IAPD Report

ALLAN DEAN YARKIN

CRD# 809579

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

ALLAN DEAN YARKIN (CRD# 809579)

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 **06/19/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/27/2013
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	02/28/2013

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **14** 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	MORGAN STANLEY	149777	AVENTURA, FL	06/01/2009 - 03/08/2013
IA	MORGAN STANLEY	149777	AVENTURA, FL	06/01/2009 - 03/08/2013
B	CITIGROUP GLOBAL MARKETS INC.	7059	AVENTURA, FL	07/31/1993 - 06/01/2009

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
Customer Dispute	6

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 **14** jurisdiction(s) and 1**0** 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 Representative	Approved	02/27/2013
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/27/2013
B	FINRA	General Securities Representative	Approved	02/27/2013
B	NYSE American LLC	General Securities Representative	Approved	02/27/2013
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/27/2013
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/27/2013
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/27/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	02/27/2013
B	New York Stock Exchange	General Securities Representative	Approved	02/27/2013
B	California	Agent	Approved	03/05/2013
IA	California	Investment Adviser Representative	Approved	05/04/2023
B	Connecticut	Agent	Approved	02/28/2013

Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	02/27/2013
IA	Florida	Investment Adviser Representative	Approved	02/28/2013
B	Georgia	Agent	Approved	02/27/2013
B	Illinois	Agent	Approved	02/27/2013
B	Massachusetts	Agent	Approved	05/29/2013
B	Nevada	Agent	Approved	03/26/2013
B	New Jersey	Agent	Approved	02/27/2013
B	New York	Agent	Approved	02/27/2013
B	North Carolina	Agent	Approved	02/27/2013
B	Pennsylvania	Agent	Approved	02/27/2013
B	Texas	Agent	Approved	02/27/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	02/28/2013
B	Utah	Agent	Approved	05/06/2013
B	Virginia	Agent	Approved	03/15/2013

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1010 S Federal Highway
Suite 2601
Hallandale Beach, FL 33009

UBS FINANCIAL SERVICES INC.
Miami Beach, 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	AMEX Put and Call Exam (PC)	PC	08/28/1991
B	Interest Rate Options Examination (S5)	Series 5	10/17/1981
B	General Securities Representative Examination (S7)	Series 7	06/21/1975

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/05/1992
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1983

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	06/01/2009 - 03/08/2013	MORGAN STANLEY	CRD# 149777	AVENTURA, FL
IA	06/01/2009 - 03/08/2013	MORGAN STANLEY	CRD# 149777	AVENTURA, FL
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	AVENTURA, FL
IA	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	AVENTURA, FL
B	11/26/1979 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/10/1978 - 11/26/1979	LOEB PARTNERS	CRD# 7534	
B	02/24/1978 - 11/24/1978	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	07/01/1975 - 02/24/1978	DEAN WITTER & CO. INCORPORATED	CRD# 6466	

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
02/2013 - Present	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	AVENTURA, 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.

1) Rayal / INVESTMENT RELATED?: YES / 9401 Collins Ave. Apt. 607 Surfside, FL 331545 / LLC to hold condo property in SF / Partner / Passive owner / START DATE: 10/17/2018 ///

2) The foundation of the Greater Miami Jewish Federation / 4200 Biscayne Blvd., Miami ,FL 33137 / Foundation / Charity / To review recommendations of the investment consultant for the Greater Miami Jewish Federation / This is not a board position. This is an advisory committee whose sole role is to review the recommendations of the investment consultant. / 3 meetings per year of aprox. 2 hours each / Reviewing the recommendations of the consultant and the performance of the fund / The committee does not recommend managers or specific investments / Start Date: 5/15/2008

3) Name of Business: ICA museum Miami./ Address; 61 ne 41st street miami florida United States33137./ Investment Related:

Registration & Employment History

OTHER BUSINESS ACTIVITIES

No./ Nature: contemporary art museum./ Role: member of the investment committee./ Duty: the investment committee is comprised of 5people after I official join.The committee will have a quarterly zoom call for aprox. one hour to review the investment portfolio performance and to review any recommendations that the cfo wants to make,The committee will also be responsible for reviewing the overall asset allocation and to make recommendations about possible changes.The committee will also assist the cfo in determining how to invest best invest short term cash.The maximum maturity can not exceed 6 months and is limited to cd and US Treasuries.None of this business will be done at UBS and I will not be compensated in ant way./ Start Date: 6/30/2023./ Hours Devoted: no./ time required: n/a.

