



IAPD Report

Jonathan Wade Whitcraft

CRD# 719854

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

Jonathan Wade Whitcraft (CRD# 719854)

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 **05/01/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WHITCRAFT CAPITAL MANAGEMENT	CRD# 138372	07/25/1997

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SMITH BARNEY INC.	7059	NEW YORK, NY	07/05/1989 - 07/02/1997
B	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ	12/01/1980 - 06/12/1989

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	3
Investigation	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WHITCRAFT CAPITAL MANAGEMENT**
Main Address: MOUNTAIN VIEW, CA
Firm ID#: 138372

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

WHITCRAFT CAPITAL MANAGEMENT
MOUNTAIN VIEW, CA



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B National Commodity Futures Examination (S3)	Series 3	05/16/1990
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B General Securities Representative Examination (S7)	Series 7	11/15/1980
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State Securities Law Exams

Exam	Category	Date
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B Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1986
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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	07/05/1989 - 07/02/1997	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	12/01/1980 - 06/12/1989	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, 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
06/1997 - Present	WHITCRAFT CAPITAL	CEO	Y	PALO ALTO, CA, 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	3
Customer Dispute	4
Investigation	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 3

Reporting Source:	Regulator
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF CORPORATIONS
Sanction(s) Sought:	Other: CALIFORNIA CODE OF REGULATIONS SECTIONS 260.241.2FAILING TO FILE ANNUAL FINANCIAL REPORTS; 260.241.3FAILING TO PROPERLY MAINTAIN
Date Initiated:	06/06/2006
Docket/Case Number:	N/A
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	WHITCRAFT CAPITAL MANAGEMENT
Product Type:	Investment Contract
Allegations:	CALIFORNIA CODE OF REGULATIONS SECTIONS 260.241.2FAILING TO FILE ANNUAL FINANCIAL REPORTS; 260.241.3FAILING TO PROPERLY MAINTAIN ON A MONTHLY BASIS PROPER BOOKS AND RECORDS; 260.241.4FAILING TO DISCLOSE ON FORM ADV THE LOCATION OF ITS BOOKS AND RECORDS; AND 260.238CHARGING CLIENTS FEES FOR INVESTMENT ADVISORY SERVICES WITHOUT PERMISSION PURSUANT TO A WRITTEN CONTRACT.
Current Status:	Final
Resolution:	ORDER



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:

07/28/2006

Sanctions Ordered:

Other: MONETARY/FINE: 45,000.00

CALIFORNIA CODE OF REGULATIONS SECTIONS 260.241.2, 260.241.3 & 260.241.4BOOKS AND RECORDS REQUIREMENTS; 260.238FAIR, EQUITABLE AND ETHICAL PRINCIPLE PROHIBITIONS. AN ORDER LEVYING ADMINISTRATIVE PENALTIES AND FINAL ORDER TO DISCONTINUE VIOLATIONS WERE SERVED. NO HEARING REQUEST WAS RECEIVED, AND THE ORDERS ARE FINAL.

CALIFORNIA CODE OF REGULATIONS SECTIONS 260.241.2FAILING TO FILE ANNUAL FINANCIAL REPORTS; 260.241.3FAILING TO PROPERLY MAINTAIN ON A MONTHLY BASIS PROPER BOOKS AND RECORDS; 260.241.4FAILING TO DISCLOSE ON FORM ADV THE LOCATION OF ITS BOOKS AND RECORDS; AND 260.238CHARGING CLIENTS FEES FOR INVESTMENT ADVISORY SERVICES WITHOUT PERMISSION PURSUANT TO A WRITTEN CONTRACT.

Regulator Statement

CALIFORNIA CODE OF REGULATIONS SECTIONS 260.241.2, 260.241.3 & 260.241.4BOOKS AND RECORDS REQUIREMENTS; 260.238FAIR, EQUITABLE AND ETHICAL PRINCIPLE PROHIBITIONS. AN ORDER LEVYING ADMINISTRATIVE PENALTIES AND FINAL ORDER TO DISCONTINUE VIOLATIONS WERE SERVED. NO HEARING REQUEST WAS RECEIVED, AND THE ORDERS ARE FINAL.

