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Details for Request#: 14114698
Report: Snapshot - Individual
Requested By: SSC

<u>Parameter Name</u>	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	1251491
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: Florida

Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Composite Information

Full Legal Name BASHAW, JAMES EDWARD
 State of Residence TX

Active Employments

Current Employer WUNDERLICH SECURITIES, INC.(2543)

Firm Main Address 6000 POPLAR AVENUE
 SUITE 150
 MEMPHIS
 TN, UNITED STATES
 38119

Firm Mailing Address 6000 POPLAR AVENUE
 SUITE 150
 MEMPHIS
 TN, UNITED STATES
 38119

Business Telephone# 901-251-1330

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
509257			Yes	No	09/29/2014		Located At
Address 4400 POST OAK PKWY., SUITE 1400 HOUSTON, TX 77027 UNITED STATES							

Reportable Disclosures? Yes

Statutory Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Personal Information

Individual CRD# 1251491
 Other Names Known By BASHAW, JEB
 Year of Birth 1962

Registrations with Current Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	10/09/2014	TERMED	09/29/2014
AR	AG	10/09/2014	T_NOREG	
AR	AG	10/06/2014	TEMP_WD	09/29/2014

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Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Registrations with Current Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AZ	AG	10/09/2014	TERMED	09/29/2014
CA	AG	10/09/2014	TERMED	09/29/2014
CO	AG	10/09/2014	T_NOREG	
CO	AG	10/06/2014	TEMP_WD	09/29/2014
CT	AG	10/09/2014	TERMED	09/29/2014
DC	AG	10/09/2014	TERMED	09/29/2014
DE	AG	10/09/2014	T_NOREG	
DE	AG	09/30/2014	TEMP_WD	09/29/2014
FINRA	GS	09/30/2014	APPROVED	09/29/2014
FINRA	MP	09/30/2014	APPROVED	09/29/2014
FINRA	MR	09/30/2014	APPROVED	09/29/2014
FINRA	SU	09/30/2014	APPROVED	09/29/2014
FL	AG	10/09/2014	T_NOREG	
FL	AG	09/30/2014	TEMP_WD	09/29/2014
GA	AG	10/09/2014	TERMED	10/01/2014
HI	AG	10/09/2014	T_NOREG	
HI	AG	09/30/2014	TEMP_WD	09/29/2014
ID	AG	10/09/2014	TERMED	09/29/2014
IL	AG	10/09/2014	TERMED	10/06/2014
IN	AG	10/09/2014	T_NOREG	
KS	AG	10/09/2014	TERMED	09/29/2014
KY	AG	10/09/2014	TEMP_WD	09/29/2014
KY	AG	10/09/2014	T_NOREG	
LA	AG	10/09/2014	TERMED	09/29/2014
LA	RA	10/09/2014	TERMED	09/29/2014
MA	AG	10/09/2014	T_NOREG	
MA	AG	09/30/2014	TEMP_WD	09/29/2014
MD	AG	10/08/2014	PENDING	
MD	AG	10/08/2014	TEMP_WD	09/29/2014
ME	AG	10/09/2014	T_NOREG	
ME	AG	09/30/2014	TEMP_WD	09/29/2014
MI	AG	10/09/2014	T_NOREG	
MI	AG	10/06/2014	TEMP_WD	09/29/2014
MN	AG	10/09/2014	TERMED	09/29/2014
MO	AG	10/09/2014	TERMED	09/29/2014
MS	AG	10/09/2014	TERMED	09/29/2014
MT	AG	10/10/2014	T_NOREG	
MT	AG	09/30/2014	TEMP_WD	09/29/2014
NC	AG	10/09/2014	TERMED	09/29/2014
ND	AG	10/09/2014	TERMED	09/29/2014
NH	AG	10/09/2014	TERMED	09/29/2014
NJ	AG	10/09/2014	TERMED	09/29/2014
NM	AG	10/09/2014	TERMED	09/29/2014

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Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Registrations with Current Employer(s)

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NQX	GS	09/30/2014	APPROVED	09/29/2014
NQX	SU	09/30/2014	APPROVED	09/29/2014
NV	AG	10/09/2014	TERMED	09/29/2014
NY	AG	10/09/2014	TERMED	09/29/2014
OH	AG	10/09/2014	TERMED	09/29/2014
OK	AG	10/09/2014	T_NOREG	
OK	RA	10/09/2014	T_NOREG	
OR	AG	10/09/2014	TERMED	09/29/2014
PA	AG	10/09/2014	TERMED	09/29/2014
RI	AG	10/09/2014	TERMED	09/29/2014
SC	AG	10/09/2014	TERMED	09/29/2014
TN	AG	10/09/2014	T_NOREG	
TN	AG	10/03/2014	TEMP_WD	09/29/2014
TX	AG	09/29/2014	PENDING	
TX	RA	09/29/2014	PENDING	
UT	AG	10/09/2014	TERMED	09/29/2014
VA	AG	09/30/2014	TEMP_WD	09/29/2014
VA	AG	09/30/2014	PENDING	
VT	AG	10/09/2014	TERMED	09/29/2014
WA	AG	10/09/2014	TERMED	09/29/2014
WI	AG	10/09/2014	T_NOREG	
WI	AG	10/03/2014	TEMP_WD	09/29/2014
WV	AG	10/09/2014	TERMED	09/29/2014
WY	AG	10/09/2014	TERMED	09/29/2014

Registrations with Previous Employer(s)

From 11/09/2001 To 09/24/2014 LPL FINANCIAL LLC(6413)

Reason for Termination Discharged

Termination Comment REPRESENTATIVE DISCHARGED FOR (A) PARTICIPATING IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING WRITTEN DISCLOSURE TO AND OBTAINING WRITTEN APPROVAL FROM THE FIRM, (B) BORROWING FROM A CLIENT, AND (C) ENGAGING IN A BUSINESS TRANSACTION THAT CREATED A POTENTIAL CONFLICT OF INTEREST WITHOUT PROVIDING WRITTEN DISCLOSURE TO AND OBTAINING WRITTEN APPROVAL FROM THE FIRM.

