



IAPD Report

ROBERT EARL FAULKNER

CRD# 849152

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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

ROBERT EARL FAULKNER (CRD# 849152)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HUNTLEIGH SECURITIES CORPORATION	CRD# 7456	04/07/2000
IA	HUNTLEIGH ADVISORS, INC.	CRD# 113412	04/19/2001

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	07/31/1993 - 04/18/2000
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	04/17/1984 - 07/31/1993
B	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY	02/24/1978 - 04/27/1984

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	2
Customer Dispute	1
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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HUNTLEIGH SECURITIES CORPORATION**
Main Address: 7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105
Firm ID#: 7456

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	04/07/2000
B Arizona	Agent	Approved	05/15/2006
B Arkansas	Agent	Approved	04/07/2000
B California	Agent	Approved	04/07/2000
B Florida	Agent	Restricted Approval	10/24/2000
B Georgia	Agent	Approved	04/26/2000
B Illinois	Agent	Approved	08/25/2006
B Kansas	Agent	Approved	05/02/2000
B Maryland	Agent	Approved	06/22/2017
B Michigan	Agent	Approved	12/19/2012
B Mississippi	Agent	Approved	11/02/2012
B Missouri	Agent	Approved	04/27/2000
B New York	Agent	Approved	12/22/2022



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	04/24/2026
B Texas	Agent	Approved	03/13/2003
B Virginia	Agent	Approved	06/04/2020

Branch Office Locations

7800 FORSYTH BLVD.
5TH FLOOR
ST. LOUIS, MO 63105

Employment 2 of 2

Firm Name: **HUNTLEIGH ADVISORS, INC.**
 Main Address: 7800 FORSYTH BLVD.
 5TH FLOOR
 ST. LOUIS, MO 63105
 Firm ID#: 113412

Regulator	Registration	Status	Date
IA Arkansas	Investment Adviser Representative	Approved	04/01/2019
IA Florida	Investment Adviser Representative	Approved	12/07/2024
IA Kansas	Investment Adviser Representative	Approved	10/22/2025
IA Missouri	Investment Adviser Representative	Approved	04/19/2001
IA New York	Investment Adviser Representative	Approved	12/22/2022

Branch Office Locations

HUNTLEIGH ADVISORS, INC.
7800 FORSYTH BLVD
5TH FLOOR
ST. LOUIS, MO 63105



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




Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	12/12/1981
 General Securities Representative Examination (S7)	Series 7	02/18/1978

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	09/23/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/16/1980

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	07/31/1993 - 04/18/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	04/17/1984 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	02/24/1978 - 04/27/1984	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	03/01/1978 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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
04/2000 - Present	HUNTLEIGH SECURITIES CORPORATION	REPRESENTATIVE	Y	ST. LOUIS, 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	2
Customer Dispute	1
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	07/15/2004
Docket/Case Number:	0400086
Employing firm when activity occurred which led to the regulatory action:	HUNTLEIGH SECURITIES CORPORATION
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENTS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE ILLINOIS SECURITIES LAW.
Current Status:	Final
Resolution:	Consent



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: 08/23/2004

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: CONSENT ORDER OF WITHDRAWAL

Sanction Details: RESPONDENT WILL WITHDRAW HIS SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR A PERIOD OF TWO YEARS. RESPONDENT WILL ALSO PAY FOR THE COST OF INVESTIGATION.

