IAPD Report

ROBERT D WILLIAMS

CRD# 826960

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7
Disclosure Information	8

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

ROBERT D WILLIAMS (CRD# 826960)

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 **05/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/16/2023
IA	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	03/16/2023

QUALIFICATIONS

This representative is currently registered in **9** SRO(s) and **16** 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	OPPENHEIMER & CO. INC.	249	LEAWOOD, KS	01/21/2004 - 03/17/2023
B	OPPENHEIMER & CO. INC.	249	LEAWOOD, KS	04/15/2003 - 03/17/2023
IA	RBC DAIN RAUSCHER INC.	31194	LEAWOOD, KS	12/01/1999 - 04/25/2003

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	3
Termination	1

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 **16** jurisdiction(s) and 9 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RAYMOND JAMES & ASSOCIATES, INC.**

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

Firm ID#: 705

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	03/16/2023
B	FINRA	General Securities Sales Supervisor	Approved	03/16/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	10/31/2025
B	MEMX LLC	General Securities Representative	Approved	10/31/2025
B	MEMX LLC	General Securities Sales Supervisor	Approved	10/31/2025
B	NYSE American LLC	General Securities Representative	Approved	03/16/2023
B	NYSE American LLC	General Securities Sales Supervisor	Approved	03/16/2023
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/31/2025
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	10/31/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	10/31/2025
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	10/31/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/16/2023
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	03/16/2023

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq Stock Market	General Securities Representative	Approved	03/16/2023
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	03/16/2023
B	New York Stock Exchange	General Securities Representative	Approved	03/16/2023
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	03/16/2023
B	Arizona	Agent	Approved	03/16/2023
B	California	Agent	Approved	03/16/2023
B	Colorado	Agent	Approved	03/16/2023
B	Florida	Agent	Approved	03/16/2023
B	Indiana	Agent	Approved	03/16/2023
B	Iowa	Agent	Approved	03/16/2023
B	Kansas	Agent	Approved	03/16/2023
IA	Kansas	Investment Adviser Representative	Approved	03/16/2023
B	Massachusetts	Agent	Approved	11/07/2023
B	Michigan	Agent	Approved	05/07/2026
B	Missouri	Agent	Approved	03/16/2023
B	Nevada	Agent	Approved	03/16/2023
B	Ohio	Agent	Approved	03/16/2023
B	Oklahoma	Agent	Approved	03/21/2023
B	Tennessee	Agent	Approved	03/16/2023

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	03/16/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	03/20/2023
B	Wyoming	Agent	Approved	03/16/2023

Branch Office Locations

RAYMOND JAMES & ASSOCIATES, INC.
11551 Ash Street
Suite 250
Leawood, KS 66211

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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/07/1984

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	04/19/2006
B	AMEX Put and Call Exam (PC)	PC	06/28/1977
B	General Securities Representative Examination (S7)	Series 7	08/21/1976

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/28/1980

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/21/2004 - 03/17/2023	OPPENHEIMER & CO. INC.	CRD# 249	LEAWOOD, KS
B	04/15/2003 - 03/17/2023	OPPENHEIMER & CO. INC.	CRD# 249	LEAWOOD, KS
IA	12/01/1999 - 04/25/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	LEAWOOD, KS
B	03/02/1998 - 04/25/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	06/27/1996 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	01/29/1981 - 06/28/1996	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	05/19/1978 - 02/28/1981	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	09/01/1976 - 05/19/1978	H.O. PEET & CO., INC.	CRD# 379	

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
03/2023 - Present	RAYMOND JAMES & ASSOCIATES, INC.	Registered Representative	Y	Leawood, KS, United States
04/2003 - 03/2023	FAHNESTOCK & CO., INC.	REGISTERED REPRESENTATIVE	Y	KANSAS CITY, MO, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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

DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	12/28/2005
Docket/Case Number:	E042003033303
Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER INC.
Product Type:	No Product
Allegations:	NASD CONDUCT RULES 2110 AND 3010-RESPONDENT FAILED TO EXECUTE HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES BECAUSE HE DID NOT REQUIRE A REPRESENTATIVE TO FOLLOW THE STEPS SET FORTH IN THE PROCEDURES
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	12/28/2005
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $10,000. FINES PAID.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/28/2005
Docket/Case Number:	EO420030333-03
Employing firm when activity occurred which led to the regulatory action:	RBC DAIN RAUSCHER INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD CONDUCT RULES 2110 AND 3010-RESPONDENT FAILED TO EXECUTE HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES BECAUSE HE DID NOT REQUIRE A REPRESENTATIVE TO FOLLOW THE STEPS SET FORTH IN THE PROCEDURES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/28/2005
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DISCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $10,000.