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	10/03/2014	TERMED	08/25/2003
AR	AG	10/03/2014	TERMED	11/19/2001
AZ	AG	10/03/2014	TERMED	12/18/2001
CA	AG	10/03/2014	TERMED	03/27/2002
CO	AG	10/03/2014	TERMED	01/09/2002
CT	AG	10/03/2014	TERMED	06/07/2005
DC	AG	10/03/2014	TERMED	11/23/2001
DE	AG	10/03/2014	TERMED	02/05/2014
FINRA	GS	10/03/2014	TERMED	11/09/2001

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Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	MP	10/03/2014	TERMED	03/14/2006
FINRA	SU	10/03/2014	TERMED	11/09/2001
FL	AG	10/03/2014	TERMED	12/10/2001
GA	AG	10/03/2014	TERMED	11/09/2001
HI	AG	10/03/2014	TERMED	02/23/2005
ID	AG	10/03/2014	TERMED	01/23/2004
IL	AG	10/03/2014	TERMED	08/02/2002
IN	AG	10/03/2014	TERMED	02/06/2004
KS	AG	10/03/2014	TERMED	02/04/2006
KY	AG	10/03/2014	TERMED	07/26/2005
LA	AG	10/03/2014	TERMED	08/02/2002
LA	RA	10/03/2014	TERMED	01/29/2004
MA	AG	10/03/2014	TERMED	01/06/2005
MD	AG	10/03/2014	TERMED	08/05/2002
ME	AG	10/03/2014	TERMED	03/13/2007
ME	AG	12/31/2006	TERMED	01/26/2004
MI	AG	10/03/2014	TERMED	08/06/2002
MN	AG	10/03/2014	TERMED	06/18/2004
MO	AG	10/03/2014	TERMED	01/27/2006
MS	AG	10/03/2014	TERMED	07/19/2004
MT	AG	10/03/2014	REQUEST_TERM	08/02/2002
NC	AG	10/03/2014	TERMED	01/23/2004
ND	AG	10/03/2014	TERMED	05/01/2012
NH	AG	10/03/2014	TERMED	08/25/2003
NJ	AG	10/03/2014	TERMED	12/10/2004
NM	AG	10/03/2014	TERMED	11/27/2001
NQX	GS	06/17/2013	T_NOU5	07/12/2006
NQX	SU	06/17/2013	T_NOU5	07/12/2006
NV	AG	10/03/2014	TERMED	08/08/2002
NY	AG	10/03/2014	TERMED	12/05/2001
OH	AG	10/03/2014	TERMED	08/02/2002
OK	AG	10/03/2014	TERMED	08/05/2002
OK	RA	10/03/2014	TERMED	01/27/2004
OR	AG	10/03/2014	TERMED	06/23/2004
PA	AG	10/03/2014	TERMED	08/05/2002
RI	AG	10/03/2014	TERMED	06/07/2005
SC	AG	10/03/2014	TERMED	04/04/2002
TN	AG	10/03/2014	TERMED	07/24/2003
TX	AG	10/03/2014	TERMED	11/09/2001
TX	RA	10/03/2014	TERMED	11/20/2001
UT	AG	10/03/2014	TERMED	08/02/2002
VA	AG	10/03/2014	TERMED	11/09/2001
VT	AG	10/03/2014	TERMED	11/12/2003

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Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
WA	AG	10/03/2014	TERMED	05/07/2004
WI	AG	10/03/2014	TERMED	04/21/2011
WI	AG	12/31/2006	TERMED	06/18/2004
WV	AG	10/03/2014	TERMED	10/20/2009
WY	AG	10/03/2014	TERMED	02/22/2007

From 11/18/2001 To 07/09/2013 JAMES E.BASHAW & CO.(129320)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
TX	RA	07/10/2013	TERMED	06/17/2005

From 08/12/2000 To 11/09/2001 UBS PAINWEBBER INC.(8174)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AL	AG	11/16/2001	TERMED	11/13/2000
AR	AG	11/16/2001	TERMED	08/14/2000
ARCA	GS	11/16/2001	TERMED	08/23/2000
ARCA	SU	11/16/2001	TERMED	08/23/2000
AZ	AG	11/16/2001	TERMED	08/14/2000
CA	AG	11/16/2001	TERMED	08/14/2000
CBOE	GS	11/16/2001	TERMED	08/14/2000
CBOE	SU	11/16/2001	TERMED	08/14/2000
CO	AG	11/16/2001	TERMED	11/13/2000
FINRA	GS	11/16/2001	TERMED	08/14/2000
FINRA	SU	11/16/2001	TERMED	08/14/2000
FL	AG	11/16/2001	TERMED	02/16/2001
GA	AG	11/16/2001	TERMED	08/14/2000
HI	AG	11/16/2001	TERMED	04/27/2001
IL	AG	11/16/2001	TERMED	08/14/2000
IN	AG	11/16/2001	TERMED	11/13/2000
LA	AG	11/16/2001	TERMED	08/14/2000
MA	AG	11/16/2001	TERMED	11/13/2000
MD	AG	11/16/2001	TERMED	08/14/2000
MO	AG	11/16/2001	TERMED	08/06/2001
MT	AG	11/16/2001	TERMED	08/14/2000
NC	AG	11/16/2001	TERMED	11/16/2000
NE	AG	11/16/2001	TERMED	11/13/2000
NM	AG	11/16/2001	TERMED	08/14/2000
NV	AG	11/16/2001	TERMED	11/13/2000
NY	AG	11/16/2001	TERMED	08/14/2000
NYSE	BM	11/16/2001	TERMED	08/14/2000
NYSE	GS	11/16/2001	TERMED	08/14/2000

