



## IAPD Report

# KENNETH JAMES WILKINSON

CRD# 817773

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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

### KENNETH JAMES WILKINSON (CRD# 817773)

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 **10/09/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	01/09/1990
<b>IA</b>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	01/02/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>IA</b>	RAYMOND JAMES FINANCIAL SERVICES	6694	SILVERDALE, WA	04/06/2006 - 01/02/2009
<b>IA</b>	THE FINANCIAL PLANNING COMPANY, INC	115616	SILVERDALE, WA	08/23/1995 - 12/31/2005
<b>B</b>	DAIN BOSWORTH INCORPORATED	7600	SILVERDALE, WA	07/24/1986 - 01/10/1990

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
Criminal	1
Customer Dispute	3



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

### Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY  
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	01/09/1990
<b>B</b>	FINRA	General Securities Representative	Approved	01/09/1990
<b>B</b>	FINRA	Municipal Securities Representative	Approved	01/26/1990
<b>B</b>	FINRA	Municipal Securities Principal	Approved	02/21/1990
<b>B</b>	Arizona	Agent	Approved	03/27/2003
<b>B</b>	California	Agent	Approved	01/09/1990
<b>B</b>	Colorado	Agent	Approved	10/02/2020
<b>B</b>	Delaware	Agent	Approved	10/14/2020
<b>B</b>	Florida	Agent	Approved	01/10/2023
<b>B</b>	Georgia	Agent	Approved	01/05/2009
<b>B</b>	Idaho	Agent	Approved	01/25/2017
<b>B</b>	Kentucky	Agent	Approved	03/20/2012
<b>B</b>	Missouri	Agent	Approved	10/15/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Montana	Agent	Approved	07/06/2016
<b>B</b> Nevada	Agent	Approved	07/23/2004
<b>B</b> New York	Agent	Approved	08/02/2010
<b>B</b> Ohio	Agent	Approved	10/09/2025
<b>B</b> Oregon	Agent	Approved	02/05/1990
<b>B</b> South Carolina	Agent	Approved	02/22/2022
<b>B</b> Texas	Agent	Approved	07/27/2005
<b>B</b> Utah	Agent	Approved	03/09/2022
<b>B</b> Virginia	Agent	Approved	06/22/2022
<b>B</b> Washington	Agent	Approved	01/30/1990

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES**  
 25 2ND AVENUE WEST  
 KALISPELL, MT 59901

### Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
 Main Address: 880 CARILLON PARKWAY  
 SAINT PETERSBURG, FL 33716  
 Firm ID#: 149018

Regulator	Registration	Status	Date
<b>IA</b> Montana	Investment Adviser Representative	Approved	09/23/2019
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	03/14/2025



## Qualifications

### Branch Office Locations

**RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**  
25 2ND AVENUE WEST  
KALISPELL, MT 59901





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	02/15/1990
 General Securities Principal Examination (S24)	Series 24	11/08/1982

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/17/1976

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1982

### 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	04/06/2006 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	SILVERDALE, WA
IA	08/23/1995 - 12/31/2005	THE FINANCIAL PLANNING COMPANY, INC	CRD# 115616	SILVERDALE, WA
B	07/24/1986 - 01/10/1990	DAIN BOSWORTH INCORPORATED	CRD# 7600	
B	07/30/1982 - 08/01/1986	BOETTCHER & COMPANY, INC.	CRD# 101	
B	01/28/1976 - 08/05/1982	FOSTER & MARSHALL INC.	CRD# 321	

#### 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
01/2009 - Present	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	IAR	Y	KALISPELL, MT, United States
05/2005 - Present	THE FINANCIAL PLANNING CO INC	OFFICER - CEO	Y	KALISPELL, MT, United States
01/1990 - Present	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	KALISPELL, MT, 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)Name of Business: Freedom Tax Service Address: 25 2nd Ave W, Kalispell, MT, 59901, United States Activity Type: Tax Preparation Position/Title: Officer - President Investment Related: No Start Date: 09/25/2014 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Prepare and e-file customer tax returns.
- (2)Name of Business: Kenneth J Wilkinson & Associates Address: 25 2nd Ave W, Kalispell, MT, 59901, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 01/01/1990 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Administration of my RJ Business
- (3)Name of Business: Snow Peak Wealth Advisors Address: 25 2nd Ave W, Kalispell, MT, 59901, United States Activity Type: Support Company - Non Owner Position/Title: Other Investment Related: No Start Date: 03/03/2021 Hours per month devoted to this business: 81+ Hours per month devoted to this business during trading hours: 11-20 Description of duties: Provide Financial Services to clients



