



## IAPD Report

# JOHN JOSEPH GRAVES

CRD# 715944

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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

### JOHN JOSEPH GRAVES (CRD# 715944)

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 **04/24/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	11/22/2004
<b>IA</b>	HUNTLEIGH ADVISORS, INC.	CRD# 113412	10/03/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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>B</b>	OPPENHEIMER & CO. INC.	249	NEW YORK, NY	03/23/1990 - 11/29/2004
<b>B</b>	B.C. CHRISTOPHER SECURITIES CO.	60	KANSAS CITY, MO	12/05/1988 - 03/23/1990
<b>B</b>	PAINWEBBER INCORPORATED	8174	KANSAS CITY, MO	07/10/1986 - 12/08/1988

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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**  
Main Address: 7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105  
Firm ID#: 7456

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	11/22/2004
<b>B</b> Alabama	Agent	Approved	11/18/2010
<b>B</b> Arizona	Agent	Approved	08/12/2009
<b>B</b> Colorado	Agent	Approved	06/28/2017
<b>B</b> Florida	Agent	Approved	10/14/2005
<b>B</b> Georgia	Agent	Approved	12/17/2018
<b>B</b> Illinois	Agent	Approved	11/22/2004
<b>B</b> Iowa	Agent	Approved	11/22/2004
<b>B</b> Minnesota	Agent	Approved	01/12/2011
<b>B</b> Mississippi	Agent	Approved	11/22/2004
<b>B</b> Missouri	Agent	Approved	11/22/2004
<b>B</b> Nebraska	Agent	Approved	02/24/2011
<b>B</b> New Jersey	Agent	Approved	11/22/2004



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> North Carolina	Agent	Approved	11/22/2004
<b>B</b> North Dakota	Agent	Approved	02/22/2013
<b>B</b> Ohio	Agent	Approved	02/14/2012
<b>B</b> Rhode Island	Agent	Approved	08/18/2015
<b>B</b> Texas	Agent	Approved	07/27/2006
<b>B</b> Utah	Agent	Approved	07/20/2021
<b>B</b> Virginia	Agent	Approved	01/18/2011
<b>B</b> Wisconsin	Agent	Approved	06/28/2016

### Branch Office Locations

7800 FORSYTH BLVD.  
5TH FLOOR  
ST. LOUIS, MO 63105

### Employment 2 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**  
 Main Address: 7800 FORSYTH BLVD.  
 5TH FLOOR  
 ST. LOUIS, MO 63105  
 Firm ID#: 113412

Regulator	Registration	Status	Date
<b>IA</b> Missouri	Investment Adviser Representative	Approved	10/03/2017
<b>IA</b> Virginia	Investment Adviser Representative	Approved	02/13/2020

### Branch Office Locations

**HUNTLEIGH ADVISORS, INC.**  
7800 Forsyth Blvd.  
5th Floor



## Qualifications

St. Louis, MO 63105



## 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, 2 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
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General Securities Representative Examination (S7)	Series 7	09/20/1980
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	08/17/2017
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/05/1980
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### 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>B</b>	03/23/1990 - 11/29/2004	OPPENHEIMER & CO. INC.	CRD# 249	NEW YORK, NY
<b>B</b>	12/05/1988 - 03/23/1990	B.C. CHRISTOPHER SECURITIES CO.	CRD# 60	KANSAS CITY, MO
<b>B</b>	07/10/1986 - 12/08/1988	PAINWEBBER INCORPORATED	CRD# 8174	
<b>B</b>	09/23/1980 - 07/18/1986	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	

### 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
09/2017 - Present	Huntleigh Advisors, Inc.	Advisor Representative	Y	St. Louis, MO, United States
11/2004 - Present	HUNTLEIGH SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	ST. LOUIS, MO, 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:** MARYLAND DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/22/1995

**Docket/Case Number:**

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** THE DIVISION ALLEGED GRAVES FAILED TO RESPOND TO REQUESTS FOR INFORMATION IN CORRESPONDENCE FORM AND AN ORDER TO SHOW CAUSE. THE ORDER PROVIDED THAT FAILURE TO WITHDRAW ITS AGENT APPLICATION OR REQUEST A HEARING WITHIN 15 DAYS FROM THE DATE OF RECEIPT WOULD RESULT IN A FINAL ORDER OF DENIAL BEING ISSUED.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 03/22/1995



**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NO REQUEST FOR A HEARING WAS RECEIVED.  
APPLICATION FOR AGENT REGISTRATION IS DENIED.

**Regulator Statement** REGISTRATION DENIED 3/22/95. CONTACT: ELLEN E. CHERRY, (410) 576-6494.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** MARYLAND DIVISION OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/22/1995

**Docket/Case Number:**

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** THE DIVISION ALLEGED AGENT FAILED TO RESPOND TO REQUESTS FOR INFORMATION IN CORRESPONDENCE FORM AND AN ORDER TO SHOW CAUSE. THE ORDER PROVIDED FAILURE TO WITHDRAW IT'S AGENT APPLICATION OR REQUEST A HEARING WITHIN 15 DAYS FROM THE DATE OF RECEIPT WOULD RESULT IN A FINAL ORDER OF DENIAL.

