



IAPD Report

DIRK ALLEN TAYLOR

CRD# 1008197

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Information	9

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
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

DIRK ALLEN TAYLOR (CRD# 1008197)

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 **04/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **27** 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	WELLS FARGO INVESTMENTS, LLC	10582	SAN ANTONIO, TX	05/02/2007 - 01/03/2011
IA	WELLS FARGO INVESTMENTS, LLC	10582	SAN ANTONIO, TX	05/02/2007 - 01/03/2011
B	UBS FINANCIAL SERVICES INC.	8174	SAN ANTONIO, TX	09/26/2005 - 04/23/2007

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	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 **27** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**
Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205
Firm ID#: 19616

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B FINRA	General Securities Representative	Approved	01/03/2011
B FINRA	General Securities Sales Supervisor	Approved	01/03/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	01/03/2011
B New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Alabama	Agent	Approved	04/16/2026
B Arizona	Agent	Approved	12/08/2022



Qualifications

Regulator	Registration	Status	Date
B Arkansas	Agent	Approved	12/08/2020
B California	Agent	Approved	11/02/2018
B Colorado	Agent	Approved	06/30/2014
B Florida	Agent	Approved	11/13/2017
B Hawaii	Agent	Approved	09/13/2024
B Illinois	Agent	Approved	08/22/2022
B Indiana	Agent	Approved	03/06/2024
B Kansas	Agent	Approved	12/23/2019
B Louisiana	Agent	Approved	01/03/2011
B Maryland	Agent	Approved	04/22/2026
B Minnesota	Agent	Approved	01/25/2019
B Mississippi	Agent	Approved	10/11/2018
B Missouri	Agent	Approved	06/21/2021
B Montana	Agent	Approved	04/11/2018
B Nevada	Agent	Approved	11/26/2025
B New Mexico	Agent	Approved	10/18/2013
B North Carolina	Agent	Approved	08/12/2021
B Ohio	Agent	Approved	05/17/2019
B Puerto Rico	Agent	Approved	05/27/2026



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	02/07/2020
B Texas	Agent	Approved	01/03/2011
IA Texas	Investment Adviser Representative	Approved	01/03/2011
B Virginia	Agent	Approved	08/09/2013
B Washington	Agent	Approved	07/09/2021
B West Virginia	Agent	Approved	10/23/2019
B Wisconsin	Agent	Approved	09/03/2025

Branch Office Locations

WELLS FARGO ADVISORS
222 SIDNEY BAKER ST S
KERRVILLE, TX 78028






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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/06/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	02/12/1988
 General Securities Representative Examination (S7)	Series 7	04/17/1982
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/07/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	12/20/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1982



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	05/02/2007 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN ANTONIO, TX
IA	05/02/2007 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN ANTONIO, TX
B	09/26/2005 - 04/23/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN ANTONIO, TX
IA	09/26/2005 - 04/23/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN ANTONIO, TX
B	03/02/1998 - 10/06/2005	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
IA	03/02/1998 - 10/06/2005	RBC DAIN RAUSCHER INC.	CRD# 31194	SAN ANTONIO, TX
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	03/31/1997 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	05/27/1994 - 04/14/1997	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/30/1990 - 06/08/1994	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	04/11/1988 - 05/16/1990	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	05/23/1983 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	04/29/1982 - 05/16/1983	FIELDER & ASSOCIATES, INC.	CRD# 8638	
B	12/18/1981 - 09/17/1982	AUL EQUITY SALES CORP.	CRD# 4173	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	CIBOLO, TX, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2008 - Present	TEXAS ASSOCIATION OF SPORTS OFFICIALS	HIGH SCHOOL BASKETBALL REFEREE	N	SAN ANTONIO, TX, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	CIBOLO, TX, 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.

RENTAL PROPERTY, INVT RELATED, SEGUIN, TX, 100% OWNERSHIP, START DATE 12/15/2021, 10 HRS PER MONTH, 0 HRS DURING TRADING, OWNER.
EXECUTOR FOR BROTHER'S ESTATE; INV. RELATED; SAN ANTONIO, TX; START DATE 3/2022; 15 HRS PER MONTH; 0 HRS DURING TRADING.



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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/27/2009
Docket/Case Number:	2007009446801
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Other: CLOSED-END MUTUAL FUND
Allegations:	SEC RULE 15C2-8, NASD RULES 2110 AND 3110: RESPONDENT DIRK A. TAYLOR FAILED TO DELIVER PRELIMINARY PROSPECTUSES TO CUSTOMERS OF HIS MEMBER FIRM. TAYLOR ALSO MADE FALSE STATEMENTS TO HIS MEMBER FIRM REPRESENTING THAT PRELIMINARY PROSPECTUSES HAD BEEN DELIVERED TO CUSTOMERS WHO PURCHASED SHARES OF A SYNDICATE OFFERING IN ACCORDANCE WITH FIRM POLICY, WHEN, IN FACT, THEY HAD NOT BEEN DELIVERED. TAYLOR CAUSED INCORRECT MATERIAL INFORMATION TO BE INCLUDED IN SYNDICATE WORKSHEETS AND THEREFORE CAUSED HIS MEMBER FIRM TO MAINTAIN AND PRESERVE INACCURATE BOOKS AND RECORDS.
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	06/15/2010



Appeal Limitation Details:

