



IAPD Report

DANIEL ROBERT WROBLE

CRD# 1413861

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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

DANIEL ROBERT WROBLE (CRD# 1413861)

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 **10/31/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FEDERATED SECURITIES CORP.	CRD# 5009	12/03/2007
IA	FEDERATED INVESTMENT COUNSELING	CRD# 105325	01/29/2008
IA	FEDERATED SECURITIES CORP.	CRD# 5009	11/12/2009
IA	MDT ADVISERS, A DIVISION OF FEDERATED MDTA LLC	CRD# 109355	08/09/2010
IA	FEDERATED GLOBAL INVESTMENT MANAGEMENT CORP.	CRD# 106277	01/07/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	EVERGREEN INVESTMENT SERVICES, INC.	487	CHARLOTTE, NC	11/27/2002 - 11/07/2007
B	NATIONSBANC INVESTMENTS, INC.	16361	BOSTON, MA	04/23/1996 - 06/10/1999
B	NATIONSBANC INVESTMENTS, INC.	16361	BOSTON, MA	01/31/1996 - 06/10/1999

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



Report Summary

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	8



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 **52** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 4

Firm Name: **FEDERATED SECURITIES CORP.**

Main Address: 1001 LIBERTY AVENUE
PITTSBURGH, PA 15222-3779

Firm ID#: 5009

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	12/03/2007
	FINRA	General Securities Representative	Approved	12/03/2007
	Alabama	Agent	Approved	12/03/2007
	Alaska	Agent	Approved	12/03/2007
	Arizona	Agent	Approved	12/03/2007
	Arkansas	Agent	Approved	06/13/2013
	California	Agent	Approved	12/03/2007
	Colorado	Agent	Approved	12/13/2007
	Connecticut	Agent	Approved	12/03/2007
	Delaware	Agent	Approved	12/11/2007
	District of Columbia	Agent	Approved	12/03/2007
	Florida	Agent	Approved	12/06/2007
	Georgia	Agent	Approved	12/03/2007



Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	03/21/2016
B	Idaho	Agent	Approved	06/19/2013
B	Illinois	Agent	Approved	01/22/2008
IA	Illinois	Investment Adviser Representative	Approved	10/14/2022
B	Indiana	Agent	Approved	01/02/2008
B	Iowa	Agent	Approved	12/12/2007
B	Kansas	Agent	Approved	12/03/2007
B	Kentucky	Agent	Approved	12/03/2007
B	Louisiana	Agent	Approved	12/05/2007
B	Maine	Agent	Approved	12/14/2007
B	Maryland	Agent	Approved	12/03/2007
B	Massachusetts	Agent	Approved	12/11/2007
B	Michigan	Agent	Approved	12/12/2007
B	Minnesota	Agent	Approved	12/03/2007
B	Mississippi	Agent	Approved	12/03/2007
B	Missouri	Agent	Approved	12/04/2007
B	Montana	Agent	Approved	01/16/2008
B	Nebraska	Agent	Restricted Approval	03/06/2008



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	12/03/2007
B	New Hampshire	Agent	Approved	05/16/2008
B	New Jersey	Agent	Approved	12/03/2007
B	New Mexico	Agent	Approved	12/03/2007
B	New York	Agent	Approved	02/07/2008
IA	New York	Investment Adviser Representative	Approved	08/05/2021
B	North Carolina	Agent	Approved	12/03/2007
B	North Dakota	Agent	Approved	12/13/2007
B	Ohio	Agent	Approved	02/12/2010
B	Oklahoma	Agent	Approved	01/15/2008
B	Oregon	Agent	Approved	01/02/2008
B	Pennsylvania	Agent	Approved	12/03/2007
IA	Pennsylvania	Investment Adviser Representative	Approved	11/12/2009
B	Puerto Rico	Agent	Approved	12/03/2007
B	Rhode Island	Agent	Approved	12/03/2007
B	South Carolina	Agent	Approved	12/06/2007
B	South Dakota	Agent	Approved	12/03/2007
B	Tennessee	Agent	Approved	09/06/2011
B	Texas	Agent	Approved	12/14/2007



Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	02/19/2010
B	Utah	Agent	Approved	12/03/2007
B	Vermont	Agent	Approved	02/03/2010
B	Virginia	Agent	Approved	12/18/2007
B	Washington	Agent	Approved	12/03/2007
B	West Virginia	Agent	Approved	12/03/2007
B	Wisconsin	Agent	Approved	12/03/2007
B	Wyoming	Agent	Approved	12/03/2007

Branch Office Locations

FEDERATED SECURITIES CORP.
CHARLOTTE, NC

FEDERATED SECURITIES CORP.
S. Darmouth, MA

Employment 2 of 4

Firm Name: **FEDERATED INVESTMENT COUNSELING**
Main Address: 1001 LIBERTY AVENUE
PITTSBURGH, PA 15222-3779
Firm ID#: 105325

	Regulator	Registration	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	10/14/2022
IA	New York	Investment Adviser Representative	Approved	08/05/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	01/30/2008
IA	Puerto Rico	Investment Adviser Representative	Approved	02/01/2008
IA	Texas	Investment Adviser Representative	Restricted	01/29/2008



Qualifications

Regulator	Registration	Status	Date
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Approval

Branch Office Locations

FEDERATED INVESTMENT COUNSELING

Charlotte, NC

FEDERATED INVESTMENT COUNSELING

S. Darmouth, MA

Employment 3 of 4

Firm Name: **FEDERATED GLOBAL INVESTMENT MANAGEMENT CORP.**

Main Address: 101 PARK AVENUE
SUITE 4100
NEW YORK, NY 10178-0002

Firm ID#: 106277

Regulator	Registration	Status	Date
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IA	Illinois	Investment Adviser Representative	Approved	10/14/2022
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IA	New York	Investment Adviser Representative	Approved	08/05/2021
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IA	Puerto Rico	Investment Adviser Representative	Approved	01/07/2011
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IA	Texas	Investment Adviser Representative	Restricted Approval	01/24/2011
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Branch Office Locations

FEDERATED GLOBAL INVESTMENT MANAGEMENT CORP.

Charlotte, NC

FEDERATED GLOBAL INVESTMENT MANAGEMENT COF

S. Darmouth, MA

Employment 4 of 4

Firm Name: **MDT ADVISERS, A DIVISION OF FEDERATED MDTA LLC**

Main Address: 125 HIGH STREET
OLIVER STREET TOWER, 21ST FLOOR
BOSTON, MA 02110

Firm ID#: 109355

Regulator	Registration	Status	Date
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IA	Illinois	Investment Adviser Representative	Approved	10/14/2022
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Qualifications

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	08/20/2010
IA	New York	Investment Adviser Representative	Approved	08/05/2021
IA	Puerto Rico	Investment Adviser Representative	Approved	08/24/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	08/09/2010

Branch Office Locations

MDT ADVISERS, A DIVISION OF FEDERATED MDTA LLC
Charlotte, NC

MDT ADVISERS, A DIVISION OF FEDERATED MDTA LLC
S. Darmuoth, MA



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/02/2003

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	11/26/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/09/2002
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/23/1996
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/09/1995



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	11/27/2002 - 11/07/2007	EVERGREEN INVESTMENT SERVICES, INC.	CRD# 487	CHARLOTTE, NC
B	04/23/1996 - 06/10/1999	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	BOSTON, MA
B	01/31/1996 - 06/10/1999	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	
B	12/14/1992 - 11/30/1994	NATIONSBANC INVESTMENTS, INC.	CRD# 16361	BOSTON, MA
B	01/01/1992 - 12/18/1992	KEMPER FINANCIAL SERVICES, INC.	CRD# 798	
B	12/17/1985 - 10/07/1989	JOHN NUVEEN & CO., INCORPORATED	CRD# 469	CHICAGO, IL

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
01/2011 - Present	FEDERATED GLOBAL INVESTMENT MANAGEMENT CORP	INVESTMENT ADV REP	Y	NEW YORK, NY, United States
08/2010 - Present	MDT ADVISERS, A DIVISION OF FEDERATED MDTA LLC	INVESTMENT ADV REP	Y	BOSTON, MA, United States
01/2008 - Present	FEDERATED INVESTMENT COUNSELING	INVESTMENT ADV REP	Y	PITTSBURGH, PA, United States
11/2007 - Present	FEDERATED HERMES, INC.	SALES SPECIALIST	Y	PITTSBURGH, PA, United States
11/2007 - Present	FEDERATED SECURITIES CORP.	SALES SPECIALIST	Y	PITTSBURGH, PA, 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.

