



IAPD Report

CLAYTON JEFFERY THOMAS

CRD# 724451

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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

CLAYTON JEFFERY THOMAS (CRD# 724451)

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 **12/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PNC WEALTH MANAGEMENT LLC	CRD# 129052	08/16/2021
IA	PNC WEALTH MANAGEMENT	CRD# 129052	08/19/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	PNC MANAGED ACCOUNT SOLUTIONS, INC.	110476	PARKER, CO	10/15/2010 - 08/17/2021
B	BBVA SECURITIES INC.	27060	LITTLETON, CO	05/16/2013 - 08/16/2021
B	BBVA COMPASS INVESTMENT SOLUTIONS, INC	17086	DENVER, CO	05/19/2003 - 05/16/2013

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
Customer Dispute	5



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

Employment 1 of 1

Firm Name: **PNC WEALTH MANAGEMENT**
Main Address: 300 FIFTH AVENUE
26TH FLOOR
PITTSBURGH, PA 15222-2722
Firm ID#: 129052

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/16/2021
B	Arizona	Agent	Approved	08/16/2021
B	California	Agent	Approved	08/16/2021
B	Colorado	Agent	Approved	08/16/2021
IA	Colorado	Investment Adviser Representative	Approved	08/19/2021
B	Florida	Agent	Approved	09/20/2021
B	Illinois	Agent	Approved	08/16/2021
B	Massachusetts	Agent	Approved	08/16/2021
B	Missouri	Agent	Approved	03/29/2024
B	Montana	Agent	Approved	02/29/2024
B	Nebraska	Agent	Approved	08/16/2021
B	New Mexico	Agent	Approved	08/16/2021
B	North Carolina	Agent	Approved	08/28/2024



Qualifications

Regulator	Registration	Status	Date
B Oklahoma	Agent	Approved	07/10/2023
B Oregon	Agent	Approved	08/16/2021
B South Carolina	Agent	Approved	09/20/2021
B South Dakota	Agent	Approved	08/16/2021
B Tennessee	Agent	Approved	08/16/2021
B Texas	Agent	Approved	08/16/2021
B Virginia	Agent	Approved	08/16/2021

Branch Office Locations

PNC WEALTH MANAGEMENT
22795 EAST AURORA PARKWAY
AURORA, CO 80016

PNC WEALTH MANAGEMENT
1595 SOUTH HAVANA STREET
AURORA, CO 80012

PNC WEALTH MANAGEMENT
11239 SOUTH PIKES PEAK DRIVE
PARKER, CO 80138



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	02/21/1981
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/16/2009
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B Uniform Securities Agent State Law Examination (S63)	Series 63	06/04/1981
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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
IA	10/15/2010 - 08/17/2021	PNC MANAGED ACCOUNT SOLUTIONS, INC.	CRD# 110476	PARKER, CO
B	05/16/2013 - 08/16/2021	BBVA SECURITIES INC.	CRD# 27060	LITTLETON, CO
B	05/19/2003 - 05/16/2013	BBVA COMPASS INVESTMENT SOLUTIONS, INC	CRD# 17086	DENVER, CO
IA	04/01/2010 - 10/15/2010	ST JOHNS WEALTH MANAGEMENT	CRD# 105564	GREENWOOD VILLAGE
IA	08/18/1999 - 04/29/2003	UBS PAINWEBBER INC.	CRD# 8174	DENVER, CO
B	04/15/1999 - 04/29/2003	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	10/18/1988 - 03/26/1999	JOHN G. KINNARD AND COMPANY, INCORPORATED	CRD# 466	MINNEAPOLIS, MN
B	09/02/1983 - 09/28/1988	B. J. LEONARD AND COMPANY, INC.	CRD# 62	
B	02/23/1981 - 10/17/1983	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	
B	04/03/1981 - 10/06/1983	FIRST COLORADO INVESTMENTS & SECURITIES, INC.	CRD# 6929	

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
08/2021 - Present	PNC INVESTMENTS	Mass Transfer	Y	PARKER, CO, United States
05/2013 - 08/2021	BBVA Compass Insurance Agency, Inc.	Agent	Y	Austin, TX, United States
05/2013 - 08/2021	BBVA SECURITIES INC.	MASS TRANSFER	Y	PARKER, CO, United States
10/2010 - 08/2021	BBVA WEALTH SOLUTIONS INC.	MASS TRANSFER	Y	PARKER, CO, United States
05/2003 - 08/2021	COMPASS BANK	Employee	Y	Birmingham, AL, United States