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Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NYSE-MKT	BM	11/16/2001	TERMED	08/14/2000
NYSE-MKT	GS	11/16/2001	TERMED	08/14/2000
OH	AG	11/16/2001	TERMED	08/14/2000
OK	AG	11/16/2001	TERMED	08/14/2000
PA	AG	11/16/2001	TERMED	08/14/2000
PHLX	GS	11/16/2001	TERMED	08/14/2000
PHLX	SU	11/16/2001	TERMED	08/14/2000
TN	AG	11/16/2001	TERMED	11/16/2000
TX	AG	11/16/2001	TERMED	08/14/2000
VA	AG	11/16/2001	TERMED	08/14/2000

From 03/27/1998 To 08/14/2000 J.C. BRADFORD & CO.(1287)

Reason for Termination**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	08/14/2000	MASS_TRNSF	05/01/1998
AZ	AG	08/14/2000	MASS_TRNSF	05/01/1998
CA	AG	08/14/2000	MASS_TRNSF	04/28/1998
CBOE	GS	08/14/2000	MASS_TRNSF	04/28/1998
CBOE	SU	08/14/2000	MASS_TRNSF	04/28/1998
CO	AG	12/31/1999	TERMED	04/29/1998
DC	AG	12/31/1999	TERMED	05/01/1998
FINRA	GS	08/14/2000	MASS_TRNSF	04/28/1998
FINRA	SU	08/14/2000	MASS_TRNSF	04/28/1998
FL	AG	12/31/1999	TERMED	05/01/1998
GA	AG	08/14/2000	MASS_TRNSF	04/29/1998
ID	AG	12/31/1999	TERMED	04/30/1998
IL	AG	08/14/2000	MASS_TRNSF	03/01/2000
IL	AG	12/31/1999	TERMED	05/04/1998
IN	AG	12/31/1999	TERMED	05/27/1998
KS	AG	12/31/1999	TERMED	05/05/1998
KY	AG	12/31/1999	TERMED	01/05/1999
LA	AG	08/14/2000	MASS_TRNSF	08/10/2000
LA	AG	12/31/1999	TERMED	04/29/1998
MD	AG	08/14/2000	MASS_TRNSF	05/01/1998
MI	AG	12/31/1999	TERMED	05/13/1998
MS	AG	12/31/1999	TERMED	05/04/1998
MT	AG	08/14/2000	MASS_TRNSF	10/08/1999
NC	AG	12/31/1999	TERMED	04/30/1998
NJ	AG	12/31/1999	TERMED	05/12/1998
NM	AG	08/14/2000	MASS_TRNSF	05/05/1998
NY	AG	08/14/2000	MASS_TRNSF	07/29/1998
NYSE	BM	08/14/2000	MASS_TRNSF	04/30/1998
NYSE	GS	08/14/2000	MASS_TRNSF	04/30/1998

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Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Registrations with Previous Employer(s)**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
NYSE-MKT	BM	08/14/2000	T_NOREG_MT	
NYSE-MKT	GS	08/14/2000	T_NOREG_MT	
OH	AG	08/14/2000	MASS_TRNSF	04/30/1998
OK	AG	08/14/2000	MASS_TRNSF	01/14/1999
PA	AG	08/14/2000	MASS_TRNSF	05/01/1998
PHLX	GS	08/14/2000	MASS_TRNSF	04/28/1998
PHLX	SU	08/14/2000	MASS_TRNSF	04/28/1998
TN	AG	12/31/1999	TERMED	05/01/1998
TX	AG	08/14/2000	MASS_TRNSF	04/29/1998
VA	AG	08/14/2000	MASS_TRNSF	07/23/1998

From 04/07/1994 To 03/01/1998 SUNTRUST EQUITABLE SECURITIES(6271)

Reason for Termination Voluntary

Termination Comment

Regulator	Registration Category	Status Date	Registration Status	Approval Date
AR	AG	04/21/1998	TERMED	06/03/1997
AZ	AG	04/21/1998	TERMED	02/07/1995
CA	AG	04/21/1998	TERMED	05/05/1994
CO	AG	04/21/1998	TERMED	03/28/1995
DC	AG	04/21/1998	TERMED	02/09/1996
FINRA	GS	04/21/1998	TERMED	04/21/1994
FINRA	SU	04/21/1998	TERMED	08/13/1997
FL	AG	04/21/1998	TERMED	07/19/1994
GA	AG	04/21/1998	TERMED	07/18/1994
ID	AG	04/21/1998	TERMED	07/10/1997
IL	AG	04/21/1998	TERMED	02/13/1996
IN	AG	04/21/1998	TERMED	02/28/1996
KS	AG	04/21/1998	TERMED	06/15/1994
LA	AG	04/21/1998	TERMED	07/20/1994
MD	AG	04/21/1998	TERMED	02/20/1996
MI	AG	04/21/1998	TERMED	07/28/1997
MS	AG	04/21/1998	TERMED	06/21/1995
NC	AG	04/21/1998	TERMED	07/13/1994
NJ	AG	04/21/1998	TERMED	02/22/1996
NM	AG	04/21/1998	TERMED	05/15/1997
NY	AG	04/21/1998	TERMED	05/23/1996
NYSE	BM	04/21/1998	TERMED	08/13/1997
NYSE	GS	04/21/1998	TERMED	04/22/1994
OH	AG	04/21/1998	TERMED	02/09/1996
PA	AG	04/21/1998	TERMED	02/14/1996
TN	AG	04/21/1998	TERMED	02/09/1996
TX	AG	04/21/1998	TERMED	05/06/1994
VA	AG	04/21/1998	TERMED	02/12/1996

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information**Registrations with Previous Employer(s)**

From 06/24/1991 To 04/06/1994 AUGUSTA SECURITIES CORP.(23669)

Reason for Termination Voluntary**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	04/19/1994	TERMED	08/07/1991
TX	AG	04/19/1994	TERMED	08/08/1991

From 10/16/1990 To 06/24/1991 THOMAS F. WHITE & CO., INCORPORATED(7661)

