



IAPD Report

MITCHELL ALAN BELLAK

CRD# 710911

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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

MITCHELL ALAN BELLAK (CRD# 710911)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	07/29/2011
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/02/2011

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **9** 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	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JUPITER, FL	10/23/2009 - 08/02/2011
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	JUPITER, FL	10/23/2009 - 08/02/2011
B	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	JUPITER, FL	04/01/1998 - 10/23/2009

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	4



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 **9** jurisdiction(s) and **10** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**
Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086
Firm ID#: 8174

Regulator	Registration	Status	Date
B BOX Exchange LLC	General Securities Principal	Approved	05/15/2012
B BOX Exchange LLC	General Securities Representative	Approved	05/15/2012
B Cboe Exchange, Inc.	General Securities Representative	Approved	07/29/2011
B Cboe Exchange, Inc.	General Securities Principal	Approved	03/17/2026
B FINRA	General Securities Principal	Approved	07/29/2011
B FINRA	General Securities Representative	Approved	07/29/2011
B FINRA	Municipal Securities Representative	Approved	07/29/2011
B NYSE American LLC	General Securities Principal	Approved	07/29/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B NYSE American LLC	Municipal Securities Representative	Approved	07/29/2011
B NYSE Arca, Inc.	General Securities Principal	Approved	07/29/2011
B NYSE Arca, Inc.	General Securities Representative	Approved	07/29/2011
B NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022



Qualifications

Regulator	Registration	Status	Date
B NYSE Texas, Inc.	General Securities Principal	Approved	03/17/2026
B Nasdaq ISE, LLC	General Securities Principal	Approved	07/29/2011
B Nasdaq ISE, LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Principal	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq Stock Market	General Securities Principal	Approved	07/29/2011
B Nasdaq Stock Market	General Securities Representative	Approved	07/29/2011
B New York Stock Exchange	General Securities Principal	Approved	07/29/2011
B New York Stock Exchange	General Securities Representative	Approved	07/29/2011
B New York Stock Exchange	Municipal Securities Representative	Approved	07/29/2011
B California	Agent	Approved	07/29/2011
B Connecticut	Agent	Approved	05/28/2025
B Florida	Agent	Approved	08/02/2011
IA Florida	Investment Adviser Representative	Approved	08/02/2011
B Georgia	Agent	Approved	02/28/2012
B Massachusetts	Agent	Approved	07/29/2011
B Michigan	Agent	Approved	03/05/2012
B New Jersey	Agent	Approved	12/23/2020
B New York	Agent	Approved	07/29/2011



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	04/03/2012

Branch Office Locations

UBS FINANCIAL SERVICES INC.
3801 PGA BLVD.
SUITE 1000
PALM BEACH GARDENS, FL 33410

UBS FINANCIAL SERVICES INC.
Palm Beach Gardens, FL




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	08/05/1998

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/16/1985
	Registered Representative Examination (S1)	Series 1	06/20/1980

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2002
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/14/1985

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	10/23/2009 - 08/02/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	JUPITER, FL
IA	10/23/2009 - 08/02/2011	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	JUPITER, FL
B	04/01/1998 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	JUPITER, FL
IA	04/01/1998 - 10/23/2009	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	JUPITER, FL
B	03/13/1990 - 04/01/1998	BARNETT INVESTMENTS, INC.	CRD# 14897	JACKSONVILLE, FL
B	10/18/1989 - 12/14/1989	J. B. HANAUER & CO.	CRD# 6958	
B	03/19/1985 - 12/14/1989	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2011 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PALM BEACH GARDENS, 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.

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	1
Customer Dispute	4

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:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	05/12/2000
Docket/Case Number:	00-114
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE APPLICANT WAS NOT OF GOOD BUSINESS REPUTE.
Current Status:	Final
Resolution:	Order
Resolution Date:	05/12/2000
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-



19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

Sanction Details:

ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

Regulator Statement

ON MAY 12, 2000, THE OHIO DIVISION OF SECURITIES ISSUED A FINAL ORDER TO DENY APPLICATION FOR SECURITIES SALESPERSON LICENSE, DIVISION ORDER NO. 00-114, AGAINST MITCHELL ALAN BELLAK, JR.. THE DIVISION FOUND THAT DAVIS WAS NOT OF GOOD BUSINESS REPUTE AS THAT TERM IS DEFINED IN OHIO ADMINISTRATIVE CODE RULE 1301:6-3-19(D), (G) AND (9) AND OHIO REVISED CODE 1707.19(A)(1).

Reporting Source:

Individual

Regulatory Action Initiated By:

STATE OF OHIO

Sanction(s) Sought:

Denial

Other Sanction(s) Sought:**Date Initiated:**

10/14/1999

Docket/Case Number:

99-428

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

BANC OF AMERICA INVESTMENT SERVICES INC.

