


				Code	V	(A)	(D)	Date Exercisable	Expiration Date	Title	Amount or Number of Shares			
Stock Option (Right to Buy)	\$ 1.73	02/14/2020		D			20,000	09/19/2012	09/19/2021	Common Stock	20,000	\$ 1.77 (8)	0	D
Stock Option (Right to Buy)	\$ 1.79	02/14/2020		D			20,000	11/10/2012	11/10/2021	Common Stock	20,000	\$ 1.71 (8)	0	D
Stock Option (Right to Buy)	\$ 1.32	02/14/2020		D			50,000	09/28/2013	09/28/2022	Common Stock	50,000	\$ 2.18 (8)	0	D
Stock Option (Right to Buy)	\$ 1.46	02/14/2020		D			50,000	05/09/2014	05/09/2023	Common Stock	50,000	\$ 2.04 (8)	0	D
Stock Option (Right to Buy)	\$ 3.01	02/14/2020		D			50,000	06/25/2015	06/25/2024	Common Stock	50,000	\$ 0.49 (8)	0	D
Stock Option (Right to Buy)	\$ 3.38	02/14/2020		D			50,000	05/18/2016	05/18/2025	Common Stock	50,000	\$ 0.12 (8)	0	D
Stock Option (Right to Buy)	\$ 2.4	02/14/2020		D			50,000	05/18/2017	05/18/2026	Common Stock	50,000	\$ 1.1 (8)	0	D

Reporting Owners

Reporting Owner Name / Address	Relationships			
	Director	10% Owner	Officer	Other
Simkin Jacqueline M 4400 BISCAYNE BLVD., SUITE 514 MIAMI, FL 33137				Former Director

Signatures

/s/ Jacqueline M. Simkin	02/14/2020
	Date

Explanation of Responses:

* If the form is filed by more than one reporting person, see Instruction 4(b)(v).

** Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).

- (1) The 8.00% Series A Cumulative Redeemable Preferred Stock is convertible into common stock at a non-fixed conversion rate in connection with a change of control as described in the issuer's Current Report on Form 8-K, filed with the Securities and Exchange Commission on May 24, 2013.
- (2) The reporting person is the trustee of the above-listed trust.
- (3) Reflects restricted shares of common stock issued pursuant to the issuer's Amended and Restated 2009 Incentive Compensation Plan. Includes the transfer of 30,000 shares previously held directly by the reporting person to The Jacqueline Simkin Revocable Trust as Amended & Restated 12/16/03.
Disposed of in connection with the Agreement and Plan of Merger dated as of November 11, 2019, pursuant to which Ladenburg Thalmann Financial Services Inc. ("Ladenburg") would merge with a subsidiary of Advisor Group Holdings, Inc. (the "Merger"). Pursuant to the Merger, each issued and outstanding share of Ladenburg common stock was converted into the
- (4) right to receive cash in the amount of \$3.50 per share (the "Per Share Merger Consideration") and each restricted share of common stock became vested at the effective time of the Merger and was converted into the right to receive an amount of cash equal to the product of (i) the number of restricted shares of common stock and (ii) the Per Share Merger Consideration. As a result of the Merger, the reporting person no longer beneficially owns, directly or indirectly, any shares of Ladenburg common stock. Figure above does not include any deduction for taxes.
- (5) Includes the transfer of 30,000 shares previously held directly by the reporting person to The Jacqueline Simkin Revocable Trust as Amended & Restated 12/16/03.
- (6) Disposed of in connection with the Merger.
- (7) The reporting person is a co-trustee of the above-listed trust and disclaims beneficial ownership except to the extent of her pecuniary interest therein. This report shall not be deemed an admission that the reporting person is the beneficial owner of such securities for Section 16 or any other purpose.
- (8) This option was cancelled in the Merger and converted into the right to receive an amount in cash equal to the product of (i) the number of shares of common stock subject to such option and (ii) the excess, if any, of the Per Share Merger Consideration over the exercise price per share of the option. Figure above does not include any deduction for taxes.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *see* Instruction 6 for procedure.

Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.