



## IAPD Report

# STEVEN ALAN WAGNER

CRD# 825793

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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

### STEVEN ALAN WAGNER (CRD# 825793)

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 **05/19/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OMNIA FAMILY WEALTH, LLC	CRD# 170909	09/09/2015

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Aventura, FL	09/04/2015 - 05/01/2025
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	AVENTURA, FL	04/24/2009 - 09/08/2015
IA	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	AVENTURA, FL	04/24/2009 - 09/08/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **OMNIA FAMILY WEALTH, LLC**

Main Address: 18851 NE 29TH AVENUE  
SUITE 400  
AVENTURA, FL 33180

Firm ID#: 170909

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	10/08/2015
	North Carolina	Investment Adviser Representative	Approved	09/09/2015

### Branch Office Locations

**OMNIA FAMILY WEALTH, LLC**

18851 NE 29TH AVENUE  
SUITE 400  
AVENTURA, FL 33180



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	10/15/1983
<b>B</b> Municipal Securities Representative Examination (S52)	Series 52	03/09/1979
<b>B</b> Registered Representative Examination (S1)	Series 1	08/13/1976

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	08/18/2005
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/21/1983



### 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	09/04/2015 - 05/01/2025	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Aventura, FL
B	04/24/2009 - 09/08/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	AVENTURA, FL
IA	04/24/2009 - 09/08/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	AVENTURA, FL
B	01/28/1995 - 05/05/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	AVENTURA, FL
IA	01/28/1995 - 05/05/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	AVENTURA, FL
B	09/09/1993 - 01/28/1995	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	11/26/1986 - 09/29/1993	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	04/23/1984 - 12/02/1986	J. B. HANAUER & CO.	CRD# 6958	
B	10/07/1983 - 03/23/1984	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	02/28/1979 - 09/19/1983	FIRST MIAMI SECURITIES, INC.	CRD# 7793	
B	08/17/1976 - 03/08/1979	J B HANAUER AND CO	CRD# 1000001	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2015 - Present	OMNIA FAMILY WEALTH	CEO	Y	AVENTURA, FL, United States
09/2015 - 05/2025	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, 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.

1) GREATER MIAMI JEWISH FEDERATION. I SPEND ABOUT 1 HOUR A MONTH AS A VOLUNTEER FOR THE INVESTMENT COMMITTEE. I DON'T GIVE ANY SPECIFIC INVESTMENT ADVICE. THEY HAVE A CONSULTANT THAT HANDLES THE INVESTING, THEY DEAL MORE WITH BROAD BASED IDEA SHARING. IT IS VOLUNTEER. UBS/ML DOES NOT HANDLE THE MONEY FOR THE FEDERATION, THERE IS NO SPECIFIC THAT WOULD BE A CONFLICT OF INTEREST.

BUS HRS: M-T 8:30 TO 4:30 FRI 9-6  
4200 BISCAYNE BLVD MIAMI, FL 33137  
305-576-4000

2) Adler Kawa, Investment Related, Should market environment necessitate the advisory board has the ability to extend duration. Adler Real Estate 21500 Biscayne Blvd Aventura, FL 33180; Real Estate, Advisory Board; 0 hours/month. Advisor on a committee to extend the fund should market conditions not be favorable period to sell real estate holdings.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.





## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/27/1989

**Docket/Case Number:** ATL-1066

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

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/28/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,369.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

COMPLAINT NO. ATL-1066 FILED JANUARY 27, 1989 BY DISTRICT NO. 7 AGAINST RESPONDENT STEVEN ALAN WAGNER ALLEGING VIOLATIONS OF MSRB RULES G-17 AND G-19 IN THAT RESPONDENT WAGNER EXERCISED DISCRETION IN THE SECURITIES ACCOUNT OF A PUBLIC CUSTOMER IN THAT HE SOLD AND PURCHASED BONDS WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF THE CUSTOMER OR THE WRITTEN ACCEPTANCE OF THE TRANSACTIONS AS DISCRETIONARY BY HIS EMPLOYER-MEMBER; SOLD BONDS FOR THE SECURITIES ACCOUNT WITH HIS EMPLOYER-MEMBER OF A PUBLIC CUSTOMER AND REPURCHASED THE BONDS FOR THE ACCOUNT IN THREE TRANSACTIONS AND USED THE GAIN TO PURCHASE OTHER BONDS WITHOUT THE KNOWLEDGE OR CONSENT OF THE CUSTOMER; AND, CONVERTED TO HIS OWN USE AND BENEFIT SECURITIES IN THE SECURITIES ACCOUNT WITH HIS EMPLOYER-MEMBER OF A PUBLIC CUSTOMER.

