

David Tilkin Case List	Open	Venue	Case #	Client	Disposition	Topics
Driver v. Janney Montgomery Scott	2008	FINRA	NA	Delaware AG	Testified	Churning/Suitability
Mass. V. Brown and Merrill Lynch	2008	FINRA	NA	State of Mass	Administrative	Suitability/Mkt. Manipulation
State of Mass v. Merrill Lynch/Green	2008	FINRA	NA	State of Mass	Regulatory	Suitability/Supervision
U.S. Attorney v. Merrill Lynch/Green	2008	FINRA	NA	US Attorney	Regulatory	Suitability/Supervision
Cantera v. Walnut Street Securities	2008	FINRA	NA	John Aromondo	Settled	Suitability/Supervision
Davisson v. Capital Securities	2008	FINRA	NA	Tim VanEmman	Settled	Suitability/Supervision
State of Delaware/Driver v. Janney MS	2008	FINRA	NA	Delaware AG	Testified	Regulatory
State of Delaware v. Thomas Guido	2008	FINRA	NA	Delaware AG	Settled	Regulatory
Farber v. Fisher Investments	2008	JAMS	JAMS	Scott Metzger	Testified	RIA - suitability
Murphy v. Fisher Investments	2008	JAMS	JAMS	Scott Metzger	Settled	RIA - suitability
Dover v. Morgan Keegan	2008	FINRA	NA	William Gladden	Testified	Morgan Keegan - Funds
Denton v. Morgan Keegan	2008	FINRA	NA	William Gladden	Testified	Morgan Keegan - Funds
Scruggs v. Morgan Keegan	2008	FINRA	NA	William Gladden	Testified	Morgan Keegan - Funds
Canale v. Morgan Keegan	2008	FINRA	NA	Dale Ledbetter	Testified	Morgan Keegan - Funds
Wachovia v. Morgan Stanley	2008	FINRA	NA	Dave Ward	Testified	Raiding
Wachovia v. Smith Barney	2008	FINRA	NA	Dave Ward	Testified	Raiding
Reynolds v. RBC	2008	FINRA	NA	Ralph Monaco	Settled	Suitability/Supervision
Dame. V. Oppenheimer	2008	FINRA	NA	Debra Thaxter	Testified	Suitability in Mutual Funds
Peabody House v. Smith Barney	2008	FINRA	NA	Kevin Murphy	Testified	Suitability - Corporate Cash
Blanshinsky v. ING	2008	FINRA	NA	Tim Van Eman	Settled	Annuity Churing
Agranoff v. Merrill Lynch	2008	FINRA	NA	Tim Van Eman	Settled	Suitability/Supervision
Welsh v. Morgan Keegan	2008	FINRA	NA	Patrick Huddleston	Settled	Morgan Keegan - Funds
Belanger v. Wachovia	2008	FINRA	NA	Thomas Willcutts	testified	Employment
Beach v. Bank of America	2008	FINRA	NA	Howard Rosenfield	Settled	Suitability-Supervision-Churning
Todd McShay v. Oppenheimer	2008	FINRA	NA	Evan Fray-Witzer	Settled	Suitability - Supervision
Richard/Janice Wolf vs. Questar, Cornaglia, Bohan	2008	FINRA	NA	Lars Soreide	Settled	Suitability - DBSI Reg D
Glarapolous vs. UBS	2008	FINRA	NA	John Cavanaugh	Settled	suitability Lehman Notes
Houseman v. Wells Fargo/John Solis-Green	2008	FINRA	NA	Lars Soreide	Settled	suitability - preferred stocks
Stetz v. Capital Financial Services/Kevin M. Fox	2008	FINRA	NA	Lars Soreide	Settled	suitability- Reg D/Pvt. Placements
Bromiley v. Fisher Investments	2008	FINRA	NA	Todd Ratner	Testified	RIA - suitability
Von Kama v. Fant/HD Vest	2008	FINRA	NA	Daniel Rucker/Brac	Testified	Suitability-Supervision-Churning
Belanger v. Wachovia	2009	FINRA	NA	Belanger	Settled	Employment
Beach v. Bank of America	2009	FINRA	NA	Beach	Settled	Suitability/Supervision/Churning
Blanshinsky v. ING	2009	FINRA	NA	Blanshinsky	Settled	Annuity Churning
Agranoff v. Merrill Lynch	2009	FINRA	09-04362	Agranoff	Settled	Suitability/Supervision
Wachovia v. Morgan Stanley	2009	FINRA	07-01736	Wachovia	Testified	Raiding/Employment