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: 09/07/2011

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

AMENDED HEARING PANEL DECISION RENDERED MAY 21, 2010 WHEREIN TAYLOR IS FINED \$5,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 60 DAYS AND ORDERED TO PAY \$5,858.90 IN COSTS. (DECISION AMENDED TO CORRECT SUSPENSION DATES.) THE FINES AND COSTS SHALL BECOME DUE AND PAYABLE WHEN TAYLOR RETURNS TO THE INDUSTRY. APPEALED TO THE NAC ON JUNE 15, 2010. NAC DECISION RENDERED AUGUST 5, 2011 WHEREIN THE HEARING PANEL'S FINDINGS AND SANCTIONS IMPOSED ARE MODIFIED. THE NAC DISMISSES THE FINDINGS THAT TAYLOR FAILED TO DELIVER PRELIMINARY PROSPECTUSES, IN VIOLATION OF EXCHANGE ACT RULE 15C2-8 AND NASD RULE 2110, AND ELIMINATES THE 60 DAY SUSPENSION AND \$5,858.90 IN COSTS IMPOSED BY THE HEARING PANEL. THE NAC AFFIRMS THE HEARING PANEL'S FINDINGS THAT TAYLOR MADE MISREPRESENTATIONS TO HIS FIRM IN VIOLATION OF NASD RULE 2110 AND THAT HE CAUSED HIS FIRM TO MAINTAIN INACCURATE BOOKS AND RECORDS IN VIOLATION OF NASD RULES 3110 AND 2110. THE NAC IMPOSES A FINE OF \$5,000. THE DECISION IS FINAL SEPTEMBER 7, 2011.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA



Sanction(s) Sought:	Other: N/A
Date Initiated:	03/27/2009
Docket/Case Number:	2007009446801
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES, INC.
Product Type:	Equity-OTC Other: CLOSED END MUTUAL FUND
Allegations:	SEC RULE 15C2-8, NASD RULES 2110 AND 3110: RESPONDENT DIRK A. TAYLOR FAILED TO DELIVER PRELIMINARY PROSPECTUSES TO CUSTOMERS OF HIS MEMBER FIRM. TAYLOR ALSO MADE FALSE STATEMENTS TO HIS MEMBER FIRM REPRESENTING THAT PRELIMINARY PROSPECTUSES HAD BEEN DELIVERED TO CUSTOMERS WHO PURCHASED SHARES OF A SYNDICATE OFFERING IN ACCORDANCE WITH FIRM POLICY, WHEN, IN FACT, THEY HAD NOT BEEN DELIVERED. TAYLOR CAUSED INCORRECT MATERIAL INFORMATION TO BE INCLUDED IN SYNDICATE WORKSHEETS AND THEREFORE CAUSED HIS MEMBER FIRM TO MAINTAIN AND PRESERVE INACCURATE BOOKS AND RECORDS.
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	06/15/2010
Appeal Limitation Details:	
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:	09/07/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	AMENDED HEARING PANEL DECISION RENDERED MAY 21, 2010 WHEREIN TAYLOR IS FINED \$5,000, SUSPENDED FROM ASSOCIATION WITH ANY



FINRA MEMBER IN ANY CAPACITY FOR 60 DAYS AND ORDERED TO PAY \$5,858.90 IN COSTS. (DECISION AMENDED TO CORRECT SUSPENSION DATES.) THE FINES AND COSTS SHALL BECOME DUE AND PAYABLE WHEN TAYLOR RETURNS TO THE INDUSTRY. APPEALED TO THE NAC ON JUNE 15, 2010. NAC DECISION RENDERED AUGUST 5, 2011 WHEREIN THE HEARING PANEL'S FINDINGS AND SANCTIONS IMPOSED ARE MODIFIED. THE NAC DISMISSES THE FINDINGS THAT TAYLOR FAILED TO DELIVER PRELIMINARY PROSPECTUSES, IN VIOLATION OF EXCHANGE ACT RULE 15C2-8 AND NASD RULE 2110, AND ELIMINATES THE 60 DAY SUSPENSION AND \$5,858.90 IN COSTS IMPOSED BY THE HEARING PANEL. THE NAC AFFIRMS THE HEARING PANEL'S FINDINGS THAT TAYLOR MADE MISREPRESENTATIONS TO HIS FIRM IN VIOLATION OF NASD RULE 2110 AND THAT HE CAUSED HIS FIRM TO MAINTAIN INACCURATE BOOKS AND RECORDS IN VIOLATION OF NASD RULES 3110 AND 2110. THE NAC IMPOSES A FINE OF \$5,000. THE DECISION IS FINAL SEPTEMBER 7, 2011.



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:	UBS FINANCIAL SERVICES
Termination Type:	Permitted to Resign
Termination Date:	03/08/2007
Allegations:	FA VIOLATED FIRM POLICY BY FAILING TO PROVIDE ACCURATE INFORMATION ON A PROSPECTUS LOG.
Product Type:	Equity - OTC
Other Product Types:	
Broker Statement	FC SOUGHT DIRECTION FROM BRANCH SYNDICATE COORDINATOR, AND BRANCH MANAGER, FOR A CLOSED END FUND TRANSACTION. FC RECEIVED CONFLICTING INFORMATION. BRANCH MANAGER HAD FINAL APPROVAL ON TICKETS ENTERED. ALL DOCUMENTS SUBMITTED OR SIGNED BY FC WERE AT THE DIRECTION OF THE BRANCH MANAGER. SUBSEQUENTLY, BRANCH MANAGER ASKED FC TO RESIGN DESPITE MANAGERS DIRECT INVOLVEMENT IN AND APPROVAL OF TRANSACTION.



End of Report

This page is intentionally left blank.