DECISION RENDERED DECEMBER 28, 1990, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT WAGNER WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$3,369. THE COMMITTEE DETERMINED TO DISMISS THE THIRD CAUSE CONCERNING CONVERSION OF SECURITIES IN THAT THE CUSTOMER FROM WHOSE ACCOUNT THE BONDS WERE ALLEGEDLY CONVERTED NEVER COMPLAINED TO THE NASD. IN ADDITION, THE CUSTOMER COULD NOT BE LOCATED TO CONFIRM THE ALLEGATIONS.

\*\*\*\$3,369.00 PAID ON 3/18/91 INVOICE #91-07-21\*\*\*

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD DISTRICT 7  
**Sanction(s) Sought:**  
**Other Sanction(s) Sought:**  
**Date Initiated:** 01/27/1989  
**Docket/Case Number:** ATL-1066

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

**Product Type:**

**Other Product Type(s):**

**Allegations:** VIOLATIONS OF MSRB RULES G-17 & G-19 IN THAT I EXERCISED DISCRETION IN THE SECURITIES ACCOUNT OF A CUSTOMER IN BUYING AND SELLING BONDS WITHOUT AUTHORIZATION; SOLD & REBOUGHT BONDS IN THREE TRANSACTIONS IN A CUSTOMER'S ACCOUNT & USED THE GAIN TO BUY OTHER BONDS WITHOUT THE CUSTOMER'S APPROVAL; & CONVERTED TO MY OWN USE AND BENEFIT SECURITIES IN THE CUSTOMER'S ACCOUNT.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	12/28/1990
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$3,369.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	SETTLEMENT OFFER BY WAGNER WAS ACCEPTED; HE WAS CENSURED AND FINED \$3,369.00. THE COMMITTEE DETERMINED TO DISMISS THE THIRD CAUSE CONCERNING CONVERSION OF SECURITIES IN THAT THE CUSTOMER FROM WHOSE ACCOUNT THE BONDS WERE ALLEGEDLY CONVERTED NEVER COMPLAINED TO THE NASD. IN ADDITION, THE PAID ON 3/18/91 INVOICE #91-07-21.



## 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:** Individual

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

**Allegations:** CUSTOMERS CLAIM THAT THE BROKER SOLD THEM INVESTMENTS THAT WERE NOT AUTHORIZED AND NOT SUITABLE FOR THEIR ACCOUNTS. CUSTOMERS ALSO CLAIM THAT AFTER RECEIVING CONFIRMATIONS AND DISCUSSING THESE INVESTMENTS, THE BROKER MISREPRESENTED THE RISK ASSOCIATED WITH THEM.

**Product Type:** Equity - OTC

**Alleged Damages:** \$120,000.00

### Customer Complaint Information

**Date Complaint Received:** 07/17/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 10/24/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE INVESTMENTS IN QUESTION WERE FULLY EXPLAINED AND AUTHORIZED BY THE CLIENT. THEY WERE CONSISTENT WITH THE RISK PROFILE AND REPRESENTED A VERY SMALL PERCENTAGE OF NET WORTH.

### Disclosure 2 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** J.B. HANAUER & CO.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$16,000.00