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:	RBC DAIN RAUSCHER
Allegations:	CLIENT REQUESTS REIMBURSEMENT OF FEES-IN-LIEU OF COMMISSIONS, MARGIN INTEREST AND REIMBURSEMENT OF LOSSES RELATED TO HIS OCTOBER 2001 INVESTMENT IN FIDELITY ADVISOR FUNDS. CLIENT CLAIMS BOB WILLIAMS MADE TRADES AND USED MARGIN WITHOUT HIS AUTHORIZATION. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF $5000.
Product Type:	Other
Other Product Type(s):	MANAGED/WRAP ACCOUNTS; MUTUAL FUNDS
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	12/17/2003
Complaint Pending?	No
Status:	Settled
Status Date:	02/16/2004
Settlement Amount:	$8,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC DAIN RAUSCHER
Allegations:	CLIENT REQUESTS REIMBURSEMENT OF FEES-IN-LIEU OF COMMISSIONS, MARGIN INTEREST AND REIMBURSEMENT OF LOSSES RELATED TO HIS OCTOBER 2001 INVESTMENT IN FIDELITY ADVISOR FUNDS. CLIENT CLAIMS BOB WILLIAMS MADE TRADES AND USED MARGIN WITHOUT HIS AUTHORIZATION. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF $5000.
Product Type:	Other
Other Product Type(s):	MANAGED/WRAP ACCOUNTS; MUTUAL FUNDS
Alleged Damages:	

Customer Complaint Information

Date Complaint Received: 12/17/2003

Complaint Pending? No

Status: Settled

Status Date: 02/16/2004

Settlement Amount: $8,500.00

Individual Contribution Amount: $0.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER

Allegations: CLIENT REQUESTS REIMBURSEMENT OF LOSSES STEMMING FROM MR. WILLIAMS UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY OTC

Alleged Damages: $20,000.00

Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 10/26/2004

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER

Allegations: CLIENT REQUESTS REIMBURSEMENT OF LOSSES STEMMING FROM MR. WILLIAMS UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Equity - OTC

Alleged Damages: $20,000.00

Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 10/26/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY, INC.

Allegations: EXECUTIONS-FAILURE TO EXECUTE; BRCH OF
FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: $12,263.37

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02117

Date Notice/Process Served: 08/30/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/27/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
ACTUAL/COMPENSATORY DAMAGES, RELIEF
REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY, INC.

Allegations: ALLEGED FAILURE TO EXECUTE;BREACH OF
FIDUCIARY DUTY;BREACH OF CONTRACT & NEGLIGENCE DAMAGES SOUGHT:
$12,263.37.

Product Type:

Alleged Damages: $12,263.37

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.; 94-02117

Date Notice/Process Served: 08/30/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/27/1996

Monetary Compensation Amount: $12,000.00

Individual Contribution Amount:

Firm Statement THE ARBITRATION WAS DISMISSED. BECAUSE OF THE
ANTICIPATED COST AND UNCERTAINTY OF ARBITRATION, [CUSTOMER]
WAS PAID $12,000 FOR RELEASE OF ALL CLAIMS.
APPLICANT WAS NAMED IN HIS CAPACITY AS BRANCH
MANAGER. THIS WAS NOT AGAINST HIM AS AN INDIVIDUAL INVESTMENT
EXECUTIVE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PIPER JAFFRAY, INC.

Allegations: ALLEGED FAILURE TO EXECUTE, BREACH OF
FIDUCIARY DUTY, BREACH OF CONTRACT AND NEGLIGENCE RESULTING
IN
DAMAGES OF $12,263.37.

Product Type:

Alleged Damages: $12,263.37

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.; 94-02117
Date Notice/Process Served:	08/30/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/27/1996
Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	
Broker Statement	THE ARBITRATION WAS DISMISSED BECAUSE OF THE ANTICIPATED COST AND UNCERTAINTY OF ARBITRATION. CUSTOMER DIST NO 5 WAS PAID $12,000.00 BY PIPER JAFFRAY, MR. WILLIAM`S FORMER EMPLOYER, FOR RELEASE OF ALL CLAIMS. MR. WILLIAMS WAS NOT THE INVESTMENT EXECUTIVE FOR THIS ACCOUNT BUT WAS NAMED IN THIS ARBITRATION IN HIS CAPACITY AS BRANCH MANAGER.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	RBC DAIN RAUSCHER
Termination Type:	Discharged
Termination Date:	04/25/2003
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS AS BRANCH MANAGER
Product Type:	No Product
Other Product Types:	

Reporting Source:	Individual
Firm Name:	RBC DAIN RAUSCHER
Termination Type:	Discharged
Termination Date:	04/25/2003
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS AS BRANCH MANAGER
Product Type:	No Product
Other Product Types:	

End of Report

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