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
Customer Dispute	6

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITI GLOBAL MARKETS INC.
Allegations:	CLIENT ALLEGES THAT MR. YARKIN MADE UNSUITABLE INVESTMENT RECOMMENDATIONS GIVEN HER RISK TOLERANCE DURING 9/05 THROUGH 1/08. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-01500

Filing date of arbitration/CFTC reparation or civil litigation:	04/24/2012

Customer Complaint Information

Date Complaint Received:	05/14/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/06/2014
Settlement Amount:	$400,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THIS CASE WAS SETTLED TO AVOID THE COST AND UNCERTAINTY OF ARBITRATION. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS OF MAT WERE DISCLOSED BOTH VERBALLY AND IN WRITING AND THE LOSSES ARE THE RESULT OF HISTORIC MARKET EVENTS.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITI GLOBAL MARKETS INC.
Allegations:	CLIENT ALLEGES UNSUITABLE INVESTMENT RECOMMENDATIONS GIVEN HER RISK TOLERANCE DURING 9/05 THROUGH 1/08. THE FIRM DENIES THE ALLEGATIONS AS THE RISKS WERE FULLY DISCLOSED BOTH VERBALLY AND IN WRITING, THE LOSSES WERE THE RESULT OF HISTORIC MARKET EVENTS, AND CLIENT INCURRED LOSSES BY, AGAINST ADVICE OF MR. YARKIN, LIQUIDATING ALTERNATIVE INVESTMENTS WHICH THEREAFTER SUBSTANTIALLY APPRECIATED IN VALUE.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-01500
Filing date of arbitration/CFTC reparation or civil litigation:	04/24/2012

Customer Complaint Information

Date Complaint Received:	05/14/2012

Complaint Pending?	No
Status:	Settled
Status Date:	10/06/2014
Settlement Amount:	$400,000.00
Individual Contribution Amount:	$0.00
Broker Statement	MR. YARKIN WAS NOT A RESPONDENT IN THIS UTTERLY UNFOUNDED ARBITRATION. PRIOR EMPLOYER CHOSE TO SETTLE; HE NEITHER PAID FOR NOR AGREED WITH THAT. HE MADE WHOLLY SUITABLE RECOMMENDATIONS FOR A DIVERSIFIED INVESTMENT PORTFOLIO, AND PROVIDED BALANCED VERBAL AND WRITTEN PRESENTATIONS OF POSSIBLE BENEFITS AND RISKS. THE CUSTOMER INCURRED LOSSES BECAUSE, AFTER HISTORIC 2008-09 MARKET EVENTS AND AGAINST SPECIFIC WRITTEN ADVICE, SHE LIQUIDATED INVESTMENTS WHICH HAVE SINCE MATERIALLY APPRECIATED IN VALUE. MR. YARKIN INTENDS TO SEEK ALL AVAILABLE REMEDIES FOR CLAIMANT'S WRONGFUL ACCUSATIONS.

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS INC.
Allegations:	COMPLAINT ABOUT AUCTION RATE SECURITIES THAT ALLEGED FAILURE TO DISCLOSE LIQUIDITY RISK. DAMAGES UNSPECIFIED.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/25/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2009
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 6

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	SALOMON SMITH BARNEY
Allegations:	CLAIMANT ALLEGES MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, VIOLATION OF FLORIDA SECURITIES AND INVESTOR PROTECTION ACT. TIME PERIOD: 4/01/2001 TO 8/1/2001.
Product Type:	Other
Other Product Type(s):	HEDGE FUND.
Alleged Damages:	$277,000.00

Customer Complaint Information

Date Complaint Received:	08/23/2001
Complaint Pending?	No
Status:	Withdrawn
Status Date:	09/28/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE COMPLAINT WAS WITHDRAWN AGAINST MR. YARKIN ON 9/28/01.

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SMITH BARNEY, INC.
Allegations:	CLIENT`S ATTORNEY ALLEGED THAT THE PURCHASE OF A LIMITED PARTNERSHIP WAS MISREPRESENTED. AMOUNT CLAIMED $43,144 SMITH BARNEY, INC.
Product Type:	
Alleged Damages:	$43,144.00

Customer Complaint Information

Date Complaint Received:	10/26/1998
Complaint Pending?	No
Status:	Denied
Status Date:	01/11/1999
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE CLIENT`S CLAIM WAS DENIED THERE WERE NO OPTIONS OR COMMODITIES INVOLVED. THE CUSTOMER COMPLAINT DOES NOT NAME ME INDIVIDUALLY. I WAS INVOLVED IN THE SALE OF THE SUBJECT INVESTMENT IN 1985; HOWEVER, THE CUSTOMER WAS AND IS EXTREMELY