Wachovia v. Smith Barney	2009	FINRA	07-01400	Wachovia	Testified	Raiding/Employment
Dame. V. Oppenheimer	2009	FINRA	09-02156	Oppenheimer	Testified	Suitability in Mutual Funds
Reynolds v. RBC	2010	FINRA	09-04796	Reynolds	Settled	Suitability/Supervision
Stetz v. Capital Financial Services/Kevin M. Fox	2010	FINRA	NA	Stetz	Settled	Suitability/Reg D/Pvt. Placements
State of Delaware v. Thomas Guido	2010	Delaware	NA	Delaware AG	Settled	Regulatory/Churning/Suitability
Welsh v. Morgan Keegan	2010	FINRA	NA	Welsh	Settled	MK Funds/Suitability/Supervision

Todd McShay v. Oppenheimer	2010	FINRA	NA	McShay	Settled	Suitability/Supervision
Glarapolous vs. UBS	2010	FINRA	NA	Glarapolous	Settled	Suitability Lehman Notes
Houseman v. Wells Fargo/John Solis-Green	2010	FINRA	NA	Houseman	Settled	Suitability Preferred Stocks
Von Kama vs. Font/HD Vest	2010	FINRA	NA	Von Kama	Settled	Suitability/Supervision/Churning
Farber v. Fisher Investments	2010	JAMS	NA	Fisher	Testified	RIA/Suitability/Fiduciary
Dover v. Morgan Keegan	2010	FINRA	NA	Dover	Testified	MK Funds/Suitability/Supervision
Denton v. Morgan Keegan	2010	FINRA	08-01567	Denton	Testified	MK Funds/Suitability/Supervision
Canale v. Morgan Keegan	2010	FINRA	08-03947	Canale	Testified	MK Funds/Suitability/Supervision
Peabody House v. Smith Barney	2010	FINRA	09-01066	Peabody House	Testified	Suitability/Corporate Cash
Wolf vs. Questar, Cornaglia, Bohan	2010	FINRA	09-03449	Wolfs	Testified	Suitability/DBSI Reg D
Bromiley vs. Fisher Investments	2010	JAMS	1410005009	Fisher	Testified	RIA/Suitability
West v. Newbridge Securities	2010	FINRA	08-04763	West	Testified	Suitability/Supervision
Stevens v. Fisher Investments	2010	JAMS	1440002590	Fisher	Testified	RIA/Suitability/Fiduciary
Koda-Massey v. New York Life	2011	FINRA	NA	Koda-Massey	Settled	Suitability
Kaye vs. Citigroup	2011	FINRA	10-01773	Kaye	Settled	Suitability/Trading Away/Supervision
Zagier v. Wasserman & Assoc	2011	Court	NA	Zagier	Settled	Fraud/Non-payment of FINRA finding
Gloss v. Wells Fargo	2011	FINRA	10-04618	Wells Fargo	Settled	Margin/Suitability
Alarcon v. Pershinig	2011	FINRA	NA	Alarcon	Settled	Clearing/Suitability
Gillespie v. Oppenheimer	2011	FINRA	09-05596	Gillespie	Testified	Suitability/Supervision
Yellin v. Corbert and Rahaim	2011	Mass.	NA	Yellin	Settled	Suitability/Trustee Powers
Wachovia/Weir Delaware AG	2011	Delaware	8 12 12	Delaware AG	Regulatory	Regulatory
Hawthorne Delaware AG	2011	Delaware	11 2 4	Delaware AG	Regulatory	Suitability/Supervision/Churning
Murphy v. Fisher Investments	2011	JAMS	1440002449	Fisher	Settled	RIA/Suitability/Fiduciary
Kersten v. Mutual Services	2011	FINRA	10-00208	Mutual Services	Settled	Suitability
Bruhm v. Harvest Securities	2011	FINRA	10-03314	Bruhm	Settled	Fraud/Employment/Ponzi
Hunt vs. J.P. Turner	2011	FINRA	10-00647	Hunt	Settled	Suitability/Supervision
Ferrentino v. S.C. Parker and Company	2011	FINRA	09-02282	Ferrentino	Settled	Suitability/Supervision
Williamson v. Smith Barney	2011	FINRA	09-03361	Williamson	Settled	Suitability/Supervision
Gaines v. R.W.Baird	2011	FINRA	10-01079	Gaines	Settled	Churning/Switching/Suitability/Supervision
Tanzi v. Centuras	2011	FINRA	10-04187	Tanzi	Settled	Suitability/Supervision