### Customer Complaint Information

**Date Complaint Received:** 05/13/1987

**Complaint Pending?** No



**Status:** Settled

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

ON NOVEMBER 17<sup>th</sup>, 1986,  
J.B. HANAUER & CO. FILED A U5 CONCERNING WAGNER, REFLECTING A  
VOLUNTARY TERMINATION. SINCE THAT DATE, THE FIRM HAS BECOME  
AWARE OF THE FOLLOWING CIRCUMSTANCES: BASED UPON  
CORRESPONDENCE  
RECEIVED FROM THE EXECUTOR OF A CUSTOMER'S ESTATE, IT IS  
BELIEVED THAT CERTAIN TRANSACTIONS MAY HAVE OCCURRED WITHOUT THE  
CUSTOMER'S KNOWLEDGE AND/OR CONSENT. IN ADDITION, THE FIRM'S  
REVIEW OF THIS MATTER DISCLOSED THAT CERTAIN BEARER  
SECURITIES,  
WHICH WERE TO BE DELIVERED TO THE CUSTOMER BY WAGNER, WERE  
NEVER  
IN FACT DELIVERED TO THE CLIENT OR HIS ESTATE. THE FIRM BELIEVES  
WAGNER RETAINED CONTROL OF SUCH SECURITIES AND AS A RESULT OF  
THEIR INVESTIGATION, THE SECURITIES HAVE BEEN RETURNED TO THE  
FIRM AND DEPOSITED TO THE CLIENT'S ACCOUNT. THE FIRM NOW AWAITS  
FURTHER INSTRUCTIONS FROM THE ESTATE'S EXECUTOR. ALTHOUGH  
THE  
INVESTIGATION INTO THIS MATTER IS CONTINUING, AT THIS TIME THE  
FIRM HAS NO REASON TO BELIEVE THE ACTIVITY WAS MORE  
WIDESPREAD  
THAN THIS ONE INSTANCE. INITIATED BY A LETTER FROM THE EXECUTOR  
OF THE [CUSTOMER], AN INVESTIGATION INTO THE ACTIVITY WITHIN  
THE [CUSTOMER] ACCOUNT DISCLOSED THAT SEVERAL TRANSACTIONS  
OCCURRED  
IN THE [CUSTOMER] ACCOUNT DURING LATE 1985 AND EARLY 1986. SINCE  
[CUSTOMER] DEATH IN JANUARY, 1986, THE FIRM BELIEVES THAT  
SOME OF THESE TRANSACTIONS MAY HAVE BEEN UNAUTHORIZED.  
ALTHOUGH  
THE FIRM'S RECORDS INDICATE THAT CERTAIN SECURITIES WERE  
DELIVERED BY MR. WAGNER, THEY FOUND THAT 15,000 MIAMI FLORIDA  
CONVENTION CENTER 8.75% BONDS DUE 1/1/15, WORTH APPROXIMATELY  
\$16,000 WERE NEVER DELIVERED TO [CUSTOMER] OR HIS ESTATE. THE  
FIRM STATES THAT THEY HAVE NOT RECEIVED A SATISFACTORY  
EXPLANATION FROM MR. WAGNER, BUT NOTE THAT BOTH SECURITIES  
AND  
INTEREST COUPON PAYMENTS HAVE BEEN RETURNED TO THEM FOR  
DEPOSIT  
TO THE [CUSTOMER] ACCOUNT AND HAVE\*SEE FAQ #1\*

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** J.B. HANAUER & CO.

**Allegations:** CUSTOMER COMPLAINT ([CUSTOMER])  
ALLEGING UNAUTHORIZED TRADE AND THAT CERTAIN BONDS WERE  
MISSING  
VALUED AT APPROXIMATELY \$16,000.

**Product Type:****Alleged Damages:** \$16,000.00**Customer Complaint Information****Date Complaint Received:** 05/13/1987**Complaint Pending?** No**Status:** Settled**Status Date:****Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE BEARER BONDS IN QUESTION WERE DEPOSITED TO THE CUSTOMER'S ACCOUNT.  
THE BONDS IN QUESTION WERE DELIVERED IN ERROR BY HANAUER TO ANOTHER ACCOUNT WHO RETURNED THE BONDS TO HANAUER.  
IN ORDER TO CLOSE THIS SITUATION I ACCEPTED A CENSURE FROM THE NASD FOR USING DISCRETION IN A CUSTOMERS ACCOUNT WITHOUT WRITTEN AUTHORIZATION.

**Disclosure 3 of 5****Reporting Source:** Regulator**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY HARRIS UPHAM & CO.**Allegations:** BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE; ACCOUNT RELATED-BREACH OF CONTRACT**Product Type:****Alleged Damages:** \$500,000.00**Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #93-00321**Date Notice/Process Served:** 06/24/1993**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 07/25/1994**Disposition Detail:** CASE IS CLOSED, SETTLED  
Not Provided**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY HARRIS UPHAM & CO.



**Allegations:** CLAIMANTS ALLEGED CLAIMS FOR BREACH OF FIDUCIARY DUTY, NEGLIGENCE, VIOLATIONS OF FLORIDA & FEDERAL SEC LAWS, FRAUD, NEGLIGENT SUPERVISION & BREACH OF CONTRACT IN CONNECTION WITH INVESTMENTS IN LIMITED PARTNERSHIPS. CLAIMANTS DID NOT SPECIFY THE AMOUNT OF DAMAGES SOUGHT.