Disclosure 2 of 3

Reporting Source:

Regulator

Regulatory Action Initiated By:

NYSE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:

09/29/1998

Docket/Case Number:

98-132

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

Product Type:

Other Product Type(s):

Allegations:

****9/29/1998** STIPULATION AND CONSENT TO PENALTY FILED BY NYSE DIVISION OF ENFORCEMENT AND PENDING. 1. VIOLATED EXCHANGE RULE 408(a) BY ACCEPTING ORDERS FOR AN ACCOUNT OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER FROM A PERSON OTHER THAN THE CUSTOMER, WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THE CUSTOMER, AND BY EXERCISING**



DISCRETIONARY POWER IN ONE OR MORE ACCOUNTS OF A SECOND CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER, WITHOUT FIRST OBTAINING WRITTEN AUTHORIZATION OF THAT CUSTOMER; 2. VIOLATED EXCHANGE RULE 408(b) BY EXERCISING DISCRETIONARY POWER IN ONE OR MORE ACCOUNTS OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER, WITHOUT FIRST NOTIFYING AND OBTAINING THE APPROVAL OF A PERSON DELEGATED BY HIS EMPLOYER WITH AUTHORITY TO APPROVE THE HANDLING OF SUCH ACCOUNTS, AND BY ENTERING ORDERS ON A DISCRETIONARY BASIS IN ONE OR MORE ACCOUNTS OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER, WITHOUT IDENTIFYING THE ORDERS AS DISCRETIONARY AT THE TIME OF ENTRY; 3. CAUSED A VIOLATION OF EXCHANGE RULE 405(1) BY FAILING TO INFORM HIS MEMBER ORGANIZATION EMPLOYER OF CERTAIN ESSENTIAL FACTS PERTAINING TO THE ACCOUNT OF A CUSTOMER OF HIS MEMBER ORGANIZATION EMPLOYER; AND 4. CAUSED VIOLATIONS OF EXCHANGE RULE 440, AND SEC REGULATION 240.17a-3, PROMULGATED PURSUANT TO THE SECURITIES EXCHANGE ACT OF 1934, BY SUBMITTING ORDER TICKETS CONTAINING FALSE INFORMATION OR OMITTING REQUIRED INFORMATION. B. THE IMPOSITION BY THE EXCHANGE OF THE PENALTY OF: 1. A CENSURE 2. A BAR OF FOUR MONTHS FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY MEMBER OR MEMBER FIRM; AND 3. A TWO YEAR RESTRICTION FROM ENTERING TRADES ON A DISCRETIONARY BASIS, TO COMMENCE WHEN, WHITCRAFT BECOMES ASSOCIATED AS A REGISTERED REPRESENTATIVE WITH A MEMBER OR MEMBER ORGANIZATION OF THE EXCHANGE.

Current Status: Final

Resolution: Consent

Resolution Date: 01/21/1999

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: **11/24/1998**VIOLATED RULE 408(a)BY ACCEPTING ORDERS FROM A PERSON OTHER THAN THE CUSTOMER WITHOUT WRITTEN AUTHORIZATION AND BT EXERCISING DISCRETION WITHOUT WRITTEN AUTHORIZATION; VIOLATED RULE 408(b) BY EXERCISING DISCRETION WITHOUT OBTAINING HIS EMPLOYER'S APPROVAL AND BY ENTERING DISCRETIONARY ORDERS WITHOUT IDENTIFYING THE ORDERS AS DISCRETIONARY; CAUSED A VIOLATION OF RULE 405(1) BY FAILING TO INFORM HIS EMPLOYER OF ESSENTIAL FACTS CONCERNING A CUSTOMER'S ACCOUNT; AND CAUSED VIOLATIONS OF RULE 440 AND SEC REG.240.17a-3 BY SUBMITTING ERRONEOUS ORDER TICKETS-CONSENT TO CENSURE, FOUR MONTH BAR AND TWO YEAR RESTRICTION ON EXERCISING DISCRETION

Regulator Statement **11/24/1998**UNLESS A REVIEW BY THE NYSE BOARD OF DIRECTORS IS REQUESTED, THIS DECISION WILL BECOME FINAL 25 CALENDAR DAYS AFTER NOTICE OF THE HEARING PANEL'S DETERMINATION HAS BEEN SERVED UPON THE RESPONDENT.**1/21/1999**THE DECISION



IS FINAL AND THE BAR OR SUSPENSION IS EFFECTIVE IMMEDIATELY.
CONTACT: PEGGY GERMINO 212 656-8450.