Scruggs v. Morgan Keegan	2011	FINRA	08-03012	Scruggs	Testified	MK Funds/Suitability/Supervision
Hirsch v. Fisher Investments	2011	JAMS	NA	Fisher	Testified	RIA/Suitability/Fiduciary
Kamaris v. Wells Fargo	2011	FINRA	10-01040	Kamaris	Testified	Suitability/Supervision
FASEB v. PNC	2011	Court	NA	FASEB	Testified	Admin/ACAT
Stephenson v. Fisher	2011	JAMS	NA	Fisher	Testified	Suitability/RIA/Fiduciary
Bajaj v. Fisher	2011	JAMS	1400012890	Fisher	Testified	Suitability/RIA/Fiduciary
Edgreen v. Fisher	2011	JAMS	1450001598	Fisher	Testified	Suitability/RIA/Fiduciary
Monahan/Babb V. H. Beck	2011	FINRA	09-04321	Monahan/Babb	Testified	Fraud/Suitability/Supervision
Jones v. Sloane, Inc.	2011	FINRA	10-00014	Sloane	Testified	Suitability/Supervision/MBS/Collar
Peterson v. Royal Alliance	2011	FINRA	10-04587	Peterson	Testified	Suitability/Supervision/Non-traded REITS/Annuities
Mancini v. Harvest Capital	2011	FINRA	11-01278	Mancini	Testified	Supervision/Ponzi
Stone v. Ameriprise	2011	FINRA	11-00984	Stone	Testified	Supervision/Suitability
Hopfan v. Bank of America	2012	FINRA	NA	Hopfan	Settled	Supervision/Suitability

Levine v. Longvue	2012	S. Court	09-1561-BLS2	Longvue	Settled	Supervision/Suitability/Fiduciary
Allen v. Wachovia	2012	Court	NA	Allen	Settled	Employment
Potter v. UBS	2012	FINRA	NA	Potter	Settled	Suitability/Supervision
McLeod/Cushman v. MML Investor Svcs.	2012	FINRA	10-04618	McLeod	Settled	Suitability/Supervision
Henderson vs. Spear Capital	2012	AAA	NA	Henderson	Testified	Suitability/Supervision/RIA/Clearing Firm
Glass v. Wells Fargo	2012	FINRA	10-04618	Wells Fargo	Settled	Suitability Supervision
Hazen v. Wells Fargo	2012	FINRA	11-02352	Hazen	Settled	Suitability/Supervision
Chase Bailey v. Merrill Lynch	2012	FINRA	11-00603	Bailey	Settled	Suitability/Supervision
Keiffer v. Citi/Smith Barney	2012	FINRA	11-00620	Keiffer	Testified	Supervision/Suitability
Manos v. Morgan Stanley	2012	FINRA	09-03359	Manos	Testified	Supervision/Suitability
Tutek vs. Wells Fargo	2012	FINRA	09-04874	Tutek	Testified	Margin/Suitability
Miles vs. Questar	2012	FINRA	11-02052	Miles	Testified	Suitability/Supervision
Kumra vs. Opes Cura/Interactive Brokers	2012	FINRA	NA	Kumra	Settled	Suitability Supervision/RIA/Clearing Firm
Allesi v. Merrill Lynch	2012	FINRA	NA	Allessi	Declined Case	Employment/Termination
Marino v. Summit	2012	FINRA	NA	Marino	Settled	Suitability/Supervision
Glick vs. Northwestern Mutual	2012	FINRA	NA	Northwestern	Settled	Supervision/Industry Standards
Wolf vs. Hyadal	2012	Court	PA-03142	Wolf	Settled	Suitability/RIA/Hedge Funds
Hopkins vs. Pacific West	2013	FINRA	NA	Hopkins	Settled	Suitability/ETFs/Supervision
Hall vs. National Securities	2013	FINRA	12-00449	Hall	Settled	Suitability/Supervision/Hedge Funds
Seely vs. Rockwell Global Capital	2013	FINRA	11-03003	Seely	Settled	Suitability/Supervision/Investment Banking
Charter Oak v. ING	2013	FINRA	NA	Leider	Settled	Employment
Coles vs. Smith Barney/Merrill Lynch	2013	FINRA	11-04107	Coles	Settled	Conversion - Theft
Denlinger vs. Christian Hyldahl	2013	FINRA	10-03301	Denlinger	Settled	RIA/Fiduciary
Christian vs. Centaurus Financial	2013	FINRA	12-01649	Centaurus	Testified	Annuity/Misrepresentation
Brown TTEE v. WFC	2013	FINRA	13-02313	Brown	Settled	Fraud/Cancel-Rebill
