IAPD Report

JOHN JAY MARVIN

CRD# 1313737

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

JOHN JAY MARVIN (CRD# 1313737)

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 **05/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	02/10/2026
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	02/10/2026

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **43** 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	UBS FINANCIAL SERVICES INC.	8174	PALM BEACH GARDENS, FL	02/08/2007 - 02/19/2026
IA	UBS FINANCIAL SERVICES INC.	8174	PALM BEACH GARDENS, FL	02/08/2007 - 02/19/2026
IA	MORGAN STANLEY	7556	PALM BEACH, FL	08/01/2002 - 02/12/2007

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
Customer Dispute	3

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 **43** jurisdiction(s) and 11 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 BZX Exchange, Inc.	General Securities Representative	Approved	02/10/2026
B	Cboe Exchange, Inc.	General Securities Representative	Approved	02/10/2026
B	FINRA	General Securities Representative	Approved	02/10/2026
B	NYSE American LLC	General Securities Representative	Approved	02/10/2026
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/10/2026
B	NYSE Texas, Inc.	General Securities Representative	Approved	02/10/2026
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	02/10/2026
B	Nasdaq ISE, LLC	General Securities Representative	Approved	02/10/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	02/10/2026
B	Nasdaq Stock Market	General Securities Representative	Approved	02/10/2026
B	New York Stock Exchange	General Securities Representative	Approved	02/10/2026
B	Alabama	Agent	Approved	02/19/2026
B	Alaska	Agent	Approved	02/10/2026

Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	02/10/2026
B	Arkansas	Agent	Approved	02/10/2026
B	California	Agent	Approved	02/10/2026
B	Colorado	Agent	Approved	02/10/2026
B	Connecticut	Agent	Approved	02/10/2026
B	Delaware	Agent	Approved	02/12/2026
B	District of Columbia	Agent	Approved	02/10/2026
B	Florida	Agent	Approved	02/10/2026
IA	Florida	Investment Adviser Representative	Approved	02/11/2026
B	Georgia	Agent	Approved	02/10/2026
B	Idaho	Agent	Approved	02/10/2026
B	Illinois	Agent	Approved	02/18/2026
B	Indiana	Agent	Approved	02/10/2026
B	Kansas	Agent	Approved	02/10/2026
B	Kentucky	Agent	Approved	02/10/2026
B	Louisiana	Agent	Approved	02/10/2026
B	Maine	Agent	Approved	02/10/2026
B	Maryland	Agent	Approved	03/25/2026
B	Massachusetts	Agent	Approved	04/03/2026

User Guidance

www.adviserinfo.sec.gov

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	02/10/2026
B	Minnesota	Agent	Approved	02/10/2026
B	Montana	Agent	Approved	02/10/2026
B	Nebraska	Agent	Approved	02/10/2026
B	Nevada	Agent	Approved	02/10/2026
B	New Hampshire	Agent	Approved	03/03/2026
B	New Jersey	Agent	Approved	02/18/2026
B	New Mexico	Agent	Approved	02/10/2026
B	New York	Agent	Approved	02/10/2026
B	North Carolina	Agent	Approved	02/10/2026
B	Ohio	Agent	Approved	02/10/2026
B	Pennsylvania	Agent	Approved	02/10/2026
B	Puerto Rico	Agent	Approved	06/04/2026
B	Rhode Island	Agent	Approved	02/10/2026
B	South Carolina	Agent	Approved	02/17/2026
B	Tennessee	Agent	Approved	02/12/2026
B	Texas	Agent	Approved	02/10/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2026

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	02/10/2026
B	Vermont	Agent	Approved	02/10/2026
B	Virginia	Agent	Approved	02/10/2026
B	Washington	Agent	Approved	02/10/2026
B	Wisconsin	Agent	Approved	02/10/2026
B	Wyoming	Agent	Approved	02/11/2026

