry/Product Exams

Exam	Category	Date
 Registered Representative Examination (S1)	Series 1	09/14/1972

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/07/1993
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/18/1988

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	01/15/1992 - 08/14/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GERMANTOWN, TN
B	05/11/1978 - 08/14/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	GERMANTOWN, TN
B	09/15/1972 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
08/2018 - Present	RAYMOND JAMES & ASSOCIATES	FINANCIAL ADVISOR	Y	MEMPHIS, TN, United States
11/2009 - 08/2018	BANK OF AMERICA,NA	CLIENT ADVISORY	Y	GERMANTOWN, TN, United States
04/1978 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH IN	OTHER - MGMT DEVELOPMENT STAFFER,ASST.	N	MEMPHIS, TN, United States
03/1972 - 08/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	OTHER - Principal	Y	MEMPHIS, TN, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/22/2002

Docket/Case Number: HPD# 02-47

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

Product Type: Other

Other Product Type(s):

Allegations: **1/22/2002**STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING WITHOUT ADMITTING OR DENYING GUILT, COOK CONSENTED TO FINDINGS THAT HE: VIOLATED EXCHANGE RULE 408(A) BY ACCEPTING ORDERS FOR ONE OR MORE CUSTOMER ACCOUNTS FROM PERSONS OTHER THAN THE CUSTOMER WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION FROM THE CUSTOMERS. CONSENT TO CENSURE AND \$25,000 FINE.

Current Status: Final

Resolution: Decision

Resolution Date: 04/12/2002



Sanctions Ordered: Censure
Monetary/Fine \$25,000.00

Other Sanctions Ordered:

Sanction Details: **03/14/2002** DECISION NUMBER 02-47 SUBMITTED BY NYSE HEARING PANEL FINDING COOK GUILTY OF HAVING VIOLATED EXCHANGE RULE 408(A) BY ACCEPTING THIRD-PARTY ORDERS WITHOUT WRITTEN CUSTOMER AUTHORIZATION. COOK CONSENTED TO CENSURE AND \$25,000 FINE.

Regulator Statement **04/12/2002** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT: PEGGY GERMINO 212-656-8450.

.....

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 04/12/2002

Docket/Case Number: 02-47

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

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s):

Allegations: ACCEPTED THIRD PARTY ORDERS WITHOUT PRIOR WRITTEN AUTHORIZATION.

Current Status: Final

Resolution: Stipulation and Consent

Resolution Date: 04/12/2002

Sanctions Ordered: Censure
Monetary/Fine \$25,000.00

Other Sanctions Ordered:

Sanction Details: MR. COOK HAS NOT YET BEEN INFORMED OF THE DATE BY WHICH HIS PAYMENT WILL BE DUE.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/01/1988



Docket/Case Number: 88-D-20

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 02/23/1989

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 6/27/89< AMERICAN STOCK EXCHANGE WEEKLY BULLETIN DATED JUNE 9, 1989 DISCLOSES: MERRILL LYNCH, PIERCE, FENNER & SMITH INC., A REGULAR MEMBER ORGANIZATION, AND HARVEY COOK, OF BOSTON, MASSACHUSETTS, A BRANCH OFFICE MANAGER AND REGISTERED EMPLOYEE OF MERRILL LYNCH, WERE DISCIPLINED BY AN EXCHANGE DISCIPLINARY PANEL. MERRILL LYNCH AND COOK SETTLED THE CHARGES WITHOUT ADMITTING OR DENYING THE EXCHANGE'S ALLEGATIONS. THE PANEL DETERMINED THAT MERRILL LYNCH VIOLATED EXCHANGE RULES 153, 320, 411, 921 AND 922 IN THAT IT FAILED TO REASONABLY SUPERVISE ITS BOSTON AND FRESNO BRANCH OFFICES, FAILED TO SUPERVISE TWO FORMER REGISTERED REPRESENTATIVES IN ITS BOSTON OFFICE AND ONE FORMER REGISTERED REPRESENTATIVE IN ITS FRESNO OFFICE WHO MISHANDLED CUSTOMER ACCOUNTS DURING 1982-1985, AND FAILED TO HAVE A DESIGNATED BRANCH OFFICE MANAGER CONTINUOUSLY ON THE PREMISES AT ITS FRESNO OFFICE. THE PANEL FURTHER DETERMINED THAT MERRILL LYNCH ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN VIOLATION OF ARTICLE V SECTION 4(h) OF THE EXCHANGE CONSTITUTION IN CONNECTION WITH ITS FAILURE TO FILE CERTAIN REPORTS OF SETTLEMENTS WITH CUSTOMERS, AND THE FILING OF AN INADVERTENTLY INACCURATE TERMINATION REPORT. THE PANEL ALSO DETERMINED THAT COOK VIOLATED EXCHANGE RULE 320(b) AND COMMENTARY .06 AND RULE 921 THERETO BY FAILING TO REASONABLY SUPERVISE TWO REGISTERED REPRESENTATIVES AND PREVENT TWO REGISTERED REPRESENTATIVES FROM EFFECTING OPTION TRANSACTIONS IN CUSTOMER ACCOUNTS PRIOR TO OBTAINING REGISTERED OPTIONS PRINCIPAL APPROVAL. MERRILL LYNCH WAS CENSURED AND FINED \$100,000. FURTHER, MERRILL LYNCH UNDERTOOK TO FORMALIZE A POLICY WHEREBY IT WILL REVIEW SALES PRACTICES, CUSTOMER COMPLAINTS AND RELATED LITIGATION MATTERS WHENEVER THERE IS A CHANGE IN A RESIDENT VICE PRESIDENT, OFFICE MANAGER. SUCH REVIEW WILL INCLUDE CONSULTATION BETWEEN AND AMONG THE REGIONAL DIRECTOR, THE INCOMING AND OUTGOING RESIDENT