Reason for Termination Voluntary**Termination Comment** Voluntary

Regulator	Registration Category	Status Date	Registration Status	Approval Date
CA	AG	07/09/1991	TERMED	11/30/1990
FINRA	GS	07/09/1991	TERMED	01/09/1991
TX	AG	07/09/1991	TERMED	01/11/1991

From 03/01/1990 To 10/16/1990 FIRST AMERICA EQUITIES CORP.(7652)

Reason for Termination Unknown Conversion**Termination Comment**

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	GS	09/13/1991	TERMED	03/26/1990
TX	AG	08/31/1990	TERMED	03/28/1990

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information**Professional Designations**

<<No Professional Designations found for this Individual.>>

Employment History

From	09/2014	To	Present	Name	WUNDELRIK SECURITIES, INC.
				Location	MEMPHIS, TN, USA
				Position	FINANCIAL ADVISOR
				Investment Related	Yes
From	11/2001	To	09/2014	Name	LPL FINANCIAL, LLC
				Location	HOUSTON, TX, USA
				Position	REGISTERED REPRESENTATIVE
				Investment Related	Yes
From	07/2006	To	07/2013	Name	JAMES E. BASHAW & CO.
				Location	HOUSTON, TX, USA
				Position	IAR
				Investment Related	Yes
From	08/2000	To	11/2001	Name	PAINWEBBER INCORPORATED
				Location	NEW YORK, NY, UNITED STATES
				Position	MASS TRANSFER
				Investment Related	Yes
From	03/1998	To	08/2000	Name	#IA J. C. BRADFORD & CO.
				Location	HOUSTON, TX
				Position	NOT PROVIDED
				Investment Related	No
From	03/1998	To	08/2000	Name	J.C. BRADFORD & CO.
				Location	HOUSTON, TX
				Position	NOT PROVIDED
				Investment Related	Yes
From	05/1990	To	08/2000	Name	VEHICARE
				Location	HOUSTON, TX
				Position	OTHER - CEO & PRESIDENT
				Investment Related	No
From	04/1994	To	03/1998	Name	SUNTRUST EQUITABLE SECURITIES
				Location	NASHVILLE, TN
				Position	NOT PROVIDED

Snapshot - Individual

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Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Employment History

			Investment Related	Yes
From	06/1991	To	04/1994	
			Name	AUGUSTA SECURITIES CORP.
			Location	HOUSTON, TX
			Position	OTHER - REG. REP.
			Investment Related	Yes
From	07/1988	To	07/1991	
			Name	MJM DEVELOPMENT CORP
			Location	HOUSTON, TX
			Position	OTHER - PRESIDENT-CEO
			Investment Related	No
From	10/1990	To	06/1991	
			Name	THOMAS F. WHITE & CO., INCORPORATED
			Location	HOUSTON, TX
			Position	NOT PROVIDED
			Investment Related	Yes
From	06/1988	To	12/1990	
			Name	MJM DEVELOPMENT COR
			Location	HOUSTON, TX
			Position	OTHER - CEO & PRESIDENT
			Investment Related	No
From	03/1990	To	10/1990	
			Name	FIRST AMERICA EQUITIES CORP.
			Location	PLEASANT HILL, CA
			Position	NOT PROVIDED
			Investment Related	Yes

Office of Employment History

From 09/2014 To Present
 Name WUNDERLICH SECURITIES, INC.(2543)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
509257			Yes	No	09/29/2014		Located At
Address 4400 POST OAK PKWY., SUITE 1400 HOUSTON, TX 77027 UNITED STATES							

From 11/2001 To 09/2014
 Name LPL FINANCIAL LLC(6413)

Independent Contractor Yes

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: Florida

Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
468432			Yes	No	11/27/2013	09/24/2014	Located At
	Address 1001 F.M. 2004 LAKE JACKSON, TX 77566 UNITED STATES						
161715			Yes	No	11/09/2001	09/24/2014	Located At
	Address 1800 BERING DRIVE, STE 1050 HOUSTON, TX 77057 UNITED STATES						
552831			Yes	No	01/03/2014	04/29/2014	Located At
	Address 1600 REDBUD BLVD MCKINNEY, TX 75070 UNITED STATES						
			No	No	01/16/2014	01/16/2014	Located At
	Address 4420 SUNRISE RD ROUND ROCK, TX 78665 UNITED STATES						
			No	No	01/16/2014	01/16/2014	Located At
	Address 1503 RIVERY BLVD GEORGETOWN, TX 78628 UNITED STATES						
			No	No	01/16/2014	01/16/2014	Located At
	Address 3209 RANCH RD AUSTIN, TX 78738 UNITED STATES						
163457			Yes	No	11/09/2001	05/10/2006	Located At
	Address 46 NORTH MAIN STREET KINGWOOD, TX 77339 UNITED STATES						
163580			Yes	No	11/09/2001	11/09/2001	Located At
	Address 2211 NORFOLK ST STE 626 HOUSTON, TX 77098-4064 UNITED STATES						

From 11/2001 To 07/2013

Name JAMES E.BASHAW & CO.(129320)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	12/30/2008	07/09/2013	Located At
	Address 5433 WESTHEIMER, SUITE 200 HOUSTON, TX 77056 UNITED STATES						
			No	No	11/18/2001	12/30/2008	Located At
	Address 5200 SAN FELIPE HOUSTON, TX 77056 UNITED STATES						

From 08/2000 To 11/2001

Name UBS PAINWEBBER INC.(8174)

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: Florida

Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Office of Employment History

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	08/12/2000	11/09/2001	Located At
Address 109 NORTH POST OAK LANE, SUITE 150 HOUSTON, TX 77057 USA							

From 03/1998 To 08/2000

Name J.C. BRADFORD & CO.(1287)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/27/1998	08/14/2000	Located At
Address 333 CLAY SUITE 4700 HOUSTON, TX 77002							