Branch Office Locations

WELLS FARGO ADVISORS
1044 N US HIGHWAY 1 STE 101
JUPITER, FL 33477

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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	02/08/2007 - 02/19/2026	UBS FINANCIAL SERVICES INC.	CRD# 8174	PALM BEACH GARDEN:
IA	02/08/2007 - 02/19/2026	UBS FINANCIAL SERVICES INC.	CRD# 8174	PALM BEACH GARDEN:
IA	08/01/2002 - 02/12/2007	MORGAN STANLEY	CRD# 7556	PALM BEACH, FL
B	03/31/1999 - 02/12/2007	MORGAN STANLEY DW INC.	CRD# 7556	PALM BEACH, FL
B	03/27/1992 - 03/23/1999	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/01/1988 - 03/20/1992	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	08/04/1986 - 03/08/1988	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	02/11/1986 - 08/06/1986	ROSENKRANTZ LYON & ROSS INCORPORATED	CRD# 3227	
B	07/23/1985 - 08/19/1985	F.D. ROBERTS SECURITIES, INC.	CRD# 693	

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
02/2026 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PALM BEACH, FL, United States
02/2007 - 02/2026	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	PALM BEACH GARDENS, FL, 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.

Jersey Boy, LLC, Los Suenos, Playa Herradura Costa Rica, Real Estate, Owning investment property and renting investment property for income, Partner, start date-5/6/2022, Investment related-Yes.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

RENTAL PROPERTY - LOS SUENOS; INV RELATED;PUNTERANAS,-; RENT;100% OWNERSHIP; START DATE: 02/01/2021; 1 HRS PER MONTH; 0 HRS DURING TRADING;

POWER OF ATTORNEY FOR MOTHER; INV RELATED;JUPITER,FL; POA;   START DATE: 03/17/2026; 2 HRS PER MONTH; 2 HRS DURING TRADING;
RENTAL PROPERTY - MOTCIELO ; INV RELATED;HERRUADA,-; RENTAL/INVESTMENT PROPERTY;100% OWNERSHIP; START DATE: 03/20/2026; 1 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
Customer Dispute	3

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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other: n/a
Date Initiated:	07/20/2020
Docket/Case Number:	3-19885
Employing firm when activity occurred which led to the regulatory action:	UBS Financial Services Inc.
Product Type:	Debt-Municipal
Allegations:	The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Sections 15(b) and 15B(c) of the Securities Exchange Act of 1934 ("Exchange Act") and Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act") against John J. Marvin ("Respondent"). The Commission finds that this matter involves negligent conduct by John J. Marvin ("Marvin"), a registered representative with UBS Financial Services Inc. ("UBS"). In 2015 and 2016, Marvin placed orders during retail order periods for new issue municipal bonds with UBS's syndicate desk on behalf of a customer. The customer was an unregistered broker engaged in the business of buying and immediately reselling, or "flipping," new issue municipal bonds. Municipal issuers hold retail order periods to prioritize the sale of bonds to retail investors, and often require that the customer's zip code be included in the order to denote that the customer resides in the issuer's jurisdiction and is entitled to retail priority. Marvin negligently submitted some of his flipper customer's orders with inaccurate zip

	codes during retail order periods. As a result of the conduct described herein, Marvin violated Rules G-11(k) and G-17 of the Municipal Securities Rulemaking Board ("MSRB").
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/20/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines Other: Limitations on activities: Marvin shall not offer, purchase, or sell negotiated new issue municipal securities on behalf of (1) any broker, dealer, investment adviser, or municipal securities dealer, or (2) any customer or client of any broker, dealer, investment adviser, or municipal securities dealer, for twelve months, commencing immediately upon the entry of this Order.
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?	Yes
(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?	Yes

(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	No
(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?	No
Monetary Sanction 1 of 3	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$25,000.00
Portion Levied against individual:	$25,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 3	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$4,145.00
Portion Levied against individual:	$4,145.00

Payment Plan:	Prejudgment Interest on Disgorgement
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 3 of 3	
Monetary Related Sanction:	Disgorgement
Total Amount:	$23,821.00
Portion Levied against individual:	$23,821.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Marvin has submitted an Offer of Settlement, which the Commission has determined to accept. Marvin willfully violated Rules G-11(k) and G-17 of the Municipal Securities Rulemaking Board ("MSRB"). Accordingly, it is hereby ORDERED that Marvin be, and hereby is, subject to the following limitations on his activities for twelve months, commencing immediately upon the entry of this Order: Marvin shall not offer, purchase, or sell negotiated new issue municipal securities on behalf of (1) any broker, dealer, investment adviser, or municipal securities dealer, or (2) any customer or client of any broker, dealer, investment adviser, or municipal securities dealer, for the time period specified above. Marvin shall pay disgorgement of $23,821, prejudgment interest of $4,145, and a civil money penalty of $25,000 to the Commission.