VICE PRESIDENTS, AND T*See FAQ #1*

Reporting Source: Individual

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/01/1988

Docket/Case Number: 88-D-20

Employing firm when activity occurred which led to the regulatory action: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Product Type:

Other Product Type(s):

Allegations: FAILURE TO SUPERVISE TWO BROKERS WHO ALLEGEDLY MISHANDLED CUSTOMER ACCOUNTS.

Current Status: Final

Resolution: Consent

Resolution Date: 02/23/1989

Sanctions Ordered: Censure
Monetary/Fine \$15,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: CENSURE; 12 MONTH SUSPENSION FROM SUPERVISORY RESPONSIBILITIES, DEEMED SERVED; AND A \$15,000 FINE.

Broker Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS IN THE AMERICAN STOCK EXCHANGE'S STATEMENT OF CHARGES, MR. COOK CONSENTED TO THE IMPOSITION OF THE ABOVE SANCTION. MR. COOK WAS CHARGED WITH FAILING TO SUPERVISE TWO BROKERS WHO ALLEGEDLY MISHANDLED CUSOTMER ACCOUNTS.



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: Regulator

Employing firm when activities occurred which led to the complaint: MERRIL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: ACCOUNT RELATED-BREACH OF CONTRACT;
-MISREPRESENTATION; UNAUTHORIZED TRADING

Product Type:

Alleged Damages: \$214,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #90-02338](#)

Date Notice/Process Served: 10/29/1990

Arbitration Pending? No

Disposition: Other

Disposition Date: 11/14/1991

Disposition Detail: AWARD AGAINST PARTY
COOK IS LIABLE IN THE AMOUNT OF \$5,000.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRIL LYNCH, PIERCE, FENNER & SMITH, INC.

Allegations: CUSTOMERS ALLEGED AMONG OTHER THINGS THAT THERE WERE A NUMBER OF UNAUTHORIZED INDEX OPTION TRADES IN ACCOUNT. CUSTOMERS CLAIMED DAMAGES OF \$214,000.

Product Type:

Alleged Damages: \$214,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/14/1991

Settlement Amount:



Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD-90-02338](#)

Date Notice/Process Served: 10/29/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/14/1991

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount: \$5,000.00

Broker Statement

THE ARBITRATORS AWARDED \$55,000 TO THE CUSTOMERS RESPONDENT COOK DENIES EACH AND EVERY ALLEGATION OF WRONGDOING AND DISAGREES WITH THE FINDING OF THE ARBITRATORS. RESPONDENT REVIEWED THIS ACCOUNT AND ADVISED CUSTOMERS IN WRITING OF THEIR LOSSES AND HIGH COMMISSIONS. RESPONDENT HEARD NO COMPLAINT FROM THE CUSTOMER UNTIL AFTER THE THE BROKER RESPONSIBLE FOR THE ACCOUNT LEFT THE FIRM.



End of Report

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