## 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
Criminal	1
Customer Dispute	3

### 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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF FLORIDA SECURITIES DIVISION
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	RESTRICTED FL LICENSE WHICH HAS NOW BEEN REMOVED.
<b>Date Initiated:</b>	06/11/1991
<b>Docket/Case Number:</b>	NA
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	FL BASED ON NUMEROUS COMPLAINTS OVER PERIOD OF TIME
<b>Current Status:</b>	Final
<b>Resolution:</b>	Other
<b>Resolution Date:</b>	06/11/1991
<b>Sanctions Ordered:</b>	Censure
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	PER FRANK TOLAND AT NASD WE ARE TO MARK CENSURE, BUT HE SAID TO NOTE THAT KEN WILKINSON WAS NOT CENSURED, HE WAS



RESTRICTED. FLORIDA RESTRICTED SECURITIES LICENSE TO ONE CLIENT. ANY ADDITIONAL CLIENTS MUST FIRST BE APPROVED BY INVESTMENT MANAGEMENT & RESEARCH, INC. AND THE STATE OF FLORIDA. FLORIDA JUST APPROVED ANOTHER CLIENT IN FLORIDA THAT I CAN DO BUSINESS WITH. REASON FOR RESTRICTION IS DUE TO PRIOR DISC. ACTIONS ON FILE WITH NASD. I AM NOT TO PROSPECT OR SOLICIT ANY FLORIDA CLIENTS WITHOUT PRIOR APPROVAL FROM STATE OF FLORIDA.

**Broker Statement**

IN 1991 ONE OF MY CLIENTS MOVED TO THE STATE OF FLORIDA. I WISHED TO CONTINUE TO SERVICE THEIR NEEDS AND I APPLIED FOR A FLORIDA REGISTRATION. THE STATE OF FLORIDA GRANTED A LIMITED REGISTRATION ALLOWING ME TO SERVICE ONLY DISCLOSED CLIENTS WHICH ARE PRE-APPROVED BY THE STATE. I AM NOT ALLOWED TO PROSPECT OR SOLICIT ANY CLIENTS OR ANY BUSINESS WITH-OUT IMR AND THE STATE OF FLORIDA'S CONSENT. I HAVE REQUESTED THAT THE STATE OF FLORIDA LIFT THIS RESTRICTION BUT THEY HAVE TO THIS DATE, REFUSED TO GRANT ME SUCH RELIEF. REASON IS DO TO PRIOR DISC. INFORMATION THAT IS CONTAINED ON MY CRD FILE. STATE OF FLORIDA HAS NOW REMOVED STATE RESTRICTIONS.



## Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

### Disclosure 1 of 1

**Reporting Source:** Individual

**Organization Name (if charge(s) were brought against an organization over which individual exercised control):** N/A

**Court Details:** N.A.S.D. REQUEST FOR INFORMATION REGARDING F.B.I. REPORT (SEE ATTACHED)  
2179

**Charge Date:** 12/19/1966

**Charge Details:** LARCENY - 2 COUNTS, WRONGFUL TAKING OF PROPERTY.

**Felony?** No

**Current Status:** Final

**Status Date:** 03/01/1967

**Disposition Details:** CASE WAS EVENTUALLY DISMISSED AFTER SERVING A ONE YEAR PROBATION AND COUNSELING PROGRAM WITH KING COUNTY WASHINGTON PROBATION DEPARTMENT.

