

BrokerCheck Report

ROBERT DAVID MEYERS

CRD# 1409245

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. [For more information about FINRA, visit www.finra.org.](http://www.finra.org)

ROBERT D. MEYERS

CRD# 1409245

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

WELLS FARGO CLEARING SERVICES, LLC
 CRD# 19616
 COLUMBUS, OH
 07/2007 - 11/2017

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
 CRD# 7691
 UPPER ARLINGTON, OH
 03/2006 - 07/2007

ADVEST, INC.
 CRD# 10
 HARTFORD, CT
 04/1990 - 03/2006

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	8
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	11/02/2017
General Securities Representative Examination	Series 7	10/19/1985

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	05/25/1993
Uniform Securities Agent State Law Examination	Series 63	10/31/1985

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2007 - 11/2017	WELLS FARGO CLEARING SERVICES, LLC	19616	COLUMBUS, OH
03/2006 - 07/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	UPPER ARLINGTON, OH
04/1990 - 03/2006	ADVEST, INC.	10	HARTFORD, CT
01/1988 - 04/1990	BLUNT ELLIS & LOEWI INCORPORATED	7580	
09/1987 - 12/1987	SHEARSON LEHMAN BROTHERS INC.	7506	
10/1985 - 10/1987	PRUDENTIAL-BACHE SECURITIES INC.	7471	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
09/2017 - Present	MEYERS WEALTH MANAGEMENT, LLC	Columbus, OH
11/2016 - 10/2017	WELLS FARGO CLEARING SERVICES, LLC	COLUMBUS, OH
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	COLUMBUS, OH

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

HIGHLAND SPRINGS, CHARLESTON, SC, FARM LAND, PARTNER, NO TIME INVOLVED, PASSIVE INVESTOR ONLY, START 2004.

MEYFORD LLC - INVESTMENT RELATED - COLUMBUS, OH - RENTAL UNITS FOR OSU STUDENTS. 40% OWNER. START: 1/1/2013. 0 HRS PER MONTH. DUTIES: NONE. -

MANA KIAWAH LLC; INVESTMENT RELATED; KIAWAH, SC; LLC FOR REAL ESTATE; 51% OWNERSHIP; START DATE = 06/2011; NO TIME DEVOTED PER MONTH.

Registration and Employment History



Other Business Activities, continued

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR DAUGHTER'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.

TRUSTEE FOR SON'S TRUST; INV RELATED; COLUMBUS, OH; START DATE 12/15/2000; 0 HRS PER MONTH.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	8	N/A



Termination	N/A	2	N/A
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Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	SUITABILITY; BRCH OF FIDUCIARY DT; MISREPRESENTATION; ACCOUNT RELATED- FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	\$40,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #93-02246
Date Notice/Process Served:	06/23/1993
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	11/05/1993
Disposition Detail:	AWARD AGAINST PARTY Not Provided



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENTS ALLEGE UNSUITABILITY, MISREPRESENTATION & FRAUD IN CONNECTION WITH THE 1987 PURCHASE OF \$50,000 PB ENERGY LIMITED PARTNERSHIP. ALLEGED DAMAGES IN EXCESS OF \$35,000 ARE CLAIMED.

Product Type:

Alleged Damages: \$40,000.00

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 Assoc. of Securities Dealers; 93-02246

Date Notice/Process Served: 06/23/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/05/1993

Firm Statement Not Provided
Not Provided

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEGED UNSUITABILITY MISREPRESENTATION, & FRAUD IN CONNECTION WITH THE 1987 PURCHASE OF \$50,000.00 PB ENERGY LIMITED PARTNERSHIP. ALLEGED DAMAGES IN EXCESS OF \$35,000.00 ARE CLAIMED.

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

Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 06/23/1993

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/23/1993

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 93-02246

Date Notice/Process Served: 06/23/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/05/1993

Monetary Compensation Amount: \$19,878.00

Individual Contribution Amount: \$0.00

Broker Statement AWARD MADE BY PRUDENTIAL CUSTOMER PURCHASED THE ENERGY INCOME ON THE BASIS THAT OIL PRICES WOULD GO UP. CUSTOMER BOURGH THIS INVESTMENT AS AN INFTATION HEDGE. CUSTOMER WAS VERY



SOPHISTICATED INVESTOR AND KNEW THE RISK. BASED ON THE CLIENTS INCOME, NET WORTH AND LIQUID ASSETS THE INVESTMENT WAS SUITABLE. A FEW MONTHS AFTER THE PURCHASE I LEFT THE EMPLOYMENT OF PRUBACHE. CUSTOMER DECIDED TO KEEP HIS BUSINESS WITH PRU BACHE. I HAVE NOT SPOKE TO HIM IN 7 YEARS. PRUBACHE, THE FORMER BRANCH MGR. AND MYSELF ARE ALL RESPONDENTS.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGES THAT THE TRADING IN THE ACCOUNT WAS UNSUITABLE AND THAT SOME TRADES WERE UNAUTHORIZED SEEKING DAMAGES OF \$131,700.00