Reporting Source: Firm

Regulatory Action Initiated By: 14 NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/29/1998

Docket/Case Number: 98-132

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

Product Type:

Other Product Type(s):

Allegations: ALLEGED VIOLATIONS OF EXCHANGE RULES 408(a), 408(b), 405(1) and 440.

Current Status: Final

Resolution: Consent

Resolution Date: 01/21/1999

Sanctions Ordered: Bar
Censure

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING GUILT, WHITCRAFT CONSENTED TO FINDINGS BY THE HEARING PANEL THAT HE VIOLATED EXCHANGE RULES 408(a), 408(b), 405(1) and 440, FOR WHICH HE WAS CENSURED, SUSPENDED FROM MEMBERSHIP FOR 4 MONTHS & RESTRICTED FOR 2 YEARS FROM ENTERING DISCRETIONARY TRADES AS A REGISTERED REPRESENTATIVE.

Firm Statement THE PROCEEDING WAS ESSENTIALLY BASED ON ALLEGATIONS INVOLVING THE DISCRETIONARY AUTHORIZATION DOCUMENTATION RELATING TO 2 ACCOUNTS: (1) AN ACCOUNT OVER WHICH THE CUSTOMER GRANTED WHITCRAFT DISCRETION, BUT THERE WAS A DELAY IN COMPLETING THE PAPERWORK; AN (2) AN ACCOUNT OVER WHICH A HUSBAND EXERCISED DISCRETION PURSUANT TO HIS WIFE'S VERBAL AUTHORIZATION AND A DOCUMENT GRANTING HIM A GENERAL POWER OF ATTORNEY. WHITCRAFT CONSENTED TO THE SETTLEMENT, WITHOUT ADMITTING OR DENYING VIOLATIONS, SOLELY FOR THE PURPOSE OF PUTTING THIS MATTER BEHIND HIM.

Disclosure 3 of 3

Reporting Source: Regulator



Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/20/1991

Docket/Case Number: 91-141

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

Product Type:

Other Product Type(s):

Allegations: SEE RESULTS

Current Status: Final

Resolution: Consent

Resolution Date: 09/20/1991

Sanctions Ordered: Censure
Suspension

Other Sanctions Ordered:

Sanction Details: JONATHAN WADE WHITCRAFT, REGISTERED REPRESENTATIVE VIOLATED EXCHANGE RULE 724(a) BY EXERCISING DISCRETION IN OPTION CONTRACTS WITHOUT WRITTEN AUTHORIZATION; VIOLATED EXCHANGE RULE 723 BY RECOMMENDING OPTION CONTRACTS WITHOUT A REASONABLE BASIS TO BELIEVE THE CUSTOMER WAS CAPABLE OF BEARING OR EVALUATING THE RISKS; AND ENGAGED IN UNAUTHORIZED AND UNSUITABLE TRADING ---- CONSENT TO CENSURE AND ONE MONTH SUSPENSION.(SUSPENSION COMMENCED AT THE CLOSE OF BUSINESS ON SEPTEMBER 20, 1991.)

Regulator Statement SEE RESULTS

Reporting Source: Individual

Regulatory Action Initiated By: CUSTOMER BRADLEY BLAKE, CUSTOMER - LAUREI DORNBRAND M.D.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 09/20/1991

Docket/Case Number: 91-141

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

Product Type:



Other Product Type(s):

Allegations:

BRADLEY BLAKE CLAIMED UNAUTHORIZED TRANSACTIONS WERE MADE IN HIS ACCOUNT. MR. BLAKE CLAIMED \$14,844.22 IN DAMAGES. HE SETTLED FOR \$10,255.00 DR. LORI DORNBRAND CALIMED UNSUITABLE TRANSACTIONS WERE MADE IN HER ACCOUNT. DR. DORNBRAND CLAIMED \$39,891.25 IN DAMAGES. SHE SETTLED FOR \$32,156.63. NO LAWSUIT OR ARBITRATION WAS FILED.

Current Status:

Final

Resolution:

Consent

Resolution Date:

09/20/1991

Sanctions Ordered:

Censure
Suspension

Other Sanctions Ordered:

Sanction Details:

THE NYSE CENSURED ME SUSPENDED ME FOR 1 MONTH. I ACCEPTED THEIR FINDING WITH OUT ADMITTING OR DENYING GUILT.