**Broker Statement** IN 1966, WHEN I WAS A JUVENILE, A FRIEND AND I TOOK A NUMBER OF CAR PARTS FROM A BELLEVUE, WA CAR DEALERSHIP. APPROXIMATELY 10 MONTHS LATER WE WERE ARRESTED AND CHARGED WITH LARCENY. WE WERE GIVEN A DEFERRED SENTENCE PENDING SERVING A ONE YEAR PROBATION. AFTER SERVING THIS PROBATION THE CASE WAS DISMISSED AND ALL CHARGES WERE DROPPED. THE CITY OF BELLEVUE POLICE DEPARTMENT HAS NO RECORDS OF THE INCIDENT AT ALL (SEE LETTER). I AM CURRENTLY ATTEMPTING TO HAVE ALL F.B.I. AND STATE RECORDS EXPUNGED. I WILL AMEND U-4 AT COMPLETION OF THE EXPUNGEMENT. AS THIS INCIDENT WAS DISMISSED I WAS UNAWARE I NEEDED TO DISCLOSE ON U-4. COPY OF F.B.I. RECORD REC'D 02654 13490.



## 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 3

**Reporting Source:** Firm

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

**Allegations:** THE PLAINTIFF, CUSTOMER, ALLEGES TREBLE DAMAGES UP TO \$10,000 PLUS COSTS, AND THAT ATTORNEY FEES BE AWARDED.

### Product Type:

**Alleged Damages:** \$100,000.00

## Customer Complaint Information

### Date Complaint Received:

**Complaint Pending?** No

**Status:** Litigation

### Status Date:

### Settlement Amount:

**Individual Contribution Amount:**

## Civil Litigation Information

**Court Details:** SUPERIOR; STATE OF WAHSINGTON, KITSAP COUNTY; 86-2-00623-2

**Date Notice/Process Served:** 02/10/1986

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/16/1988

**Monetary Compensation Amount:** \$99,680.00

**Individual Contribution Amount:** \$22,500.00

### Firm Statement

VOLUNTARY TERMINATION; DUE TO OFFICE CLOSURE, KENNETH JAMES WILKINSON, WAS LAYED OFF. ALSO, ON 2/11/86, KENNETH J. WILKINSON WAS SERVED WITH A COMPLAINT FOR VIOLATION OF THE CONSUMER PROTECTION ACT, THE WASHINGTON SECURITIES ACT, AND PROFESSIONAL MALPRACTICE IN THE SUPERIOR COURT OF THE STATE OF WASHINGTON FOR KITSAP COUNTY. \*\*\*\*\* ADDITIONALLY, DR. VAN DER WILDE INSTITUTED A



LAWSUIT IN THE STATE OF WASHINGTON ON 1/24/86, AGAINST BOETTCHER & COMPANY, INC., KENNETH J. WILKINSON AND MARK VANDER PLOEG. THE LAWSUIT ALLEGED MISREPRESENTATIONS AND MISSTATEMENTS IN CONNECTION WITH DR. VAN DER WILDE'S PURCHASE OF \$20,000 OF DEBENTURE ISSUED BY COMPUTER DISTRIBUTORS, INC. AND UNDERWRITTEN BY BOETTCHER & COMPANY, INC. IN MARCH, 1984. ON 6/2/86, BOETTCHER & COMPANY, INC. REACHED A SETTLEMENT WITH DR. VAN DER WILDE PURSUANT TO WHICH BOETTCHER PAID DR. VAN DER WILDE THE SUM OF \$6,250. BOETTCHER EXPRESSLY DENIED ANY WRONGDOING OR LIABILITY IN CONNECTION WITH THIS ACTION.

**Reporting Source:** Individual

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

**Allegations:** CLAIMANT ALLEGED RESPONDENTS BREACHED THEIR FIDUCIARY DUTY, WERE NEGLIGENT AND ACTED FRAUDULENTLY BY INVESTING CLAIMANTS FUNDS IN TWO LIMITED PARTNERSHIPS WHICH WERE NOT SUITABLE FOR HER. CLAIMANT REQUESTED DAMAGES IN THE AMOUNT OF APX. \$100,000.00 PLUS COURT COSTS.

**Product Type:** Direct Investment(s) - DPP & LP Interest(s)

**Alleged Damages:** \$100,000.00

**Customer Complaint Information**

**Date Complaint Received:** 02/10/1985

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 02/10/1986

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** SUPERIOR; STATE OF WAHSINGTON, KITSAP COUNTY; 86-2-00623-2

**Date Notice/Process Served:** 02/10/1986

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/16/1988

**Monetary Compensation Amount:** \$99,680.00

**Individual Contribution Amount:** \$22,500.00

**Broker Statement** THE CASE WAS SETTLED FOR \$99,680.00. RESPONDENT



FOSTER & MARSHALL AGREED TO PAY SAID AMOUNT OF SETTLEMENT, WHILE RESPONDENT WILKINSON AGREED TO PURCHASE CLAIMANTS ENTIRE INTEREST IN IEA MARINE CONTAINER FUND III FOR \$22,500.00. (\$22,500.00 IS PART OF THE \$99,680). PLEASE SEE ENCLOSED COPY OF SETTLEMENT DOCUMENTS WHICH ARE PART OF RESPONDENT WILKINSON CRD.