Product Type:

Other

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

HEARING RELATED TO APPLICATION OF LICENSING IN THE STATE OF OHIO

Current Status:

Final

Resolution:

Order

Resolution Date:

05/12/2001

Sanctions Ordered:

Revocation/Expulsion/Denial

Other Sanctions Ordered:**Sanction Details:**

DENIED SECURITIES REGISTRATION IN THE STATE OF OHIO.



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 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC OF AMERICA INVESTMENT SERVICES, INC.

Allegations: CLIENT ALLEGES MR. BELLACK'S RECOMMENDATION TO PURCHASE A GMAC BOND IN FEBRUARY 2005 WAS IN APPROPRIATE. CLIENT DOES NOT SPECIFY COMPENSATORY DAMAGES.

Product Type: Debt - Corporate

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/12/2005

Complaint Pending? No

Status: Settled

Status Date: 07/10/2006

Settlement Amount: \$10,986.05

Individual Contribution Amount: \$0.00

Disclosure 2 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: BARNETT INVESTMENTS, INC.

Allegations: BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$35,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #96-03185

Date Notice/Process Served: 07/30/1996

Arbitration Pending? No

Disposition: Settled



Disposition Date: 02/18/1997

Disposition Detail: CASE IS CLOSED, SETTLED
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS OVER FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND
SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS OVER
FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER
COSTS, RELIEF REQUEST IS OVER FOR OTHER REASONS, AWARD
AMOUNT
JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS OVER
FOR OTHER REASONS, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER
MONETARY RELIEF, RELIEF REQUEST IS OVER FOR OTHER REASONS,
AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARNETT INVESTMENTS, INC.

Allegations: ALLEGED DAMAGES OF \$35,000.00 CUSTOMER
ALLEGES THEY WERE UNAWARE THE PURCHASED A MUTUAL FUND WITH
MARKET FLUCTUATION AND THAT THERE INVESTMENT WAS NOT FDIC
INSURED.

Product Type:

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 96-03185

Date Notice/Process Served: 07/30/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/18/1997

Monetary Compensation Amount: \$22,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$22,000.00
I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF
THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR



MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOT MAKE ANY MONETARY CONTRIBUTION.

Disclosure 3 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: BARNETT INVESTMENTS, INC.

Allegations: MISREPRESENTATION; OMISSION OF FACTS

Product Type:

Alleged Damages: \$19,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #95-05883

Date Notice/Process Served: 01/10/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/09/1996

Disposition Detail: CASE CLOSED, SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARNETT INVESTMENTS, INC.

Allegations: ALLEGED DAMAGES OF \$22,500 CUSTOMER ALLEGES SHE BOUGHT A US GOV'T SEC. FUND WITHOUT BEING INFORMED OF PRICE AND/OR DIVIDEND FLUCTUATIONS.

Product Type:

Alleged Damages: \$19,500.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** National Assoc. of Securities Dealers; 95-05883**Date Notice/Process Served:** 01/10/1996**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 08/09/1996**Monetary Compensation Amount:** \$11,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**
SETTLED FOR \$11,000
I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOT MAKE ANY MONETARY CONTRIBUTION.**Disclosure 4 of 4****Reporting Source:** Regulator**Employing firm when activities occurred which led to the complaint:** BARNETT SECURITIES, INC.**Allegations:** ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT; OMISSION OF FACTS; ACCOUNT RELATED-NEGLIGENCE**Product Type:****Alleged Damages:** \$30,000.00**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #95-02313**Date Notice/Process Served:** 06/19/1995**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 04/17/1996**Disposition Detail:** CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;



OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BARNETT SECURITIES, INC.

Allegations: ALLEGED DAMAGES OF \$30,000.00 CUSTOMER ALLEGES HE WAS GUARANTEED HIS PRINCIPAL INVESTMENT, THAT HE WAS UNAWARE HE PURCHASED A MUTUAL FUND WITH MARKET FLUCTUATION AND THAT HE THOUGHT HE PURCHASED AN ANUITY

Product Type:

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 95-02313

Date Notice/Process Served: 06/19/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/17/1996

Broker Statement SETTLED FOR \$21,250 IN ORDER TO AVOID THE EXPENSE, DISTRACTION AND UNCERTAINTY OF ARBITRATION. I CONTINUE TO DENY ANY AND ALL ALLEGATIONS OF THIS MATTER. THE DECISION TO SETTLE WAS MADE SOLELY BY SENIOR MANAGEMENT OF MY COMPANY IN ORDER TO AVOID THE EXPENSE DISTRACTION AND UNCERTAINTY OF ARBITRATION. I HAD NO PARTICIPATION IN THE DECISION TO SETTLE AND DID NOT MAKE ANY MONETARY PAYOUT.



End of Report

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