**Product Type:**

**Alleged Damages:** \$500,000.00

### 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 ASSOCIATION OF SECURITIES DEALERS, INC.; 93-00321

**Date Notice/Process Served:** 06/24/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/25/1994

**Monetary Compensation Amount:** \$387,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** THE CLAIMS WERE SETTLED \$387,000 WITH NO ADMISSION OF LIABILITY. CLAIMANTS WILL ASSIGN THEIR LIMITED PARTNERSHIP UNITS TO SMITH BARNEY. MR. WAGNER DID NOT CONTRIBUTE TO THE SETTLEMENT. OPTIONS & COMMODITIES NOT INVOLVED. CONTACT: [BROKER DEALER CONTACT PERSON]. PHONE:(212)464-8006.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY HARRIS UPHAM & CO.

**Allegations:** CLAIMANTS ALLEGED CLAIMS FOR BREACH OF FIDUCIARY DUTY, NEGLIGENCE, VIOLATIONS OF FLORIDA AND FEDERAL SEC. LAWS, NEGLIGENT SUPERVISION AND BREACH OF CONTRACT IN CONNECTION WITH INVESTMENTS IN LIMITED PARTNERSHIPS. CLAIMANTS DID NOT SPECIFY DAMAGES SOUGHT.

**Product Type:**



**Alleged Damages:** \$500,000.00

### 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 Association of Securities Dealers, Inc.; 93-00321

**Date Notice/Process Served:** 06/24/1993

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/25/1994

**Monetary Compensation Amount:** \$387,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE CLAIMS WERE SETTLED FOR \$387,000 WITH NO ADMISSION OF LIABILITY. CLAIMANTS WILL ASSIGN THEIR LIMITED PARTNERSHIP UNITS TO SMITH BARNEY. I DID NOT CONTRIBUTE TO THE SETTLEMENT.  
Not Provided

### Disclosure 4 of 5

**Reporting Source:** Individual

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

**Allegations:** THE PRESIDENT OF INTERNATIONAL PALACE OF SPORTS AND HOMER SHOOP SCHOLARSHIP D COMMUNITY FUND VOICED A COMPLAINT CONCERNING A \$386,000.00 PURCHASE OF KEYPORT LIFE ANNUITY. THE INSURED WAS ROBERTA SHOOP TORRENCE.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 10/01/1992

**Complaint Pending?** No

**Status:** Settled





**Status Date:**

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

IN ORDER TO SETTLE THIS MATTER AMICABLY, IT WAS  
AGREED BY THE FIRM AND KEYPORT INS. CO TO CANCEL THE POLICY AND  
RETURN THE PRINCIPAL PLUS INTEREST AS WELL AS CHARGES  
INCURRED.  
Not Provided

**Disclosure 5 of 5**

**Reporting Source:**

Firm

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

**Allegations:**

CLAIMANT ALLEGED CHURNING, UNAUTHORIZED  
TRADING, UNSUITABILITY AND MISREPRESENTATION REGARDING  
UNSPECIFIED LIMITED PARTNERSHIP AND BOND TRANSACTIONS.  
CLAIMANT  
ALLEGED DAMAGES OF \$308,043.97

**Product Type:**

**Alleged Damages:**

\$308,043.97

**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.:**

NEW YORK STOCK EXCHANGE; 1994-004002

**Date Notice/Process Served:**

06/30/1994

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

08/01/1994

**Monetary Compensation  
Amount:**

\$25,000.00

**Individual Contribution  
Amount:**

\$0.00

**Firm Statement**

SETTLED IN THE AMOUNT OF \$25,000.00  
CONTACT:[BROKER DEALER CONTACT PERSON]. PHONE:(212)816-7598.



**Reporting Source:** Individual

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

**Allegations:** CLAIMANT ALLEGED CHURNING, UNAUTHORIZED TRADING, SUITABILITY AND MISREPRESENTATION REGARDING UNSPECIFIED LIMITED PARTNERSHIP AND BIND TRANSACTING. CLAIMANT ALLEGED DAMAGES OF \$308,043.97.

**Product Type:**

**Alleged Damages:** \$308,043.97

### **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.:** New York Stock Exchange; 1994-004002

**Date Notice/Process Served:** 06/30/1994

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/01/1994

**Monetary Compensation Amount:** \$25,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SETTLED IN THE AMOUNT OF \$25,000. I DID NOT CONTRIBUTE TO THE SETTLEMENT.  
Not Provided



## End of Report

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