**Disclosure 2 of 3**

**Reporting Source:** Firm

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

**Allegations:** CLIENTS ALLEGED UNSUITABILITY IN SELLING BONDS AND PURCHASING SINGLE PREMIUM VARIABLE LIFE PRODUCT. SEEKING DAMAGES OF \$23,620.39 PLUS INTEREST PLUS EXPENSES.

**Product Type:**

**Alleged Damages:** \$23,620.39

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 89-01269

**Date Notice/Process Served:** 04/04/1988

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/19/1990

**Monetary Compensation Amount:** \$16,000.00

**Individual Contribution Amount:** \$6,400.00

**Firm Statement** THE MATTER WAS SETTLED PRIOR TO THE ARBITRATION HEARING FOR \$16,000.00. MR. WILKINSON HAS NOT BEEN EMPLOYED BY DAIN BOSWORTH SINCE DECEMBER 31, 1989, HOWEVER THE FIRM HAS ASKED HIM TO PAY 40% (\$6,400) OF THE SETTLEMENT AMOUNT.

**Reporting Source:** Individual

**Employing firm when** DAIN BOSWORTH

**activities occurred which led to the complaint:**

**Allegations:** CLIENT ALLEGED UNSUITABILITY IN SELLING BONDS AND PURCHASING SINGLE PREMIUM VARIABLE LIFE PRODUCT. CLIENT WAS SEEKING DAMAGES OF \$23,620.39 PLUS COST INTEREST AND EXPENSES.

**Product Type:** Insurance

**Alleged Damages:** \$23,620.39

**Customer Complaint Information**

**Date Complaint Received:** 04/04/1988

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/19/1990

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-01269

**Date Notice/Process Served:** 04/04/1988

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/19/1990

**Monetary Compensation Amount:** \$16,000.00

**Individual Contribution Amount:** \$4,000.00

**Broker Statement** THE MATTER WAS SETTLED PRIOR TO ARBITRATION HEARING FOR \$16,000.00 I HAVE NOT BEEN EMPLOYED BY DAIN BOSWORTH SINCE DECEMBER 31, 1989. REPRESENTATIVE FOR DAIN AND I AGREED THAT I WILL PAY \$4,000.00 IN EIGHT EQUAL PAYMENTS OF \$500.00 AND BEGINNING ON SEPTEMBER 1, 1990.

**Disclosure 3 of 3**

**Reporting Source:** Individual

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

**Allegations:** CLIENT ALLEGED UNSUITABILITY OF A \$21,000 INVESTMENT IN RESIDENTIAL RESOURCES COMMON STOCK. RESIDENTIAL RESOURCES FILED FOR BANKRUPTCY PROTECTION IN 1988. [CUSTOMER] WAS SEEKING \$21,000 IN DAMAGES PLUS INTEREST AND EXPENSES.

**Product Type:** Derivative(s)



**Other Product Type(s):** LIMITED PARTNERSHIPS

**Alleged Damages:** \$21,000.00

**Customer Complaint Information**

**Date Complaint Received:** 05/19/1989

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/06/1990

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; TC 90-08 UJDC 90-16-RE

**Date Notice/Process Served:** 01/06/1990

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/22/1990

**Monetary Compensation Amount:** \$15,250.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

THE MATTER WAS SETTLED PRIOR TO ARBITRATION FOR \$15,250.00. I HAVE NOT BEEN EMPLOYED BY DAIN BOSWORTH SINCE DECEMBER 31, 1989. DAIN HAS INFORMED ME VERBALLY THAT I WILL NOT BE REQUIRED TO PARTICIPATE IN ANY OF THE COSTS OF SETTLEMENT IN THIS PROCEEDING.



## End of Report

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