IAPD Report

JOHN VINCENT GOODMAN

CRD# 1386009

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

JOHN VINCENT GOODMAN (CRD# 1386009)

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 **06/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WEDBUSH SECURITIES INC.	CRD# 877	09/03/2025
IA	WEDBUSH SECURITIES INC.	CRD# 877	09/03/2025

QUALIFICATIONS

This representative is currently registered in **24** SRO(s) and **30** 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
IA	MCDONALD PARTNERS LLC	135414	CLEVELAND, OH	12/14/2012 - 09/04/2025
B	MCDONALD PARTNERS LLC	135414	CLEVELAND, OH	12/06/2012 - 09/04/2025
IA	WELLS FARGO ADVISORS, LLC	19616	CLEVELAND, OH	05/15/2003 - 01/03/2013

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
Customer Dispute	6
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 **30** jurisdiction(s) and 24 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEDBUSH SECURITIES INC.**

Main Address: ATTN: COMPLIANCE DEPT.
225 S. LAKE AVE PENTHOUSE
PASADENA, CA 91101

Firm ID#: 877

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	09/03/2025
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/03/2025
B	FINRA	General Securities Representative	Approved	09/03/2025
B	Investors' Exchange LLC	General Securities Representative	Approved	09/03/2025
B	MEMX LLC	General Securities Representative	Approved	09/03/2025
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/03/2025
B	MIAX Sapphire	General Securities Representative	Approved	09/03/2025
B	Miami International Securities Exchange, LLC	General Securities Representative	Approved	09/03/2025

Qualifications

	Regulator	Registration	Status	Date
B	NYSE American LLC	General Securities Representative	Approved	09/03/2025
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/03/2025
B	NYSE National, Inc.	General Securities Representative	Approved	09/03/2025
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/03/2025
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/03/2025
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/03/2025
B	Nasdaq MRX, LLC	General Securities Representative	Approved	09/03/2025
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/03/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	09/03/2025
B	Nasdaq Texas, LLC	General Securities Representative	Approved	09/03/2025
B	New York Stock Exchange	General Securities Representative	Approved	09/03/2025
B	Alabama	Agent	Approved	09/11/2025
B	Arizona	Agent	Approved	09/03/2025
IA	California	Investment Adviser Representative	Approved	09/03/2025
B	California	Agent	Approved	10/01/2025
B	Colorado	Agent	Approved	09/03/2025
B	Connecticut	Agent	Approved	09/03/2025
B	Delaware	Agent	Approved	10/01/2025
B	District of Columbia	Agent	Approved	09/03/2025

Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	10/06/2025
B	Illinois	Agent	Approved	10/21/2025
B	Indiana	Agent	Approved	09/22/2025
B	Kentucky	Agent	Approved	09/11/2025
B	Maryland	Agent	Approved	09/11/2025
B	Michigan	Agent	Approved	09/03/2025
B	Minnesota	Agent	Approved	09/10/2025
B	Mississippi	Agent	Approved	09/09/2025
B	Montana	Agent	Approved	09/03/2025
B	Nevada	Agent	Approved	09/11/2025
B	New Jersey	Agent	Approved	09/03/2025
B	New York	Agent	Approved	09/03/2025
B	North Carolina	Agent	Approved	09/11/2025
B	Ohio	Agent	Approved	09/03/2025
IA	Ohio	Investment Adviser Representative	Approved	09/03/2025
B	Oklahoma	Agent	Approved	09/04/2025
B	Oregon	Agent	Approved	09/03/2025
B	Pennsylvania	Agent	Approved	09/03/2025

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	09/17/2025
B	Tennessee	Agent	Approved	10/01/2025
B	Texas	Agent	Approved	09/03/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/03/2025
B	Vermont	Agent	Approved	09/03/2025
B	Virginia	Agent	Approved	09/03/2025
B	Washington	Agent	Approved	09/11/2025

Branch Office Locations

WEDBUSH SECURITIES INC.
1255 Euclid Ave, Suite 500
Cleveland, OH 44115

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	08/07/1985

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
IA	12/14/2012 - 09/04/2025	MCDONALD PARTNERS LLC	CRD# 135414	CLEVELAND, OH
B	12/06/2012 - 09/04/2025	MCDONALD PARTNERS LLC	CRD# 135414	CLEVELAND, OH
IA	05/15/2003 - 01/03/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	CLEVELAND, OH
B	08/23/2002 - 01/03/2013	WELLS FARGO ADVISORS, LLC	CRD# 19616	CLEVELAND, OH
B	10/10/2000 - 08/26/2002	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/01/1998 - 10/24/2000	SG COWEN SECURITIES CORPORATION	CRD# 7616	NEW YORK, NY
B	11/24/1987 - 07/01/1998	COWEN & CO.	CRD# 1541	NEW YORK, NY
B	07/24/1985 - 12/16/1987	E. F. HUTTON & COMPANY INC	CRD# 235	

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
09/2025 - Present	WEDBUSH SECURITIES	Independent Contractor RR	Y	CLEVELAND, OH, United States
12/2012 - 09/2025	MCDONALD PARTNERS LLC	REGISTERED REPRESENTATIVE	Y	CLEVELAND, OH, 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.