Registration & Employment History



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	5

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:	Individual
Regulatory Action Initiated By:	STATE OF TENNESSEE, COMMISSIONER OF INSURANCE, NASHVILLE.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/26/1982
Docket/Case Number:	82-2-01-20
Employing firm when activity occurred which led to the regulatory action:	FIRST COLORADO INVESTMENTS & SECURITIES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	FIRST COLORADO INVESTMENTS & SECURITIES INC TRANSACTED AT LEAST 56 SALES OF SECURITIES AND TRANSACTED AT LEAST 36 PURCHASES OF SECURITIES WHEN THE FIRM WAS NOT REGISTERED AS A BROKER DEALER.
Current Status:	Final
Resolution:	Order
Resolution Date:	10/26/1982
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	



Sanction Details: AN ORDER TO CEASE AND DESIST WAS ENTERED AGAINST JEFFREY THOMAS BY THE COMMISSIONER OF INSURANCE OF THE STATE OF TENNESSEE.

Broker Statement Not Provided

Disclosure 2 of 3

Reporting Source: Individual

Regulatory Action Initiated By: COMMISSIONER OF SECURITIES FOR THE STATE OF ARIZONA

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 07/20/1983

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: JOHN G. KINNARD & COMPANY

Product Type:

Other Product Type(s):

Allegations: JOHN G KINNARD & COMPANY RECEIVED AN ORDER OF PROHIBITION BY THE STATE OF ARIZONA AGAINST JEFFREY THOMAS TO CEASE AND DESIST TRANSACTING BUSINESS IN THE STATE OF ARIZONA

Current Status: Final

Resolution: Order

Resolution Date: 07/20/1983

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: AN ORDER TO CEASE AND DESIST WAS ENTERED AGAINST JEFFREY THOMAS BY THE COMMISSIONER OF SECURITIES

Broker Statement Not Provided

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated By: MASSACHUSETTS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/18/1983

Docket/Case Number: E-83-09



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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Order

Resolution Date: 03/18/1983

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMMONWEALTH OF MASSACHUSETTS HAS INSTITUTED A TEMPORARY ORDER TO CEASE AND DESIST AND NOTICE OF RIGHT TO HEARNG, NO. E-83-09 AGAINST FIRST COLORADO INVESTMENTS, DENVER, CO., CLAY THOMAS AND 37 OTHER RESPONDENTS FOR ALLEGED SELLING OF SECURITIES WITHOUT BEING PROPERLY REGISTERED WITH THE STATE. A HEARNG MAY BE REQUESTED WITHIN 20 DAYS TO DETERMINE WHETHER OR NOT THIS TEMPORARY ORDER SHALL BECOME PERMANENT AND FINAL.

Reporting Source: Individual

Regulatory Action Initiated By: SECRETARY OF STATE, COMMONWEALTH OF MASSACHUSETTS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/18/1983

Docket/Case Number: E-83-09

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

Product Type:

Other Product Type(s):

Allegations: JOHN G KINNARD & COMPANY RECEIVED ON ORDER FROM THE SECRETARY OF STATE, COMMONWEALTH OF MASSACHUSETTS TEMPORARILY DIRECTING JEFFREY THOMAS TO CEASE AND DESIST TRANSACTING BUSINESS IN THE STATE OF MASSACHUSETTS

Current Status: Final

Resolution: Order

Resolution Date: 03/18/1983



Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	AN ORDER TO TEMPORARILY CEASE AND DESIST WAS ENTERED AGAINST JEFFREY THOMAS
Broker Statement	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 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: IN LETTER FROM COUNSEL, CLIENTS ALLEGE THEIR ACCOUNTS "WERE APPROXIMATELY 96% STOCKS, AND 4% BONDS AND CASH. THIS VERY AGGRESSIVE ASSET ALLOCATION WAS COMPLETELY UNSUITABLE FOR [THE CLIENTS], GIVEN THEIR AGES, OBJECTIVES AND RISK TOLERANCE." TIME PERIOD IS 1999 PRESENT.

Product Type: Equity - OTC

Alleged Damages: \$427,189.00

Customer Complaint Information

Date Complaint Received: 02/07/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/22/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: USB FINANCIAL SERVICES

Allegations: IN LETTER FROM COUSEL, CLIENTS ALLEGE THEIR ACCOUNTS "WERE APPROXIMATELY 96% STOCKS ND 4% BONDS AND CASH. THIS VERY AGGRESSIVE ASSET ALLOCATION WAS COMPLETELY UNSUITABLE FOR THE CLIENTS, GIVEN THEIR AGES, OBJECTIVES AND RISK TOLERANCE." TIME PERIOD IS 1999-PRESENT.