From 04/1994 To 03/1998

Name SUNTRUST EQUITABLE SECURITIES(6271)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	04/07/1994	03/01/1998	Located At
Address 800 NASHVILLE CITY CENTER, 511 UNION STREET NASHVILLE, TN 37219-1743							

From 06/1991 To 04/1994

Name AUGUSTA SECURITIES CORP.(23669)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	06/24/1991	04/06/1994	Located At
Address 5 POST OAK PARK SUITE 2160 HOUSTON, TX 77027							

From 10/1990 To 06/1991

Name THOMAS F. WHITE & CO., INCORPORATED(7661)

Independent Contractor No

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: Florida

Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Office of Employment History

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	10/16/1990	06/24/1991	Located At
Address 6205 WEST 34TH SUITE C HOUSTON, TX 77092							

From 03/1990 To 10/1990

Name FIRST AMERICA EQUITIES CORP.(7652)

Independent Contractor No

Office of Employment Address

CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			No	No	03/01/1990	10/16/1990	Located At
Address 3313 VINCENT RD STE 207 PLEASANT HILL, CA 94523							

Other Business

- 1/4/2002 - DBA ONLY - JAMES E. BASHAW & COMPANY, INC. - HOUSTON, TX.
- 7/12/2004 - NON-VARIABLE INSURANCE - FIXED INSURANCE. - HOUSTON, TX.
- 10/26/2006 - ACT IN A FIDUCIARY CAPACITY - TRAVIS SCOTT BASHAW 5012-1038 SON MASON VIRGINIA BASHAW 5012-1050 DAUGHTER. - TIME SPENT 1% - HOUSTON, TX.
- 4/16/2010 - COMMUNITY, CIVIC AND CHARITABLE BOARD - CATHOLIC CHARITIES - SERVE AS A DIRECTOR FOR THE ORGANIZATION. - TIME SPENT 1% - TX.
- 4/21/2010 - COMMUNITY, CIVIC AND CHARITABLE BOARD - MUNICIPAL UTILITY DIRECTOR FORT BEND 194, HELP RUN THE AFFAIRS OF THE DISTRICT. - TIME SPENT 1% - TX.
- 08/05/2014 - REAL ESTATE RENTAL - TIME SPENT 2 HOURS PER MONTH - HOUSTON, TX

Exam Appointments

<<No Exam Appointments found for this Individual.>>

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S3	18107853	Official Result	02/08/2001	02/07/2001	Passed	77	01/30/2001-05/30/2001
S3	18107852	Window Expired	01/25/2001				09/27/2000-01/25/2001
S3	18107851	Window Expired	12/17/1999				08/19/1999-12/17/1999
S4	18107856	Withdraw	04/21/1998				-
S4	18107855	Window Expired	01/28/1998			0	-
S4	18107854	Official Result	09/18/1997	09/18/1997	Failed	60	-
S7	18107861	Official Result	06/16/1984	06/16/1984	Passed	77	-
S8	18107862	Official Result	05/30/1997	05/30/1997	Passed	78	-

Snapshot - Individual

CRD® or IARD(TM) System Report provided to: Florida

Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD

Administrative Information

Exam History

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates
S15	18107850	Official Result	08/05/1985	08/05/1985	Failed	62	-
S15	18107849	Official Result	06/26/1985	06/26/1985	Failed	68	-
S53	18107858	Official Result	03/14/2006	03/13/2006	Passed	75	03/08/2006-07/06/2006
S53	18107857	Window Expired	01/19/2006				09/20/2005-01/18/2006
S63	18107859	Official Result	06/26/1984	06/26/1984	Passed	86	-
S65	18107860	Official Result	05/12/1997	05/12/1997	Passed	78	-

CE Regulatory Element Status

Current CE Status SATISFIED

CE Base Date 06/20/1984

CE Appointments

<<No CE Appointments found for this Individual.>>

Current CE

<<No Current CE found for this Individual.>>

Next CE

Window Dates	Requirement Type	Session
06/20/2016-10/17/2016	Anniversary	101

CE Directed Sequence History

<<No CE Directed Sequence History found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requirement Status

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	201			06/20/2013-10/17/2013	
Anniversary	201	SATISFIED	08/13/2013	06/20/2013-10/17/2013	08/13/2013 - CMPLT
Anniversary	201	REQUIRED	06/20/2013	06/20/2013-10/17/2013	
Anniversary	201	SATISFIED	08/17/2010	06/20/2010-10/17/2010	08/17/2010 - CMPLT
Anniversary	201	REQUIRED	06/21/2010	06/20/2010-10/17/2010	
Anniversary	201	SATISFIED	09/20/2007	06/20/2007-10/17/2007	09/20/2007 - CMPLT
Anniversary	201	REQUIRED	06/20/2007	06/20/2007-10/17/2007	
Anniversary	201	SATISFIED	09/08/2004	06/20/2004-10/17/2004	09/08/2004 - CMPLT
Anniversary	201	REQUIRED	06/21/2004	06/20/2004-10/17/2004	
Anniversary	201	SATISFIED	07/13/2001	06/20/2001-10/17/2001	07/13/2001 - CMPLT
Anniversary	201	REQUIRED	06/20/2001	06/20/2001-10/17/2001	
Anniversary	101	SATISFIED	06/20/1984	06/20/1998-10/17/1998	
Anniversary	101			06/20/1995-10/17/1995	
Anniversary	101			06/20/1994-10/17/1994	
Anniversary	101			06/20/1992-10/17/1992	
Anniversary	101			06/20/1989-10/17/1989	
Anniversary	101			06/20/1989-10/17/1989	
Anniversary	101			06/20/1986-10/17/1986	

Snapshot - Individual

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Request Submitted: 10/14/2014 4:17:11 PM

Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Previous CE Requirement Status**

Requirement Type	Session	Status	Status Date	Window Dates	Result
Anniversary	101			06/20/1986-10/17/1986	