Regulator Statement NOTICE OF HEARING ISSUED, HEARING SCHEDULED FOR AUGUST 11, 2004. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324. HEARING SCHEDULED ON THIS MATTER IS HEREBY DISMISSED.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 06/24/2004

Docket/Case Number: 0400086

Employing firm when activity occurred which led to the regulatory action: SALOMON SMITH BARNEY

Product Type: Options

Other Product Type(s):

Allegations: STATE OF ILLINOIS IS REQUESTING A HEARING REGARDING THE AMERICAN STOCK EXCHANGE DISCIPLINARY PANEL DECISION IN AMEX CASE NO. 01-02

Current Status: Final

Resolution: Consent

Resolution Date: 08/23/2004

Sanctions Ordered: Monetary/Fine \$500.00

Other Sanctions Ordered: CONSENT ORDER OF WITHDRAWAL

Sanction Details: MR. FAULKNER VOLUNTARILY WITHDREW HIS ILLINOIS REGISTRATION AND WILL NOT REAPPLY FOR TWO YEARS. THE FORMAL HEARING ON THE MATTER WAS DISMISSED WITHOUT FURTHER PROCEEDINGS. THE \$500 FINE WAS TO COVER THE COST OF THE INVESTIGATION.

Disclosure 2 of 2

Reporting Source: Regulator



Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: THE AMERICAN STOCK EXCHANGE IS ALSO SEEKING HEIGHTENED SUPERVISION FOR ROBERT EARL FAULKNER.

Date Initiated: 02/27/2003

Docket/Case Number: 01-02

Employing firm when activity occurred which led to the regulatory action: SALOMON SMITH BARNEY

Product Type: Options

Other Product Type(s):

Allegations: ROBERT FAULKNER VIOLATED EXCHANGE RULE 345(A)(4) IN THAT HE FAILED TO REPORT A CUSTOMER COMPLAINT TO HIS EMPLOYER, AND CORRESPONDED WITH A CUSTOMER FROM HIS HOME ADDRESS IN CONTRAVENTION OF THE POLICIES OF HIS EMPLOYER; VIOLATED EXCHANGE RULE 924(A) IN THAT HE EFFECTED TWO UNAUTHORIZED TRADES IN A CUSTOMER ACCOUNT IN MAY 1995; VIOLATED EXCHANGE RULE 341, COMMENTARY .08(5)(2) IN THAT HE GUARANTEED A CUSTOMER AGAINST LOSSES; AND VIOLATED EXCHANGE RULE 341, COMMENTARY .08(5)(9) IN THAT HE FAILED TO INFORM THE EXCHANGE OR HIS EMPLOYER THAT HE BECAME INVOLVED IN LITIGATION AND AN ADMINISTRATIVE PROCEEDING.

Current Status: Final

Resolution: Decision

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: 12/15/2003

Sanctions Ordered: Suspension

Other Sanctions Ordered: FOR FAILING TO REPORT A CUSTOMER COMPLAINT TO HIS FIRM AND CORRESPONDING WITH A CUSTOMER FROM HIS HOME ADDRESS, EFFECTING UNAUTHORIZED TRADES, GUARANTEING A CUSTOMER AGAINST LOSS, AND FAILING TO INFORM THE EXCHANGE OR HIS FIRM THAT HE HAD BECOME INVOLVED IN LITIGATION AND AN ARBITRATION PROCEEDING, FAULKNER WAS SUSPENDED IN ALL CAPACITIES FOR 90 CALENDAR DAYS AND REQUIRED TO SUBMIT TO A NINE-MONTH PERIOD OF HEIGHTENED SUPERVISION.

Sanction Details: FAULKNER'S SUSPENSION BEGINS ON JANUARY 31, 2004, AND RUNS THROUGH FRIDAY, APRIL 30, 2004. THE PERIOD OF HEIGHTENED SUPERVISION BEGINS UPON HIS RE-ENTRANCE TO THE INDUSTRY AFTER COMPLETING HIS 90 DAY SUSPENSION.

Regulator Statement PLEASE CONTACT THE ERIC BROWN, SENIOR ATTORNEY IN THE ENFORCEMENT DEPARTMENT OF THE AMERICAN STOCK EXCHANGE, FOR FURTHER DETAILS.

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Reporting Source: Individual

Regulatory Action Initiated By: AMERICAN STOCK EXCHANGE

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: THE AMEX IS ALSO SEEKING A CENSURE AND HEIGHTENED SUPERVISION FOR MR. FAULKNER.