Reporting Source:	Individual
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Other: Limitation on activities.
Date Initiated:	07/20/2020
Docket/Case Number:	3-19885
Employing firm when activity occurred which led to the regulatory action:	UBS Financial Services Inc.
Product Type:	Debt-Municipal
Allegations:	On July 20, 2020, the Securities and Exchange Commission ("SEC") issued an administrative order against John Jay Marvin relating to certain orders for negotiated new issue municipal bonds in 2015 and 2016 ("Order"). Specifically,

	the Order found that Mr. Marvin negligently submitted some orders of one ineligible customer with inaccurate zip codes during retail order periods that municipal issuers hold to prioritize the sale of bonds to retail investors. The SEC found that this conduct violated MSRB Rule G-17 and Rule G-11(k). Mr. Marvin neither admitted nor denied the findings in the Order.
Current Status:	Final
Resolution:	Settled
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	07/20/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Other: 12-month limitation on negotiated new issue municipal bond activities.
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$25,000.00
Portion Levied against individual:	$25,000.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	07/27/2020
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Disgorgement
Total Amount:	$27,966.00
Portion Levied against individual:	$27,966.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	07/27/2020
Was any portion of penalty waived?	No
Amount Waived:	

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	CUSTOMER ALLEGES FINANCIAL ADVISOR MADE UNSUITABLE INVESTMENTS IN HIS ACCOUNT FROM 1999 TO PRESENT. DAMAGES OF $25,000 - $30,000.
Product Type:	Other
Other Product Type(s):	EQUITIES AND BONDS
Alleged Damages:	$30,000.00

Customer Complaint Information

Date Complaint Received:	09/02/2005
Complaint Pending?	No
Status:	Denied
Status Date:	09/30/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	PLEASE ARCHIVE

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY DW INC.
Allegations:	ON MARCH 24, 2004, THE CUSTOMER WROTE A LETTER COMPLAINT ALLEGING THAT MR. MARVIN (1) IMPROPERLY RECOMMENDED MUTUAL FUND B SHARES WHEN A SHARES WOULD HAVE BEEN MORE APPROPRIATE; (2) MISREPRESENTED THE FEES THAT THE CUSTOMER WOULD BE CHARGED BY PROFESSIONAL MONEY MANAGERS IN THE CUSTOMER'S SEPARATELY MANAGED ACCOUNTS; AND (3)DID NOT HAVE A FACTUAL BASIS FOR HIS RECOMMENDATION THAT THE CUSTOMER CONTINUE WITH A CERTAIN MONEY MANAGER; AND (4) MADE UNAUTHORIZED PURCHASED OF CERTAIN BONDS. DAMAGES NOT SPECIFIED BUT BELIEVE TO BE IN EXCESS OF $5,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received: 03/26/2004

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINE WEBBER INC.

Allegations: 8/27/90 [CUSTOMER] ALLEGED UNAUTHORIZED
SALE OF BONDS, ALLEGES LOSS OF $28,000. AFTER REVIEW CLIENT RETRACTS ALLEGATIONS OF UNAUTHORIZED TRADING & LOSSES TO ACCT.
ACCOUNT SHOWED PROFIT OF $11,000

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/13/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NEW YORK STOCK EXCHANGE

Date Notice/Process Served: 05/09/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/13/1991

Monetary Compensation Amount: $10,000.00

Individual Contribution Amount:

Broker Statement 2/13/91 SETTLED MATTER BUYING REPURCHASING
$10,000 GEODYM INVESTMENT SHOW SHE COULD TRANSFER ACCOUNT OUT.
CLIENT THOUGHT SHE LOST MONEY BUT DIDN'T.
RETRACTED FALSE ACCUSATIONS AGAINST BROKER. BOUGHT GEODYM

INVESTMENT SHOW SHE COULD TRANSFER ACCOUNT OUT.

End of Report

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