Filing History

Filing Date	Form Type	Filing type	Source
10/09/2014	U5	Partial	WUNDERLICH SECURITIES, INC. (2543)
10/03/2014	U5	Full	LPL FINANCIAL LLC (6413)
09/29/2014	U4	Relicense All	WUNDERLICH SECURITIES, INC. (2543)
09/24/2014	BR	Amendment	LPL FINANCIAL LLC (6413)
08/27/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
08/07/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
08/06/2014	BR	Amendment	LPL FINANCIAL LLC (6413)
05/29/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
05/16/2014	BR	Amendment	LPL FINANCIAL LLC (6413)
05/14/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
05/12/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
03/03/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
02/28/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
02/04/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
02/04/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
01/30/2014	U4	Amendment	LPL FINANCIAL LLC (6413)
01/03/2014	BR	Initial	LPL FINANCIAL LLC (6413)
08/26/2013	BR	Amendment	LPL FINANCIAL LLC (6413)
08/20/2013	BR	Amendment	LPL FINANCIAL LLC (6413)
07/11/2013	U4	Amendment	LPL FINANCIAL LLC (6413)
07/10/2013	U5	Full	JAMES E.BASHAW & CO. (129320)
05/25/2012	U4	Amendment	LPL FINANCIAL LLC (6413)
04/27/2012	U4	Amendment	LPL FINANCIAL LLC (6413)
08/09/2011	U4	Amendment	LPL FINANCIAL LLC (6413)
04/20/2011	U4	Amendment	LPL FINANCIAL LLC (6413)
05/04/2010	BR	Amendment	LPL FINANCIAL LLC (6413)
04/21/2010	U4	Amendment	LPL FINANCIAL LLC (6413)
04/16/2010	U4	Amendment	LPL FINANCIAL LLC (6413)
01/21/2010	BR	Amendment	LPL FINANCIAL LLC (6413)
10/15/2009	U4	Amendment	LPL FINANCIAL LLC (6413)
07/21/2009	U4	Amendment	JAMES E.BASHAW & CO. (129320)
12/01/2008	BR	Amendment	LPL FINANCIAL LLC (6413)
11/26/2008	BR	Amendment	LPL FINANCIAL LLC (6413)
04/29/2008	BR	Amendment	LPL FINANCIAL LLC (6413)
10/29/2007	BR	Amendment	LPL FINANCIAL LLC (6413)
03/12/2007	U4	Amendment	LPL FINANCIAL LLC (6413)
02/22/2007	U4	Amendment	LPL FINANCIAL LLC (6413)
12/15/2006	U5	Partial	LPL FINANCIAL LLC (6413)
11/01/2006	U4	Amendment	LPL FINANCIAL LLC (6413)

Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Filing History**

Filing Date	Form Type	Filing type	Source
09/27/2006	U4	Amendment	FINRA
07/29/2006	U4	Conversion	LPL FINANCIAL LLC (6413)
07/18/2006	U4	Amendment	LPL FINANCIAL LLC (6413)
06/15/2006	BR	Amendment	LPL FINANCIAL LLC (6413)
05/10/2006	U4	Amendment	LPL FINANCIAL LLC (6413)
05/10/2006	BR	Closure	LPL FINANCIAL LLC (6413)
03/07/2006	U4	Amendment	LPL FINANCIAL LLC (6413)
02/27/2006	BR	Amendment	LPL FINANCIAL LLC (6413)
02/27/2006	BR	Amendment	LPL FINANCIAL LLC (6413)
02/02/2006	U4	Amendment	LPL FINANCIAL LLC (6413)
01/26/2006	U4	Amendment	LPL FINANCIAL LLC (6413)
01/26/2006	BR	Amendment	LPL FINANCIAL LLC (6413)
09/19/2005	U4	Amendment	LPL FINANCIAL LLC (6413)
07/26/2005	U4	Amendment	LPL FINANCIAL LLC (6413)
06/06/2005	U4	Amendment	LPL FINANCIAL LLC (6413)
01/27/2005	U4	Amendment	FINRA
01/05/2005	U4	Amendment	LPL FINANCIAL LLC (6413)
01/03/2005	U4	Amendment	LPL FINANCIAL LLC (6413)
12/09/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
11/19/2004	U4	Dual	JAMES E.BASHAW & CO. (129320)
08/19/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
07/19/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
06/23/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
06/17/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
04/28/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
02/06/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
01/23/2004	U4	Amendment	LPL FINANCIAL LLC (6413)
11/11/2003	U4	Amendment	LPL FINANCIAL LLC (6413)
08/18/2003	U4	Amendment	LPL FINANCIAL LLC (6413)
07/24/2003	U4	Amendment	LPL FINANCIAL LLC (6413)
07/07/2003	U4	Amendment	LPL FINANCIAL LLC (6413)
08/01/2002	U4	Amendment	LPL FINANCIAL LLC (6413)
06/14/2002	U4	RA Transition	LPL FINANCIAL LLC (6413)
04/02/2002	U4	Amendment	LPL FINANCIAL LLC (6413)
03/27/2002	U4	Amendment	LPL FINANCIAL LLC (6413)
01/08/2002	U4	Amendment	LPL FINANCIAL LLC (6413)
12/06/2001	U4	Amendment	LPL FINANCIAL LLC (6413)
11/28/2001	U4	Amendment	LPL FINANCIAL LLC (6413)
11/23/2001	U4	Amendment	LPL FINANCIAL LLC (6413)
11/19/2001	U4	Amendment	LPL FINANCIAL LLC (6413)
11/16/2001	U5	Full	UBS FINANCIAL SERVICES INC. (8174)
11/09/2001	U4	Relicense All	LPL FINANCIAL LLC (6413)
08/06/2001	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)

Individual 1251491 - BASHAW, JAMES EDWARD**Administrative Information****Filing History**