No information reported.



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	8

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 8

Reporting Source:	Individual
Regulatory Action Initiated By:	MARYLAND SECURITIES COMMISSIONER
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONDITIONAL REGISTRATION
Date Initiated:	03/16/2005
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	NATIONSBANC INVESTMENTS, LLC
Product Type:	Other
Other Product Type(s):	CLOSED-END MORTGAGE BACKED SECURITIES
Allegations:	DUE TO PREVIOUS NASD SANCTION.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/16/2005
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	ON MARCH 16, 2005, THE MARYLAND SECURITIES COMMISSIONER ENTERED AN ORDER GRANTING CONDITIONAL AGENT REGISTRATION (NO. 2005-0117), ALLOWING MR. WROBLE TO REGISTER IN MARYLAND UNDER CERTAIN SPECIAL CONDITIONS. ON MARCH 16, 2007, THE MARYLAND



SECURITIES COMMISSIONER ALLOWED ALL OF THE SPECIAL CONDITIONS IN THE MARCH 16, 2005 ORDER TO LAPSE. THUS, THERE ARE NO LONGER ANY CONDITIONS ON MR. WROBLES MARYLAND REGISTRATION.

Disclosure 2 of 8

Reporting Source: Regulator

Regulatory Action Initiated By: NEW JERSEY

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 02/27/2003

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: NATIONSBANC INVESTMENTS, INC.

Product Type: Other

Other Product Type(s):

Allegations: USED MATERIALLY MISLEADING PRESENTATIONS; FAILED TO DISCLOSE RISKS; INVOLVED IN THE USE AND DISTRIBUTION OF MATERIALLY MISLEADING SCRIPTS; ENCOURAGED REGISTERED REPRESENTATIVES TO USE "BLURRING PRACTICES" WHICH MISLEAD CUSTOMERS IN TO THINKING THEY WERE BUYING BANK PRODUCTS.

Current Status: Final

Resolution: Order

Resolution Date: 02/27/2003

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: AGENT'S APPLICATION WAS DENIED BASED ON THE FOLLOWING COUNTS: 1)AGENT IS THE SUBJECT OF AN ORDER OF A SELF-REGULATORY ORGANIZATION SUSPENDING HIM FROM A NATIONAL SECURITIES ASSOCIATION; 2)AGENT IS THE SUBJECT OF AN ORDER ENTERED WITHIN THE PAST 5 YEARS BY A STATE SECURITIES ADMINISTRATOR DENYING HIS REGISTRATION APPLICATION.

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF NEW JERSEY

Sanction(s) Sought: Denial

Other Sanction(s) Sought:

Date Initiated: 02/27/2003

Docket/Case Number:



Employing firm when activity occurred which led to the regulatory action: NATIONSBANC INVESTMENTS, INC.

Product Type: Other

Other Product Type(s):

Allegations: THE STATE OF NEW JERSEY DENIED MR. WROBLE'S APPLICATION BASED ON THE ALLEGATIONS THAT HE USED MATERIALLY MISLEADING PRESENTATIONS; FAILED TO DISCLOSE RISKS; WAS INVOLVED IN THE USE AND DISTRIBUTION OF MATERIALLY MISLEADING SCRIPTS; ENCOURAGED REGISTERED REPRESENTATIVES TO USE "BLURRING PRACTICES" WHICH MISLEAD CUSTOMERS INTO THINKING THEY WERE BUYING BANK PRODUCTS.

Current Status: Final

Resolution: Order

Resolution Date: 02/27/2003

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: THE STATE OF NEW JERSEY DENIED MR. WROBLE'S APPLICATION BASED ON THE FOLLOWING COUNTS: 1) AGENT IS THE SUBJECT OF AN ORDER OF A SELF-REGULATORY ORGANIZATION SUSPENDING HIM FROM A NATIONAL SECURITIES ASSOCIATION 2) AGENT IS THE SUBJECT OF AN ORDER ENTERED WITHIN THE PAST 5 YEARS BY A STATE SECURITIES ADMINISTRATOR DENYING HIS REGISTRATION APPLICATION.