SAVVY; THIS WAS AN ENTIRELY SUITABLE INVESTMENT FOR HIM; AND I MADE NO MISREPRESENTATIONS WHATSOEVER. INDEED THE CUSTOMER WAS
PROVIDED A DETAILED PLACEMENT MEMORANDUM EXPLAINING THE RISKS
ASSOCIATED WITH THIS INVESTMENT, HE WAS PROVIDED AMPLE OPPORTUNITY TO REVIEW IT; AND I REQUIRED WHETHER THIS INVESTMENT WAS CONSISTENT WITH CUSTOMER`S OBJECTIVES. AT NO TIME DID I EVER SAY OR SUGGEST (AND CERTAINLY DID NOT GUARANTEED) THAT THE CUSTOMER WOULD RECEIVE PROJECTED TAX BENEFITS AND RECOUP HIS ENTIRE INVESTMENT PLUS A PROFIT.

Disclosure 5 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN HUTTON, INC.
Allegations:	MISREPRESENTATION; ACCOUNT RELATED-NEGLIGENCE;OTHER; BRCH OF FIDUCIARY DT; OMISSION OF MATERIAL FACTS
Product Type:	
Alleged Damages:	$43,804.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #90-03245
Date Notice/Process Served:	02/07/1991
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	04/06/1992
Disposition Detail:	AWARD AGAINST PARTY ***12/7/98-YARKIN WAS JOINTLY AND SEVERALLY LIABLE FOR $56,069.12 IN COMPENSATORY DAMAGES, JOINTLY AND SEVERALLY LIABLE FOR ATTORNEYS FEES AMOUNT NOT DISCLOSED, AND JOINTLY AND SEVERALLY LIABLE FOR $15,000.00 IN PUNITIVE DAMAGES***

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN HUTTON, INC.
Allegations:	MISREPRESENTATION, SOUGHT $43,804 IN DAMAGES ALLEGED DAMAGES: $43,804.00.
Product Type:	
Alleged Damages:	$43,804.00

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.:	NASD; 90-03245
Date Notice/Process Served:	02/07/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	04/06/1992
Monetary Compensation Amount:	$71,069.12
Individual Contribution Amount:	$0.00
Broker Statement	CLAIMANT AWARDED $48,297.86 FC WAS NOT ASKED TO CONTRIBUTE SHEARSON PAID TOTAL AWARD. THE CLIENT CLAIMED THAT I GAVE HIM ADVICE, WHICH INFLUENCED ONE OF HIS TRADES ON HOME INTENSIVE CARE, AS TO WHAT CONGRESS' REIMBURSEMENT POLICY FOR HOME DIALYSIS WAS GOING TO BE. THE CLIENT HAD ACTIVELY TRADED HOME INTENSIVE CARE STOCK PRIOR TO DEALING WITH ME, AND CONTINUED TO TRADE THE COMPANY'S SHARES BOTH AT SHEARSON AND ANOTHER FIRM DURING THE TIME IN QUESTION WITHOUT MY INPUT. I DID NOT GIVE THE CLIENT ANY ADVICE WITH REGARD TO CONGRESS' ACTION. THEREFORE, THE FIRM AND I VEHEMENTLY DISAGREE WITH THE ARBITRATORS FINDINGS AND AWARD IN THIS CASE.

Disclosure 6 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	ACCOUNT RELATED-NEGLIGENCE; BRCH OF FIDUCIARY DT; MISREPRESENTATION; NEGLIGENT SUPERVISION; FRAUD
Product Type:	
Alleged Damages:	$47,345.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #91-01264
Date Notice/Process Served:	04/29/1991
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	03/03/1992
Disposition Detail:	AWARD AGAINST PARTY ***ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $15,250.00***

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS, INC.
Allegations:	MISREPRESENTATION, SOUGHT $47,345 IN DAMAGES
Product Type:	
Alleged Damages:	$47,345.00

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.:	NASD; 91-01264
Date Notice/Process Served:	04/29/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	03/03/1992
Monetary Compensation Amount:	$15,250.00
Individual Contribution Amount:	$0.00
Broker Statement	CLAIMANT AWARDED-$15,250.00-PAID BY SHEARSON LEHMAN BROTHERS INC. BROKER WAS NOT ASKED TO CONTRIBUTE TOWARD THIS AWARD. Not Provided

End of Report

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