Date Initiated: 02/27/2003

Docket/Case Number: 01-02

Employing firm when activity occurred which led to the regulatory action: SALOMON SMITH BARNEY

Product Type: Options

Other Product Type(s):

Allegations: MR. FAULKNER IS CHARGED WITH VIOLATIONS OF EXCHANGE RULES BY EFFECTING TWO UNAUTHORIZED TRANSACTIONS, GUARANTEEING A CUSTOMER AGAINST LOSSES, AND FAILING TO REPORT TO HIS EMPLOYER A CUSTOMER COMPLAINT AND HIS INVOLVEMENT IN LITIGATION

Current Status: Final

Resolution: Decision

Resolution Date: 01/04/2004

Sanctions Ordered: Suspension

Other Sanctions Ordered: HEIGHTENED SUPERVISION FOR 9 MONTHS

Sanction Details: 90-DAY SUSPENSION, BEGINNING 1/31/04, ENDING 4/30/04

Broker Statement A TRADE ERROR WAS MADE IN A CUSTOMER'S ACCOUNT, RESULTING IN A LOSS. WHEN THE CUSTOMER WAS INFORMED THAT THE RR WOULD BE CHARGED WITH THE LOSS, HE AND THE RR AGREED TO TRY TO RECOVER THE LOSS BY TRADING THE ACCOUNT - BUT THE ACCOUNT LOST MORE MONEY AND THE CUSTOMER SUED THE FIRM. AFTER SETTLEMENT WITH THE CUSTOMER, THE CASE EVOLVED INTO A REGULATORY ACTION.



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: CLAEMANT ALLEGES THAT ON 5/12/95 AND 5/19/95, FAULKNER ENGAGED IN AUTHORIZED TRADING WITH RESPECT TO MCDONNELL DOUGLAS CALLS. ADDITIONAL ALLEGATIONS INCLUDE FRAUD, BREACH OF FIDUCIARY DUTY, MISPRESENTATION, VIOLATION OF SEC AND NASD RULES AND CONVERSION, AS WELL AS FAILURE TO SUPERVISE.

Product Type: Options

Alleged Damages: \$131,933.00

Customer Complaint Information

Date Complaint Received: 02/28/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/28/2000

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD, CASE NUMBER : 00-00567

Date Notice/Process Served: 02/28/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/06/2001

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$60,000.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.



Allegations: CLAIMANT ALLEGES THAT ON 5/12/95 AND 5/19/95, FAULKNER ENGAGED IN UNAUTHORIZED TRADING WITH RESPECT TO MCDONNELL DOUGLAS CALLS. ADDITIONAL ALLEGATIONS INCLUDE FRAUD, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, VIOLATION OF SEC AND NASD RULES AND CONVERSION, AS WELL AS FAILURE TO SUPERVISE.

Product Type: Options

Alleged Damages: \$131,933.00

Customer Complaint Information

Date Complaint Received: 02/28/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/06/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 00-00567

Date Notice/Process Served: 03/06/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/06/2001

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$60,000.00



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:	Individual
Firm Name:	SALOMON SMITH BARNEY
Termination Type:	Discharged
Termination Date:	03/28/2000
Allegations:	FAILED TO REPORT CUSTOMER COMPLAINT THAT RESULTED IN ARBITRATION.
Product Type:	Options
Other Product Types:	
Broker Statement	I MADE AN ORDER ENTRY MISTAKE IN MAY 1995 THAT RESULTED IN A DUPED TRADE. CLIENT DID NOT WANT THE TRADE BUT SAID THAT WE COULD WORK IT OUT BY TRADING OVER THE NEXT 4 YEARS. A LOSS OF \$100,000 RESULTED. CLIENT FILED ARBITRATION TO RECOVER LOSS. I FAILED TO REPORT INITIAL AND SUBSEQUENT COMPLAINT.



End of Report

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