1) Goodman Wealth Advisors; Investment Related; Cleveland, OH; DBA for Wedbush Securities; IFON Financial Advisor; Start: 9/2025; Approx: 40 hours weekly, during business hours; Duties: DBA for Wedbush Securities business, offer securities and advisory services. -- 2) OrangeTree Properties LLC; Investment Related; Cleveland, OH; President/Manager; Start: 10/2003; Approx: 0-1 hours per month during business hours and the rest is after hours or weekends; Duties: Investment in equities and real estate, manage the entity. -- 3) SMG Real Estate Investment LTD; Investment Related; Cleveland, OH; Managing Director; Start: 6/2002; Approx: 0 during business hours, any work is after hours or weekends; Duties: Managing Director, real estate

Registration & Employment History

OTHER BUSINESS ACTIVITIES

management team is involved in day to day. -- 4) Sterling Realty Advisors; Investment Related; Cleveland, OH; Commercial Real Estate Company; President; Start: 1/2016; Approx: 2 hours monthly during business hours, rest after business hours or weekends; Duties: President. Overseeing calls with management team. -- 5) Sterling Linder Holdings; Investment Related; Cleveland, OH; Manager; Start: 1/2016; Approx: 1 hour monthly during business hours, rest weekend and after business hours; Duties: Real Estate management. -- 6) Stega Consultants; Not Investment Related; Cleveland, OH; Technology Consulting; Start: 1/2016; Approx: no time devoted; Duties: Technology consulting. -- 7) Playhouse Square; Not Investment Related; Cleveland, OH; Board Member; Start: 1/2015; Approx: 0 hours devoted during business hours; Duties: quarterly meetings before business hours. Playhouse square is the theater district in downtown Cleveland, Ohio where plays are held. -- 8) Greater Cleveland Film Commission; Not Investment Related; Cleveland, OH; Board Member Volunteer; Start: 1/2014; Approx: 0 hours devoted during business hours, all pre or after business hours and weekend; Duties: Volunteer Board Member. -- 9) Sterling Data Center LLC; Investment Related; Cleveland, OH; Data Center; Senior Managing Director; Start: 1/2004; Approx: 2 hours monthly, during business hours; Duties: Senior Managing director. Meet with management team for overview. -- 10) Goodman Wealth Advisors Finance Consultants; Investment Related; Cleveland, OH; President; Start: 1/2026; Approx: 0-2 hours monthly, during business hours; assist with commercial RE finance inquiry. -- 11) Goodman Wealth Advisors Direct Insurance; Investment Related; Cleveland, OH; DBA for Direct Insurance; President; Start: 1/2026; Approx: 2 hours months, 0-2 hours monthly, during business hours; Duties: President for Direct Insurance entity. -- 12) SMG Real Estate Holdings; Investment Related; Cleveland, OH; Holding Company; Managing Director; Start: 9/2005; Approx: no time is devoted; Duties: Real Estate holding management companies LLC. -- 13) Sterling Data Management LLC; Not Investment Related; Cleveland, OH; Holding Company; Managing Director; Start: 3/2004; Approx: no time is devoted; Duties: Managing Director; holding company. --

14) Multiple Real Estate management companies (2850 Presidential Drive LLC / Cleveland-Dayton Partners LLC / Village/Chagrin Partners LLC / Wright Executive Center Partners LLC) Investment Related; Cleveland, OH; President/Manager; Start: 1/2016; Approx: 0-1 hours per month during business hours and the rest is after hours or weekends; Duties: Real Estate management. ---

15) Multiple Real Estate management companies (MSG Golden Bamboo LLC / MRA-Fairlawn LLC) Investment Related; Cleveland, OH; President/Manager; Start: 8/2009 & 2/2023, respectively; Approx: 0-1 hours per month during business hours and the rest is after hours or weekends; Duties: Real Estate management.