Cox vs. Smith Barney/Morgan Stanley	2013	FINRA	NA	Cox	Settled	10b5/Suitability/Misrepresentation
Chow vs. Zimny	2013	Court	NA	Chow	Settled	Fraud
Buser vs. Stifel	2013	FINRA	11-02093	Buser	Testified	Misrepresentation/Switching/Suitability
Browser vs Wells Fargo	2013	FINRA	10-02079	Browser	Settled	Misrepresentation/Switching/Suitability
Johnston vs National Securities	2013	FINRA	12-02703	Johnston	Settled	Misrepresentation/Suitability/Churning/Pvt. Placement
Worthan vs National Securities	2013	FINRA	NA	Worthan	Settled	Misrepresentation/Fraud/Pvt. Placement
Johnston vs. JP Turner	2013	FINRA	12-02703	Johnston	Settled	Churning/Misrepresentation/Fraud
Tigar vs. UBS	2013	FINRA	12-03270	Tigar	Testified	Suitability/Supervision/Reg U
Ellison v. JP Morgan	2013	FINRA	12-02244	Ellison	Testified	Employment/Loan
Yelamanchi V. NWS	2013	FINRA	12-03702	Yelamanchi	Testified	Churning/Suitability/Supervision
SEC v. Brokers et al (one case-two clients)	2013	SEC	3-15514	Brokers	Testified	Regulatory/Reg. D
Moyer vs. Laidlaw	2013	FINRA	11-04714	Moyer	Testified	Suitability/Supervision
Goldman v. TransAmerica	2013	FINRA	13-00348	Goldman	Settled	Suitability/Supervision
SEC v. Frank Chiappone	2013	SEC	3-15514	Chiappone	Testified	Regulatory/Reg. D
Tomas v. Wells Fargo	2014	FINRA	12-03248	Tomas	Settled	Employment/Loan
Correa v. Barrett Inc.	2014	FINRA	13-01198	Correa	Testified	Suitability/Supervision
Skolnick v. ING	2014	FINRA	13-02656	ING	Settled	Annuity Processing/BD Operations & Obligations
Hanna v. UBS	2014	FINRA	NA	Hanna	Testified	Suitability/Concentration

Melo v. National Securities	2014	FINRA	12-01825	Melo	Settled	Suitability/Supervision/Pvt. Equity
Telemus Capital v. Wells Fargo	2014	FINRA	12-00510	Telemus	Settled	Raiding/Employment
Dart v. Cendrowski et al	2014	Court	NA	Cendrowski	Settled	Suitability/Fiduciary responsibility
Wigmore v. Liberty Trading	2014	Court	NA	Wigmore	Settled	Admin/Custodial
Popek v. Calton & Assoc	2014	FINRA	14-02181	Popek	Settled	Suitability/Supervision
Decker v. Calton & Assoc	2014	FINRA	14-01333	Decker	Settled	Suitability/Supervision
Beeney v. Royal Alliance	2104	FINRA	13-00405	Beeney	Settled	Annuity/Misrepresentation/Suitability/Supervision
Graham v. Laidlaw LTD	2014	FINRA	14-00801	Graham	In Process	Supervision/Suitability/Churning
Rhonda s. Bagtaz-Foye vs. Mark A. Hanna	2014	FINRA	13-02894	Hanna	Settled	Suitability/B-Shares/Supervision
LSG Financial v. Harris/Vandernaught	2015	Court	NA	LSG Financial	In Process	TRO/Employment
Selleck v. Wells Fargo	2015	FINRA	14-00515	Selleck	In Process	Suitability/Supervision
Apphia v. SAL	2015	FINRA	14-01740	Apphia	Settled	Suitability/Supervision
Singh v. SAL	2015	FINRA	15-00223	Singh	Settled	Suitability/Supervision
Scott v. SAL	2015	FINRA	14-01976	Scott	Settled	Suitability/Supervision
Haberman v. Olympia	2015	FINRA	14-00232	Haberman	In Process	Suitability/Supervision
Lott v. Morgan Stanley	2015	FINRA	NA	Lott	In Process	Employment/Loan/U4
Berkowitz v. Commonwealth Financial	2015	FINRA	14-02229	Berkowitz	In Process	Suitability/Supervision
Brad Call v. Wells Fargo	2015	FINRA	13-01369	Call	Testified	Supervision/Suitability/Corporate Exec. Services