Filing Date	Form Type	Filing type	Source
04/17/2001	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
04/04/2001	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
02/14/2001	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
01/29/2001	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
12/04/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
12/01/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
11/13/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
09/26/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
08/23/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
08/23/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
08/17/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
08/17/2000	U4	Amendment	UBS FINANCIAL SERVICES INC. (8174)
08/11/2000	MT	Mass Transfer	UBS FINANCIAL SERVICES INC. (8174)
07/26/2000	U4	Amendment	J.C. BRADFORD & CO. (1287)
02/18/2000	U4	Amendment	J.C. BRADFORD & CO. (1287)
12/21/1999	U5	Partial	J.C. BRADFORD & CO. (1287)
10/06/1999	U4	Amendment	J.C. BRADFORD & CO. (1287)
08/19/1999	U4	Amendment	J.C. BRADFORD & CO. (1287)
07/07/1999	U5	Conversion	KIDDER, PEABODY & CO. INCORPORATED (7613)
07/06/1999	U4	Conversion	KIDDER, PEABODY & CO. INCORPORATED (7613)
07/05/1999	U4	Conversion	J.C. BRADFORD & CO. (1287)
07/05/1999	U5	Conversion	SUNTRUST ROBINSON HUMPHREY, INC. (6271)
07/05/1999	U4	Conversion	SUNTRUST ROBINSON HUMPHREY, INC. (6271)
07/05/1999	U5	Conversion	CAPNET SECURITIES CORPORATION (23669)
07/05/1999	U4	Conversion	CAPNET SECURITIES CORPORATION (23669)
07/05/1999	U5	Conversion	ACUMENT SECURITIES, INC. (7661)
07/05/1999	U4	Conversion	ACUMENT SECURITIES, INC. (7661)
07/05/1999	U5	Conversion	FIRST AMERICA EQUITIES CORP. (7652)
07/05/1999	U4	Conversion	FIRST AMERICA EQUITIES CORP. (7652)

Individual 1251491 - BASHAW, JAMES EDWARD**Reportable Events****Number of Reportable Events**

Bankruptcy	0
Bond	0
Civil Judicial	0
Criminal	0
Customer Complaint	1
Internal Review	0
Investigation	0
Judgement/Lien	0
Regulatory Action	0
Termination	1

Occurrence#	9422	Disclosure Type	Customer Complaint
FINRA Public Disclosable	Yes	Reportable	Yes
Material Difference in Disclosure	No		

Filing ID	19346902	Form (Form Version)	U4 (10/2005)
Filing Date	09/27/2006		
Source	6413 - LPL FINANCIAL LLC		
Disclosure Questions Answered	14I(1)(c)		

Customer Complaint DRP**DRP Version** 10/2005

- Customer name(s): RAFAEL ARAMBURO
- Customer(s) state of residence: Texas
Other state(s) of residence/Detail:
- Employing firm: KIDDER PEABODY & CO.
- Allegation(s): BREACH OF FIDUCIARY DUTY, CHURNING OBJECTIVES NOT FOLLOWED. CLAIM \$620,000 ACTUAL DAMAGES AND \$1,000,000 PUNITIVE DAMAGES.
- Principal product type: Other
Other product types:
- Alleged compensatory damages: \$620,000.00
- Date complaint received/Explanation: 06/28/1988
- Currently pending: No
- Status: Arbitration/Reparation
- Status date/Explanation: 01/07/1991
- Settlement amount:
- Individual contribution amount:
- Arbitration/Reparation claim filed NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.;

Snapshot - Individual

Individual 1251491 - BASHAW, JAMES EDWARD

Reportable Events

Customer Complaint DRP

DRP Version 10/2005

- with, Docket/Case#: 89-1613
- 14. Date notice served/ Explanation: 06/28/1988
- 15. Arbitration/Reparation pending: No
- 16. Disposition: Settled
- 17. Disposition date/Explanation: 12/01/1990
- 18. Compensation amount: \$200,000.00
- 19. Individual contribution amount: \$0.00

- 20. Court, Docket/Case#:
- 21. Date/Explanation:
- 22. Litigation pending:
- 23. Disposition:
- 24. Date/Explanation:
- 25. Compensation amount:
- 26. Individual contribution amount:
- 27. Appeal date/Explanation:
- 28. Comment:

KIDDER PEABODY SETTLED THE CLAIM FOR \$200,000 PRIOR TO ARBITRATION. [CUSTOMER] WAS LONG TIME FAMILY FRIEND AND CLIENT. HE OWNED A SEAT ON THE MEXICAN STOCK MARKET, VOLKSWAGEN DEALERSHIPS, RANCHES, BANKS, AND HOTELS. ON OCTOBER 19, 1987 HIS ACCOUNT WAS HEAVILY MNARGINED AND SUFFERED A DROP IN MARKET VALUE DUE TO BLACK MONDAY. HE REFUSED TO COVER AND THE FIRM SOLD OUT HIS POSITIONS TO COVER HIS MARGION CALL. SUBSEQUENTLY, HE FILE SUIT AND FORGOT HE KNEW HOW TO SPEAK ENGLISH.

Filing ID 122867 Form (Form Version) U5 (08/1999)

Filing Date 07/07/1999

Source 7613 - KIDDER, PEABODY & CO. INCORPORATED

Disclosure Questions Answered

Customer Complaint DRP

DRP Version 10/2005

- 1. Customer name(s): RAFAEL ARAMBURO
- 2. Customer(s) state of residence:
Other state(s) of residence/Detail:
- 3. Employing firm: KIDDER PEABODY & CO.
- 4. Allegation(s): BREACH OF FIDUCIARY DUTY-CHURNING, OJBECTIVES NOT FOLLOWED CLAIM-\$620,000 ACTUAL \$1,000,000. PUNITIVE