Product Type: Equity - OTC

Alleged Damages: \$427,189.00

Customer Complaint Information

Date Complaint Received: 02/07/2005

Complaint Pending? No

Status: Closed/No Action



Status Date: 08/22/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 5

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES THAT BROKER MISREPRESENTED THE SALE OF A MUNICIPAL BOND. TIME PERIOD JANUARY 2000

Product Type: Debt - Municipal

Alleged Damages: \$6,751.00

Customer Complaint Information

Date Complaint Received: 10/24/2002

Complaint Pending? No

Status: Settled

Status Date: 05/20/2003

Settlement Amount: \$4,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT BROKER MISREPRESENTED THE SALE OF A MUNICIPAL BOND. TIME PERIOD JANUARY 2000

Product Type: Debt - Municipal

Alleged Damages: \$6,751.00

Customer Complaint Information

Date Complaint Received: 10/24/2002

Complaint Pending? No

Status: Settled

Status Date: 05/20/2003

Settlement Amount: \$4,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 5



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO.
Allegations: JOHN G. KINNARD & CO., INC. RECEIVED A COMPLAINT ALLEGING UNSUITABILITY AND UNAUTHORIZED TRADING. NO DAMAGES SPECIFIED.

Product Type:
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/04/1999
Complaint Pending? No
Status: Denied
Status Date: 07/06/1999
Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM DENIED. CUSTOMER DID NOT RESPOND TO OUR LETTER DATED JUNE 9, 1999.
Not Provided

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO.
Allegations: JOHN G. KINNARD & CO, INC. RECEIVED A COMPLAINT ALLEGING UNSUITABILITY AND UNAUTHORIZED TRADING. NO DAMAGES SPECIFIED BUT MAY BE IN EXCESS OF \$5,000

Product Type:
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/04/1999
Complaint Pending? No
Status: Denied
Status Date: 07/06/1999
Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED
NOT PROVIDED



Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO., INC.

Allegations: JOHN G. KINNARD & CO., INC. RECEIVED A COMPLAINT ALLEGING THAT MISLEADING AND UNREALISTIC CLAIMS BY MR. THOMAS RESULTED IN, UNREALIZED AND REALIZED, LOSSES OF APPROXIMATELY \$60,000.00.

Product Type:
Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 04/05/1999
Complaint Pending? No
Status: Denied
Status Date: 07/06/1999

Settlement Amount:
Individual Contribution Amount:

Firm Statement CLAIM DENIED. CUSTOMER DID NOT RESPOND TO OUR LETTER DATED JUNE 4, 1999.
Not Provided

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO., INC.

Allegations: JOHN G. KINNARD & CO., INC. RECEIVED A COMPLAINT ALLEGING THAT MISLEADING AND UNREALISTIC CLAIMS BY MR. THOMAS RESULTED IN UNREALIZED AND REALIZED LOSSES OF APPROXIMATELY \$60,000.00

Product Type:
Alleged Damages: \$60,000.00

Customer Complaint Information

Date Complaint Received: 04/05/1999
Complaint Pending? No
Status: Denied
Status Date: 07/06/1999

Settlement Amount:
Individual Contribution Amount:

Broker Statement CLAIM DENIED. NOT PROVIDED.

**Disclosure 5 of 5**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO.

Allegations: JOHN G. KINNARD & CO. RECEIVED A COMPLAINT ALLEGING DISCRETIONARY TRADING IN REGARDS TO PURCHASE OF SEVERAL STOCKS. NO DAMAGES SPECIFIED.

Product Type: Equity - OTC

Alleged Damages: \$91,653.87

Customer Complaint Information

Date Complaint Received: 08/14/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/06/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 99-04613

Date Notice/Process Served: 03/06/2000

Arbitration Pending? Yes

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: JOHN G. KINNARD & CO.

Allegations: JOHN G. KINNARD & CO. RECEIVED A COMPLAINT ALLEGING DISCRETINARY TRADING IN REGARDS TO PURCHASE OF SEVERAL STOCKS.

Product Type: Equity - OTC

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 08/14/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/06/2000

Settlement Amount:



**Individual Contribution
Amount:**

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** NASD 99-04613

Date Notice/Process Served: 03/06/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/13/2000

**Monetary Compensation
Amount:** \$9,500.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

ORIGINALLY, THIS WAS A CUSTOMER COMPLAINT. CLIENT DID NOT RESPOND TO THE FIRM'S ANSWER TO THE COMPLAINT SENT ON 9/28/98. FIRM PAID CLIENTS \$9500 TO WHICH BROKER DID NOT CONTRIBUTE NOR WAS HE ASKED. THE CLIENTS DISMISSED WITH PREJUDICE ALL CLAIMS ASSERTED AGAINST BROKER.



End of Report

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