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
Customer Dispute	6
Termination	1

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANTS ALLEGE INVESTMENTS PURCHASED IN OCTOBER 2004 WERE UNSUITABLE. CLAIMANTS REQUEST RELIEF OF APPROXIMATELY $580,000.
Product Type:	Equity-OTC
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS REQUEST RELIEF OF APPROXIMATELY $580,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03082
Filing date of arbitration/CFTC reparation or civil litigation:	08/31/2012

Customer Complaint Information

Date Complaint Received:	09/05/2012
Complaint Pending?	No
Status:	Settled
Status Date:	08/12/2013
Settlement Amount:	$227,500.00
Individual Contribution Amount:	$0.00
Firm Statement	WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER FOR $227,500.00 TO AVOID THE EXPENSE AND UNCERTAINTY OF FURTHER ARBITRATION AND LITIGATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANTS ALLEGE INVESTMENTS PURCHASED IN OCTOBER 2004 WERE UNSUITABLE. CLAIMANTS REQUEST RELIEF OF APPROXIMATELY $580,000.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS REQUEST RELIEF OF APPROXIMATELY $580,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03082
Filing date of arbitration/CFTC reparation or civil litigation:	08/31/2012

Customer Complaint Information

Date Complaint Received:	09/05/2012
Complaint Pending?	No
Status:	Settled
Status Date:	08/12/2013
Settlement Amount:	$227,500.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	OH CLIENT, ON BEHALF OF HIS WIFE, STATED THAT HIS ADVISOR FAILED TO OFFER A SOLUTION TO REDUCE THE "UNAUTHORIZED MARGIN BALANCE" IN HIS ACCOUNT; CLIENT STATED IN A FOLLOW-UP CONVERSATION THAT THE "UNAUTHORIZED MARGIN BALANCE" WAS DUE TO UNAUTHORIZED TRADES IN HIS WIFE'S ACCOUNT. DAMAGES WERE STATED VERBALLY AS $11,688 MARGIN INTEREST.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	07/28/2006
Complaint Pending?	No
Status:	Settled
Status Date:	01/07/2008
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED BY THE FIRM IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID COSTLY AND TIME CONSUMING FORMAL PROCEEDINGS, WITHOUT ADMITTING LIABILITY, IN THE AMOUNT OF $20,000. THE FA WAS NOT ASKED TO CONTRIBUTE TO THE COSTS OF THE SETTLEMENT.

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS AND SG COWEN
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, EXCESSIVE RISK AND FAILURE TO SUPERVISE.
Product Type:	Equity - OTC
Alleged Damages:	$73,500.00

Customer Complaint Information

Date Complaint Received:	01/02/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/02/2004
Settlement Amount:	
Individual Contribution	

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-08240
Date Notice/Process Served:	01/02/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/18/2005
Monetary Compensation Amount:	$30,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SG COWEN SECURITIES CORPORATION
Allegations:	CLAIMANT ALLEGES THAT BEGINING IN JUNE 1999, GOODMAN ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRADES AND PROVIDED FLASE INFORMATION ON ACCOUNT OPENING AND OTHER DOCUMENTS. CLAIMANT SEEKS $200,000.00 IN COMPENSATION AND UNSPECIFIED PUNITIVE DAMAGES.
Product Type:	Equity - OTC
Alleged Damages:	$200,000.00

Customer Complaint Information

Date Complaint Received:	12/29/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/29/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-08240
Date Notice/Process Served:	12/29/2003
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/13/2005
Monetary Compensation Amount:	$48,625.00
Individual Contribution	$0.00

Individual Contribution Amount:	$0.00
Firm Statement	N/A

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS AND SG COWEN
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, EXCESSIVE RISK AND FAILURE TO SUPERVISE.
Product Type:	Equity - OTC
Alleged Damages:	$73,500.00

Customer Complaint Information

Date Complaint Received:	01/02/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/02/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-08240
Date Notice/Process Served:	01/02/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/13/2005
Monetary Compensation Amount:	$48,625.00
Individual Contribution Amount:	$0.00

Disclosure 4 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS INC.
Allegations:	CLAIMANT ALLEGED THAT HIS PURCHASE OF TWO VARIABLE ANNUITY CONTRACTS FROM ALLSTATE LIFE INSURANCE COMPANY APPROXIMATELY 10 MONTHS AGO WAS THE RESULT OF AN IMPROPER SOLICITATION FROM HIS INVESTMENT REPRESENTATIVE. ALLEGED DAMAGES ARE UNSPECIFIED BUT ESTIMATED TO EXCEED MINIMUM FILING REQUIREMENTS.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/21/2003

Complaint Pending? No

Status: Denied

Status Date: 10/03/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS INC.

Allegations: CLAIMANT ALLEGED THAT HIS PURCHASE OF TWO VARIABLE ANNUITY CONTRACTS FROM ALLSTATE LIFE INSURANCE COMPANY APPROXIMATELY 10 MONTHS AGO WAS THE RESULT OF AN IMPROPER SOLICITATION FROM HIS INVESTMENT REPRESENTATIVE. ALLEGED DAMAGES ARE UNSPECIFIED BUT ESTIMATED TO EXCEED MINIMUM FILING REQUIREMENTS.