Product Type:

Alleged Damages: \$131,700.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/28/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: 97-01363

Date Notice/Process Served: 06/18/1996

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/29/1998

Monetary Compensation Amount: \$17,500.00



Individual Contribution Amount: \$11,625.50

Broker Statement SETTLED FOR \$17,500.00 BOB MYERS TO CONTRIBUTE \$11,625.50 TO SETTLEMENT LEGAL COSTS WERE GOING TO BE MORE THAN SETTLEMENT CUSTOMER PURCHASED STOCKS ON A UNSOLICITED BASIS, UNSOLICITED LETTERS SIGNED BY CUSTOMER STATING TRADES WERE UNSOLICITED; THE TRADES WERE SUITABLE BECAUSE THEY WERE UNSOLICITED. CLIENT MADE MONEY ON OTHER UNSOLICITED TRADES. THE LEGAL COSTS TO ARBITRATION WERE GREATER THAN SETTLEMENT

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE, INC.

Allegations: CLIENT ALLEGED FA MADE UNAUTHORIZED TRADES IN TREASURY STRIPS RESULTING IN DAMAGES OF \$15,000.00.

Product Type:

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 07/01/1987

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/14/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 91-00260

Date Notice/Process Served: 01/05/1991

Arbitration Pending? No



Disposition: Settled
Disposition Date: 10/14/1991
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount:
Firm Statement SETTLED \$10,000.00.
 Not Provided

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE, INC.

Allegations: ALLEGED UNAUTHORIZED TRADING. (U.S. TREASURY STRIPS). SEEKING 3,400.00. [CUSTOMER] BOUGHT U.S. TREASURY STRIPS AND INTEREST RATES WENT UP AND HE LOST MONEY. HE SOLD THE BONDS BEFORE MATURITY.

Product Type:

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 07/01/1987

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/14/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 91-00260

Date Notice/Process Served: 01/05/1991

Arbitration Pending? No



Disposition: Settled
Disposition Date: 10/14/1991
Monetary Compensation Amount: \$10,000.00
Individual Contribution Amount:
Broker Statement COMPLAINT WITHDRAWN
PLEASE PLACE THIS INTO A "Z" STATUS ALL QUESTIONS REGARDING THIS OCCURRENCE SHOULD NOW BE ANSWERED AS "NO" NO QUESTION CURRENTLY APPLIES.

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE
Allegations: UNSUITABILITY ALLEGED WITH RESPECT TO SALE OF LIMITED PARTNERSHIPS AND DAMAGES TOTALLING \$98,000.
Product Type:
Alleged Damages: \$98,000.00

Customer Complaint Information

Date Complaint Received: 02/09/1988
Complaint Pending? No
Status: Settled
Status Date: 07/01/1992
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00
Firm Statement WITHOUT ADMITTING LIABILITY, CLAIM SETTLED FOR \$45,000.
Not Provided

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE
Allegations:	ORIGINALLY FILED AS ALLEGED UNSUITABILITY (US TREASURY STRIPS) ALLEGED \$15,000 IN LOSSES-LATER AMENDED TO ALLEGED UNSUITABILITY WITH RESPECT TO SALE OF LIMITED PARTNERSHIPS SEEKING \$98,000.00
Product Type:	
Alleged Damages:	\$98,000.00
Customer Complaint Information	
Date Complaint Received:	02/09/1988
Complaint Pending?	No
Status:	Settled
Status Date:	07/01/1992
Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED WITH FIRM (PRUDENTIAL BACHE) FOR 45,000.00. MEYERS DID NOT CONTRIBUTE TO, NOR WAS HE AWARE OF ANY SETTLEMENT. THIS WAS A PRU BACHE LIMITED PARTNERSHIP.