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 03/22/1995

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** NO REQUEST FOR A HEARING WAS RECEIVED.  
APPLICATION FOR AGENT REGISTRATION IS DENIED.

**Broker Statement** NO PROCEEDING SCHEDULED OR HELD. MARYLAND DIV OF SECURITIES DENIED STATE REGISTRATION PENDING INFORMATION FROM JANE ESTES, MARY AND HAYNES, WILLIAM MILLS NASD ARBITRATION HEARING WHICH WAS SETTLED ON 5/23/95 ON ADVICE OF PAINWEBBER COUNCIL - SEE RECORD. I NEVER RECEIVED A NOTICE REQUESTING INFO FROM MARYLAND DIVISION OF SECURITIES.



### 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:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INCORPORATED

**Allegations:** THE ABOVE CLIENTS SUBMITTED CLAIM FORMS TO THE CLAIMS RESOLUTION PROCESS RELATING TO LIMITED PARTNERSHIP PURCHASES DURING THE PERIOD 2/82 - 2/86. THE ABOVE MENTIONED REGISTERED REPRESENTATIVE WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES NO DAMAGES WERE ALLEGED BUT THE AMOUNTS OF ACTUAL LOSS (OUT OF POCKET) IS/ARE APPROX \$9,932

**Product Type:**

**Alleged Damages:** \$9,932.00

### Customer Complaint Information

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/21/1993

**Settlement Amount:** \$29,827.00

**Individual Contribution Amount:**

**Firm Statement** SETTLEMENTS WITH THE ABOVE CLIENTS HAS/HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNTS OF THE SETTLEMENTS IS/ARE APPROX \$29,827 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JAN 1 1980 TO JAN 1 1991 THE ABOVE REFERENCED CLIENTS SUBMITTED CLAIM FORMS IN RESPONSE TO THIS MAILING. THE CLAIM FORMS WAS/WERE EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENTS AROSE OUT OF THIS UNIQUE PROCESS.

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL SECURITIES INCORPORATED

**Allegations:** I WAS EMPLOYED AT PRUDENTIAL SECURITIES FROM 1980 - 1986 I WAS NEVER ADVISED OF THE [CUSTOMER'S] COMPLAINT WHICH AROSE FROM PRUDENTIALS SETTLEMENT WITH THE SEC INVITING INVESTORS TO COMPLAIN ABOUT INVESTMENTS IN PRUDENTIAL SPONSORED L.P.'S

**Product Type:**

**Alleged Damages:** \$9,932.00

### Customer Complaint Information

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/21/1993

**Settlement Amount:** \$29,827.00

**Individual Contribution Amount:**

**Broker Statement** SETTLEMENTS WITH THE ABOVE CLIENT HAVE BEEN REACHED IN THE CLAIMS RESOLUTION PROCESS. THE DOLLAR AMOUNT OF SETTLEMENTS ARE APPROX \$29,827 NOT PROVIDED

### Disclosure 2 of 4

**Reporting Source:** Firm

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

**Allegations:** THE ABOVE REFERENCED CLIENT HAS SUBMITTED A CLAIM FORM TO THE CLAIMS RESOLUTION PROCESS RELATING TO THE PURCHASES OF VARIOUS LIMITED PARTNERSHIPS DURING THE PERIOD 6/85 TO 9/85. THE ABOVE MENTIONED REGISTERED REP. WAS THE BROKER OF RECORD AT THE TIME OF THE PURCHASES. NO DAMAGES WERE ALLEGED BUT THE AMOUNT OF ACTUAL LOSS (OUT-OF-POCKET) IS: \$20,554

**Product Type:**

**Alleged Damages:** \$20,554.00

### Customer Complaint Information

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/21/1993



**Settlement Amount:** \$19,908.00

**Individual Contribution Amount:**

**Firm Statement**

A SETTLEMENT FOR THE ABOVE CLIENT HAS REACHED IN THE CLAIMS RESOLUTION PROCESS . THE DOLLAR AMOUNT OF THE SETTLEMENTS IS AS FOLLOWS: \$19,908 THIS MATTER RESULTED FROM THE UNPRECEDENTED, UNSOLICITED MAILING OF CLAIM FORMS BY PSI TO OVER 340,000 INVESTORS WHO PURCHASED LIMITED PARTNERSHIPS THROUGH PSI FROM JANUARY 1, 1980 TO JANUARY 1, 1991. THE ABOVE REFERENCED CLIENT SUBMITTED A CLAIM FORM IN RESPONSE TO THIS MAILING. THE CLAIM FORM WAS EVALUATED BY PSI IN ACCORDANCE WITH THE STANDARDS ESTABLISHED UNDER THE SETTLEMENT BETWEEN PSI, THE SEC, NASD AND THE STATE SECURITIES ADMINISTRATORS. THE REPORTED SETTLEMENT AROSE OUT OF THIS UNIQUE PROCESS.