Individual 1251491 - BASHAW, JAMES EDWARD**Reportable Events**

Customer Complaint	DRP	DRP Version	10/2005
5. Principal product type:			
Other product types:			
6. Alleged compensatory damages:	\$620,000.00		
7. Date complaint received/Explanation:			
8. Currently pending:	No		
9. Status:	Arbitration/Reparation		
10. Status date/Explanation:			
11. Settlement amount:			
12. Individual contribution amount:			
13. Arbitration/Reparation claim filed with, Docket/Case#:	National Association of Securities Dealers, Inc.; 89-1613		
14. Date notice served/ Explanation:	06/28/1988		
15. Arbitration/Reparation pending:	No		
16. Disposition:	Settled		
17. Disposition date/Explanation:	12/01/1990		
18. Compensation amount:	\$200,000.00		
19. Individual contribution amount:	\$0.00		
20. Court, Docket/Case#:			
21. Date/Explanation:			
22. Litigation pending:			
23. Disposition:			
24. Date/Explanation:			
25. Compensation amount:			
26. Individual contribution amount:			
27. Appeal date/Explanation:			
28. Comment:	KIDDER, PEABODY PAID \$200,000. IN SETTLEMENT PREVIOUSLY REPORTED AS A WRITTEN CUSTOMER COMPLAINT FILED WITH KIDDER, PEABODY ON 06/28/883		

Occurrence#	1724836	Disclosure Type	Termination
FINRA Public Disclosable	Yes	Reportable	Yes
Material Difference in Disclosure	No		
Filing ID	37500628	Form (Form Version)	U4 (05/2009)

Individual 1251491 - BASHAW, JAMES EDWARD**Reportable Events**

Filing Date 09/29/2014
Source 2543 - WUNDERLICH SECURITIES, INC.
Disclosure Questions Answered 14J(1)

Termination DRP **DRP Version** 05/2009

1. Firm name: LPL FINANCIAL
2. Termination type: Discharged
3. Date filed/Explanation: 09/24/2014
4. Allegation(s): FAILURE TO FOLLOW FIRM POLICIES AND INDUSTRY REGULATIONS
5. Product type(s): No Product
6. Comment: I AM HOME OFFICE SUPERVISED AND HAVE HAD 13 PERFECT AUDITS. I AM STILL UNCLEAR AS TO SPECIFICS.

Filing ID 37533074 **Form (Form Version)** U5 (05/2009)
Filing Date 10/03/2014
Source 6413 - LPL FINANCIAL LLC
Disclosure Questions Answered 7F(1)

Termination DRP **DRP Version** 05/2009

1. Firm name: LPL FINANCIAL LLC
2. Termination type: Discharged
3. Date filed/Explanation: 09/24/2014
4. Allegation(s): REPRESENTATIVE DISCHARGED FOR (A) PARTICIPATING IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING WRITTEN DISCLOSURE TO AND OBTAINING WRITTEN APPROVAL FROM THE FIRM, (B) BORROWING FROM A CLIENT, AND (C) ENGAGING IN A BUSINESS TRANSACTION THAT CREATED A POTENTIAL CONFLICT OF INTEREST WITHOUT PROVIDING WRITTEN DISCLOSURE TO AND OBTAINING WRITTEN APPROVAL FROM THE FIRM.
5. Product type(s): Mutual Fund
Other: PRIVATE PLACEMENTS
6. Comment:

Regulator Archive and Z Records

Occurrence#	1612467	Disclosure Type	Customer Complaint
FINRA Public Disclosable	No	Reportable	No
Material Difference in Disclosure	No		

Filing ID 36237740 **Form (Form Version)** U4 (05/2009)
Filing Date 02/28/2014
Source 6413 - LPL FINANCIAL LLC
Disclosure Questions Answered 14I(3)(a)

Individual 1251491 - BASHAW, JAMES EDWARD**Regulator Archive and Z Records****Customer Complaint DRP****DRP Version 05/2009**

1. Customer name(s): RONALD AND CINDY SOEFER
2. Residence information:
 - A. Customer(s) state of residence: Texas
 - B. Other state(s) of residence/ detail:
3. Employing firm: LPL FINANCIAL
4. Allegation(s): THAT UITS PURCHASED IN 2011 WERE UNSUITABLE.
5. Product type(s): Unit Investment Trust
6. Alleged compensatory damage amount: \$20,804.28
Explanation:
7. Customer complaints:
 - A. Oral complaint: No
 - B. Written complaint: Yes
 - C. Arbitration/CFTC reparation or civil litigation: No
 - i. Arbitration/Reparation forum court name/location:
 - ii. Docket/Case#:
 - iii. Arbitration or civil litigation filing date:
 - D. Date received by/Served on firm/Explanation: 04/26/2012
8. Complaint, arbitration/CFTC reparation, civil litigation pending: No
9. Complaint, arbitration/CFTC reparation or civil status: Settled
10. Status date/Explanation: 07/31/2012
11. Settlement/Award/Monetary judgment:
 - A. Award amount: \$10,000.00
 - B. Contribution amount: \$10,000.00
12. Arbitration/CFTC reparation information:
 - A. Arbitration/CFTC reparation claim filed with:
 - B. Docket/Case#:
 - C. Date notice/Process was served/Explanation:

Individual 1251491 - BASHAW, JAMES EDWARD

Regulator Archive and Z Records

Customer Complaint DRP

DRP Version 05/2009

13. Pending arbitration/ CFTC reparation:
 14. Disposition:
 15. Disposition date/Explanation:
 16. Monetary compensation details:
 - A. Total compensation amount:
 - B. Contribution amount:
 17. Court in which case was filed:
 - A. Name of court:
 - B. Location of court:
 - C. Docket/Case#:
 18. Date notice/process was served/Explanation:
 19. Pending civil litigation:
 20. Civil litigation status:
 21. Disposition date/Explanation:
 22. Monetary compensation details:
 - A. Total compensation amount:
 - B. Contribution amount:
 23. If action is currently on appeal:
 - A. Appeal date/Explanation:
 - B. Court appeal filed with:
 - i. Name of court:
 - ii. Location of court:
 - iii. Docket/Case#:
 24. Comment:
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