Disclosure 4 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE SECURITIES
Allegations:	Not Provided
Product Type:	
Alleged Damages:	
Customer Complaint Information	
Date Complaint Received:	07/01/1993
Complaint Pending?	No



Status: Settled
Status Date: 07/30/1993
Settlement Amount: \$54,386.00
Individual Contribution Amount: \$0.00
Firm Statement WITHOUT ADMITTING LIABILITY;CASE WAS SETTLED FOR \$54,386.00.
 Not Provided

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES

Allegations: CUSTOMER ALLEGED IT WAS NOT PROPERLY ADVISED OF THE DEFERRED SALES CHARGE FEATURE ON SOME LARGE MUTUAL FUND INVESTMENTS. DAMAGES ARE UNSPECIFIED BUT WELL OVER \$10,000.00. THE CUSTOMER (CFO OF CITY BOUGHT A BOND FUND). THE VALUE OF THE SHARES DROPPED AND WAS LOOKING FOR A REASON TO COVER HIS ACTIONS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/01/1993
Complaint Pending? No
Status: Settled
Status Date: 07/30/1993
Settlement Amount: \$54,386.00
Individual Contribution Amount: \$0.00

Broker Statement WITHOUT ADMITTING LIABILITY, CASE WAS SETTLED WITH FIRM FOR \$54,386.00. MEYERS DID NOT CONTRIBUTE TO SETTLEMENT. PLEASE NOTE SETTLEMENT HAS WITH PRUDENTIAL, NOT



W
MEYERS.
Not Provided



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source: Broker

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

Allegations: ALLEGED FAILURE TO FOLLOW INSTRUCTIONS

Product Type: Other

Other Product Type(s): MANAGED ACCOUNTS

Alleged Damages: \$1,000,000.00

Customer Complaint Information

Date Complaint Received: 08/15/2005

Complaint Pending? No

Status: Denied

Status Date: 09/28/2005

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement ACCOUNTS ACTUALLY SHOWED AN INCREASE OF \$436,724.07. CLIENT DEPOSITED \$4379851 AND WITHDREW 3654318. THE NEW HUSBAND THOUGHT THE ACCOUNT LOST MONEY. HE DID NOT REALIZE THAT THE NEW WIFE SPENT MONEY. THE CLAIM WAS FROZEN FROM NEW HUSBAND. IT WAS NOT HIS ACCOUNT.

Disclosure 2 of 3

Reporting Source: Broker

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



Allegations: ALLEGES LACK OF ADVICE
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$52,000.00

Customer Complaint Information

Date Complaint Received: 05/12/2004
Complaint Pending? No
Status: Denied
Status Date: 05/28/2004
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: ADVEST, INC.

Allegations:

Product Type:
Alleged Damages: \$62,000.00

Customer Complaint Information

Date Complaint Received: 11/24/1998
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:

Firm Statement @2/14/99, PARTIAL U5 REC'D FROM ADVEST INC. WITH YES TO 13B1,13B2 & RESPONSE TO 16A.

Reporting Source: Broker



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

Allegations: ALLEGED UNSUITABLE RECOMMENDATION

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$62,000.00

Customer Complaint Information

Date Complaint Received: 11/24/1998

Complaint Pending? No

Status: Withdrawn

Status Date: 02/16/2000

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm

Employer Name: Wells Fargo Clearing Services, LLC.

Termination Type: Discharged

Termination Date: 10/17/2017

Allegations: Mr. Meyers was discharged from Wells Fargo Clearing Services, LLC for recommending to clients that they participate in investments not offered through the Firm.

Product Type: Other: Private Equity

Reporting Source: Broker

Employer Name: Wells Fargo Clearing Services, LLC

Termination Type: Discharged

Termination Date: 10/17/2017

Allegations: Mr. Meyers was discharged from Wells Fargo Clearing Services, LLC for recommending to clients that they participate in investments not offered through the Firm.

Product Type: Other: Private Equity

Broker Statement Mr. Meyers states that Wells Fargo's management was aware of the transactions.

Disclosure 2 of 2

Reporting Source: Broker

Employer Name: LEHMAN BROTHERS INC.

Termination Type: Discharged

Termination Date: 11/13/1987

Allegations: ALLEGED THAT MEYERS REMOVED PROPRIATARY INFORMATION FROM HIS PRIOR EMPLOYER THIS OCCURED IN 1987



(COPIES OF INFORMATION)

Product Type:

No Product

Other Product Types:

Broker Statement

ROBERT MEYERS REMOVED COPIES OF CLIENTS STATEMENTS AND FILES. THIS DOES NOT RELATE TO QUESTION 14(J)2 WHICH SHOULD REMAIN A "NO" ANSWER. HE DID NOT REMOVE PROPERTY. HE WAS ALLEGED TO HAVE VIOLATED A REGULATION(14J1) BY COPYING PROPERTY.(NOT FRAUD OR WRONGFUL TAKING OF PROPERTY) SHEARSON WAS SUED FOR WRONGFUL TERMIANTION AND BREACH OF CONTRACT WITH MEYERS. SHEARSON LOST CASE AT TRIAL, WENT TO APPEALS AND SUPREME COURT. MEYERS WON AT APPEALS AND SUPREME COURT. SHEARSON PAID MEYERS FOR WRONGFUL TERMINATION AND BREACH OF CONTRACT.

End of Report



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