**Reporting Source:** Individual

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

**Allegations:** I WAS EMPLOYED AT PRUDENTIAL SECURITIES FROM 1980 - 1986. I WAS NEVER ADVISED OF THE [CUSTOMERS'] COMPLAINT. IT AROSE FROM PRUDENTIALS SETTLEMENT WITH THE SEC WHICH INVITED INVESTORS IN ANY PRUDENTIAL SPONSORED L.P. TO COME FORTH AND REGISTER COMPLAINTS.

**Product Type:**

**Alleged Damages:** \$20,554.00

**Customer Complaint Information**

**Date Complaint Received:** 10/21/1993

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/21/1993

**Settlement Amount:** \$19,908.00

**Individual Contribution Amount:**

**Broker Statement**

A SETTLEMENT FOR THE ABOVE CLIENT WAS REACHED IN THE CLAIMS RESOLUTION PROCESS THE DOLLAR AMOUNT OF THE SETTLEMENTS IS AS FOLLOWS: \$19,908 NOT PROVIDED

**Disclosure 3 of 4**

**Reporting Source:** Firm



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

**Allegations:** ALLEGED MISREPRESENTATION UNSUITABILITY & FRAUD IN CONNECTION WITH PURCHASES OF LPs IN 1987 & 1988. ALLEGED DAMAGES OF \$250K.

**Product Type:**

**Alleged Damages:** \$250,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/10/1995

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE; 1992-002449

**Date Notice/Process Served:** 06/24/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/10/1995

**Monetary Compensation Amount:** \$49,000.00

**Individual Contribution Amount:**

**Firm Statement** THE CASE WAS SETTLED FOR \$49K IN ORDER TO AVOID THE EXPENSE & UNCERTAINTIES OF LITIGATION. PREPARED BY: ALICE K. JUMP (201) 902-6659

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**Reporting Source:** Individual

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

**Allegations:** RECOMMENDING UNSUITABLE INVESTMENTS, MISREPRESENTATION, BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD, ALLEGED AMOUNT \$250,000.

**Product Type:**

**Alleged Damages:** \$250,000.00

**Customer Complaint Information**

**Date Complaint Received:**



**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 01/10/1995

**Settlement Amount:**  
**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NYSE; 1992-002449

**Date Notice/Process Served:** 06/24/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/10/1995

**Monetary Compensation Amount:** \$49,000.00

**Individual Contribution Amount:**

**Broker Statement** THE CASE WAS SETTLED FOR \$49,000 IN ORDER TO AVOID THE EXPENSE & UNCERTAINTIES OF LITIGATION.  
Not Provided

**Disclosure 4 of 4**

**Reporting Source:** Regulator  
**Employing firm when activities occurred which led to the complaint:** PAINWEBBER, INC.

**Allegations:** SUITABILITY; MISREPRESENTATION; CHURNING; OMISSION OF FACTS

**Product Type:**

**Alleged Damages:** \$400,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** UNKNOWN - CASE #93-01826

**Date Notice/Process Served:** 07/21/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/23/1995

**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; 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; PUNITIVE/EXEMPLARY DAMAGES,  
 RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY  
 AND SEVERALLY

**Reporting Source:** Firm

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

**Allegations:** Alleged unsuitable purchases of LPs. Products include Krupp, Polaris, Geodyne, Dyco, TME, CPA 8 & Boston F.Q.H. Claimants alleged compensatory damages of \$400K & punitives of \$1 million.

**Product Type:**

**Alleged Damages:** \$400,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/23/1995

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD.; 93-01826

**Date Notice/Process Served:** 07/21/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/23/1995

**Monetary Compensation Amount:** \$212,000.00

**Individual Contribution Amount:**

**Firm Statement** The case was settled for \$300K w/o admitting liability. Claimants executed a full release & transferred the partnerships to PW. The partnerships have an estimated value of \$88K for an estimated net cost to PW of approx. \$212K. Prepared by: [3rd party]

**Reporting Source:** Individual



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

**Allegations:** SUITABILITY, MISREPRESENTATION, CHURNING.  
DAMAGES ASKED AMT. COMPENSATORY \$400,000 & PUNITIVE \$1,000,000.

**Product Type:**

**Alleged Damages:** \$400,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 05/23/1995

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD.; 93-01826

**Date Notice/Process Served:** 07/21/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/23/1995

**Monetary Compensation Amount:** \$212,000.00

**Individual Contribution Amount:**

**Broker Statement**

CASE SETTLED FOR \$300,000 WITHOUT ADMITTING LIABILITY. CLAIMANTS EXECUTED A FULL RELEASE, TRANSFERRED THE PARTNERSHIPS TO PAINWEBBER. PAINWEBBER COUNCIL ADVISED ME TO AGREE TO SETTLEMENT AS NO FINDING OF ANY WRONG DOING ON MY PART. THIS ARBITRATION WAS HINDERING PAINE WEBBER'S ATTEMPT TO SETTLE THEIR SUIT WITH THE SEC'S OVER THE MISMANAGEMENT AND INAPPROPRIATE MARKETING OF PROPRIETARY LIMITED PARTNERSHIPS IN WHICH THE PLAINTIFF'S FATHER (THEN DECEASED) WAS INVESTED.



## End of Report

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