Broker Statement

Not Provided



Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

Disclosure 1 of 1

Reporting Source: Individual

Initiated By: CUSTOMER NEW YORK STOCK EXCHANGE

Notice Date:

Details: REGULATORY INVESTIGATION
N/A
THE EXCHANGE IS INVESTIGATING CUSTOMER
FREDERICA ROBERTSON'S ALLEGATIONS THAT FC WHITCRAFT
CONDUCTED
UNAUTHORIZED TRADING IN HER ACCOUNT AND THAT THE EXECUTED
TRANSACTION IN HER ACCOUNT WHILE SERVING, A SUSPENSION
ORDERED
BY THE NYSE. MR. WHITCRAFT DENIES THE ALLEGATIONS MADE BY MS.
ROBERTSON.
PENDING CONTACT LESLIE KLENK 212-816-8545
Not Provided



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: Regulator

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CHURNING; OTHER

Product Type:

Alleged Damages: \$473,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-03370

Date Notice/Process Served: 08/04/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/10/1997

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** CASE SETTLED THRU MEDIATION **

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: alleged churning. alleged damages: \$473,000.
product: equity - listed

Product Type:

Alleged Damages: \$473,000.00

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; 97-03370

Date Notice/Process Served: 08/04/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/10/1997

Monetary Compensation Amount: \$22,000.00

Individual Contribution Amount:

Firm Statement for business and economic reasons, the firm settled this matter for \$22,000.00
contact: marion chan, esq., 212-816-7613

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CLIENT ALLEGES CHURNING OF ACCOUNT AND DEMANDS SETTLEMENT OF \$22,000.

Product Type:

Alleged Damages: \$473,000.00

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; 97-03370

Date Notice/Process Served: 08/04/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/10/1997

Monetary Compensation Amount: \$22,000.00

Individual Contribution



Amount:

Broker Statement

PENDING
INFORMATION PROVIDED BY CLIENTS ATTORNEY DOES NOT
CURRENTLY SUPPORT CLIENTS CLAIM. WE HAVE REQUESTED
ADDITIONAL
INFORMATION GREGORY TEVIS (818)907-3737

Disclosure 2 of 4

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

SALOMON SMITH BARNEY INC.

Allegations:

FRAUD, NEGLIGENCE, BREACH OF FIDUCIARY;
EXCESSIVE TRADING

Product Type:

Alleged Damages:

\$40,000.00

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.:

Pacific Stock Exchange; 94-5074

Date Notice/Process Served:

09/13/1994

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

01/03/1996

Monetary Compensation Amount:

\$14,250.00

Individual Contribution Amount:

Broker Statement

RESPONDENTS SMITH BARNEY INC AND JONATHAN
WHITCRAFT SHALL PAY TO CLAIMANT JOINTLY AND SEVERALLY,
COMPENSATORY DAMAGES IN THE TOTAL AMOUNT OF \$13,750.00 PLUS
FILING FEE OF \$500.
Not Provided

Disclosure 3 of 4

Reporting Source:

Individual

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

Allegations: IN 12/86 [CUSTOMER] MADE A CLAIM ALLEGING UNSUITABLE TRANSACTIONS WERE MADE IN HER ACCOUNT. NO LAWSUIT OR ARBITRATION WAS FILED. DR. DORNBRAND CLAIMED \$39,891.25.

Product Type:

Alleged Damages: \$39,891.25

Customer Complaint Information

Date Complaint Received: 11/01/1986

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$32,156.63

Individual Contribution Amount:

Broker Statement [CUSTOMER] SETTLED FOR \$32,156.63.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: IN 12/86 [CUSTOMER] MADE A CLAIM ARISING FROM THE HANDLING OF HIS ACCOUNT. [CUSTOMER] CLAIMED THAT UNAUTHORIZED TRANSACTIONS WERE MADE IN HIS ACCOUNT. NO LAWSUIT OR ARBITRATION WAS FILED. [CUSTOMER] CLAIMED \$14,884.22.

Product Type:

Alleged Damages: \$14,884.22

Customer Complaint Information

Date Complaint Received: 11/01/1986

Complaint Pending? No

Status: Settled

Status Date:

Settlement Amount: \$10,225.00

Individual Contribution Amount:

Broker Statement [CUSTOMER] SETTLED FOR \$10,225.00.



End of Report

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