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 08/21/2003

Complaint Pending? No

Status: Denied

Status Date: 10/03/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS AND SG COWEN

Allegations: CLAIMANTS ALLEGE THAT GOODMAN ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRANSACTIONS AND FRONT RUNNING.

Product Type: Equity - OTC

Other Product Type(s): COMMON AND PREFERRED STOCKS

Alleged Damages: $2,843,430.00

Customer Complaint Information

Date Complaint Received:	07/09/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/10/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DR ARBITRATION NO. 03-04752
Date Notice/Process Served:	07/10/2003
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/16/2004
Monetary Compensation Amount:	$152,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SG COWEN SECURITIES CORPORATION
Allegations:	CLAIMANTS ALLEGE THAT GOODMAN ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRANSACTIONS AND FRONT RUNNING.
Product Type:	Equity - OTC
Other Product Type(s):	COMMON & PREFERRED STOCK
Alleged Damages:	$2,843,430.00

Customer Complaint Information

Date Complaint Received:	07/11/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/11/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DR ARBITRATION NO. 03-04752

Date Notice/Process Served: 07/11/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2004

Monetary Compensation Amount: $261,000.00

Individual Contribution Amount: $0.00

Firm Statement N/A

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LEHMAN BROTHERS AND SG COWEN

Allegations: CLAIMANT ALLEGES UNSUITABILITY AND NEGLIGENT ACCOUNT MANAGEMENT

Product Type: Equity - OTC

Alleged Damages: $2,843,430.00

Customer Complaint Information

Date Complaint Received: 07/09/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/11/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD DR ARBITRATION NO. 03-04752

Date Notice/Process Served: 07/11/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/08/2004

Monetary Compensation Amount: $261,000.00

Individual Contribution Amount: $0.00

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS INC.
Allegations:	CLAIMANT ALLEGES UNSUITABILITY, EXCESSIVE RISK, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND FAILURE TO SUPERVISE.
Product Type:	Equity - OTC
Alleged Damages:	$1,500,000.00

Customer Complaint Information

Date Complaint Received:	08/13/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/13/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 02-04196
Date Notice/Process Served:	08/13/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/13/2002
Monetary Compensation Amount:	$85,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SG COWEN SECURITIES CORP.
Allegations:	CLAIMANT ALLEGES THAT JOHN GOODMAN EXERCISED DE FACTO DISCRETION, ENGAGED IN UNSUITABLY AGGRESSIVE AND SPECULATIVE TRADING, MADE INVESTMENT DECISIONS TO GENERATE COMMISSIONS AND FAILED TO PROTECT CLAIMANT WHEN STOCKS SHOULD HAVE BEEN SOLD.
Product Type:	Equity - OTC
Alleged Damages:	$1,500,000.00

Customer Complaint Information

Date Complaint Received:	12/17/2002
Complaint Pending?	No
Status:	Settled

Status Date:	04/09/2004
Settlement Amount:	$135,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NO. 02-04196
Date Notice/Process Served:	12/17/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/09/2004
Monetary Compensation Amount:	$135,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SG COWEN SECURITIES CORP.
Allegations:	CLAIMANT ALLEGES THAT JOHN GOODMAN EXERCISED DE FACTO DISCRETION, ENGAGED IN UNSUITABLY AGGRESSIVE AND SPECULATIVE TRADING, MADE INVESTMENT DECISIONS TO GENERATE COMMISSIONS AND FAILED TO PROTECT CLAIMANT WHEN STOCKS SHOULD HAVE BEEN SOLD.
Product Type:	Equity - OTC
Alleged Damages:	$1,500,000.00

Customer Complaint Information

Date Complaint Received:	12/17/2002
Complaint Pending?	No
Status:	Settled
Status Date:	04/09/2004
Settlement Amount:	$135,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION NO. 02-04196
Date Notice/Process Served:	12/17/2002
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	04/09/2004
Monetary Compensation Amount:	$135,000.00
Individual Contribution Amount:	$0.00

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:	Firm
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Voluntary Resignation
Termination Date:	12/06/2012
Allegations:	Firm reviewed allegations from a client complaint alleging Goodman advised a client to invest in a private securities transaction. Goodman resigned during the review and no evidence identified by Firm of soliciting a private securities transaction.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	WELLS FARGO ADVISORS LLC
Termination Type:	Voluntary Resignation
Termination Date:	12/06/2012
Allegations:	ALLEGATIONS WERE MADE THAT ACCUSED MR. GOODMAN OF ADVISING AND SOLICITING CLIENTS TO INVEST IN OUTSIDE BUSINESS ACTIVITIES AFFILIATED WITH MR. GOODMAN
Product Type:	No Product
Broker Statement	THIS AN INTERNAL REVIEW BY WELLS FARGO ONLY. NO FINDINGS HAVE BEEN MADE. Status is closed.

End of Report

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