Tuchman v. Wells Fargo	2015	FINRA	13-02939	Tuchman	Testified	Employment/Termination
Fettin v. Morgan Stanley	2015	FINRA	14-03365	Fettin	In Process	Investment Return/Suitability
Thatcher v. Morgan Stanley	2015	FINRA	NA	Thatcher	In Process	Suitability/Supervision/Churning
Murphy v. Ameriprise	2015	FINRA	15-00695	Murphy	Settled	Churning/Suitability/Supervision
AIG Advisor Group	2015	Internal	NA	AIG	Complete	REIT/Suitability/Asset Allocation
Bartuschat v. LPL	2016	FINRA	NA	Bartuschat	In Process	Suitability/Supervision/Fiduciary
Genovesi v. Ball	2016	FINRA	15-00981	Genovesi	Testified	Suitability/CDOs/Supervision/Fiduciary
AIG Advisor Group	2016	Internal	NA	AIG	Complete	Annuity/Distribution/Damages
Crane v. OPCO	2016	FINRA	NA	Crane	In Process	Churning/Suitability/Supervision
Bashaw v. LPL et al	2016	FINRA	NA	Bashaw	In Process	Employment/Defamation/Expungement/Termination
Brower v. JP Morgan Securities	2016	FINRA	15-03180	Brower	In Process	Margin/Suitability/Supervision
Mapes v WFG	2016	FINRA	15-03485	Mapes	In Process	RIA/Fiduciary/Clearing/Supervision
Diffendale (For Patricial Zak)	2016	Internal	NA	Diffendale	Complete	Suitability/Fiduciary responsibility/prudent standards
Villasenor v. Morgan Stanley	2016	FINRA	NA	Villasenor	Settled	Fiduciary/Suitability/Supervision/RIA
Marinelli v. LPL	2016	FINRA	NA	Marinelli	In Process	Employment/Supervision/U5 reformation
Cardenas vs OPCO	2016	FINRA	13-02086	Cardenas	Settled	Suitability/Supervision/Churning
Durschlag v Wedbush	2016	FINRA	NA	Durschlag	Settled	Suitability/Supervision/Churning
Casillas et al v Royal Alliance	2016	FINRA	15-00910	Casillas	Testified	Suitability/Supervision/Concentration
Klyce v Morgan Stanley	2016	FINRA	NA	Klyce	In Process	Employment/Defamation
Brown v. Met Life	2016	FINRA	15-02970	Brown	In Process	Annuities/Concentration/Supervision
Isenberg v. Schwartz	2016	Court	NA	Isenberg	Testified	Suitability/RIA/Reg D/Fiduciary/Prudent
Mirling vs. Fifth Third Bank	2017	FINRA	16-00724	Mirling	Testified	Suitability/Supervision/Fiduciary
Bender vs. National Securities Corp.	2017	FINRA	16-01955	Bender	In Process	Suitability/Supervision
Forte Capital (NSC) v. Laidlaw	2017	FINRA	NA	Forte	In Process	Employment/Raiding
Levine v. American Capital	2017	FINRA	NA	Levine	In Process	Suitability/Supervision

McNeil v. UBS	2017	FINRA	16-00877	McNeil	Settled	Annuity/Aministrative/Fiduciary Failure
Arnold v. UBS	2017	FINRA	16-02392	Arnold	In Process	Employment/Wistleblower
Fuchs v. JP Morgan	2017	FINRA	16-01076	Fuchs	Testified	Fiduciary/suitability/supervision/option trading
Rouillier v. Garrett and Securities America	2017	FINRA	16-02538	Rouillier	In Process	Employment
Linick v. MSSB	2017	FINRA	16-02747	Linick	Testified	Churning, Suitability, Supervision
Offinga v. Cetera, First Allied, James Hayne	2017	FINRA	16-03364	Offinga	Settled	Suitability, Supervision
Lesser v. Kestra	2017	FINRA	17-01220	Lessere	In Process	REIT, Suitability, Supervision
Langston v. Morgan Stanley	2017	FINRA	16-02879	Langston	Settled	Suitability, Supervision, Fiduciary/Prudent
Gonzalez v. LPL	2017	FINRA	17-00904	Gonzalez	In Process	Suitability, Supervision, Reg D
SEC	2017	SEC	NA	SEC	In Process	Insider Trading

**Retained in 181cases/Testified in 63 Cases**

12/10/2017 5:34