Disclosure 3 of 8

Reporting Source: Individual

Regulatory Action Initiated By: DEPARTMENT OF THE TREASURY-OFFICE OF THE COMPTROLLER*SEE FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/01/1998

Docket/Case Number: 98-25

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: INVESTIGATION INVOLVING MARKETING OF 2 CLOSED-END FUNDS AND ALLEGED SUPERVISION OF WHOLESALERS.

Current Status: Final

Resolution: Consent

Resolution Date: 05/04/1998

**Sanctions Ordered:****Other Sanctions Ordered:****Sanction Details:**

I CONSENTED TO THE ISSUANCE OF AN ORDER BY THE COMPTROLLER OF THE CURRENCY IN WHICH HE AGREED TO EXTEND THE EFFECT OF THE NASDR SUSPENSIONS TO CERTAIN KINDS OF BANKING INSTITUTIONS. THE ORDER CONTAINED NO CHARGES OF VIOLATIONS OF LAW AND NO FINES OR OTHER PENTALTIES.

Broker Statement

IN THE SPIRIT OF CLOSURE, I HAVE SETTLED THIS INVESTIGATION NEITHER ADMITTING NOR DENYING THESE FINDINGS. IN MY ROLE AS SALES MANAGER FOR NATIONS BANK, I PRESENTED THE INVESTMENTS TO THE BEST OF MY ABILITY AND EXPERIENCE. IN MY PRESENTATIONS TO THE REGISTERED REPRESENTATIVES WHO WOULD BE MAKING THE ACTUAL SALES, I HIGHLIGHTED THE COMPETITIVE ADVANTAGES SO THAT, ALONG WITH OTHER MATERIALS AND SOURCES OF INFORMATION AVAIABLE, THE REGISTERED REPRESENTATIVES COULD DECIDE WHEATHER TO PRESENT THESE PRODUCTS TO THEIR CUSTOMERS.

Disclosure 4 of 8**Reporting Source:**

Regulator

Regulatory Action Initiated By:

HI SECURITIES ENFORCEMENT UNIT

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

02/18/1999

Docket/Case Number:

SEU-98-084

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:**

ON 1/20/99, HI FILED A PETITION TO REVOKE WROBLE'S REG'N IN HI AND ISSUED AN ORDER SUSPENDING WROBLE'S REG'N PENDING A HEARING ON THE PETITION. ON 1/29/99, WROBLE'S REG'N WAS W/D. AS A RESULT, ON 2/16/99, A STIP TO DISMISS PETITION WAS EXECUTED AND, ON 2/18/99, AN ORDER VACATING SUSPENSION WAS ISSUED. HI'S PETITION TO REVOKE WAS BASD ON MD'S CONSENT ORDER REVOKING WROBLE'S REG'N IN MD.

Current Status:

Final

Resolution:

Other

Resolution Date:

02/18/1999

Sanctions Ordered:**Other Sanctions Ordered:**



Sanction Details:	Not Provided
Regulator Statement	CONTACT: MM (808) 586-2740

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Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF HAWAII*SEE FAQ #1*

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:	02/18/1999
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Docket/Case Number:	SEU-98-084
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Employing firm when activity occurred which led to the regulatory action:

Product Type:	Other
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Other Product Type(s):

Allegations:	THE DIVISION ALLEGED THAT THE CONSENT ORDER I ENTERED INTO WITH THE STATE OF MARYLAND CONSTITUTED SUFFICIENT GROUNDS TO REVOKE MY REGISTRATION AS A SECURITIES SALESPERSON IN HAWAII PURSUANT TO HAWAII STATUTES AND RULES.
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Current Status:	Final
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Resolution:	Other
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Resolution Date:	02/18/1999
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Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details:	I WITHDREW MY REGISTRATION AS A SECURITIES SALESPERSON IN HAWAII ON 1/29/99.
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Broker Statement	NOT PROVIDED
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Disclosure 5 of 8

Reporting Source:	Regulator
Regulatory Action Initiated By:	ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated:	09/22/1998
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Docket/Case Number:	S 03316A-98-00
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Employing firm when activity occurred which led to the regulatory action:

**Product Type:****Other Product Type(s):****Allegations:**

A.R.S. SEC. 44-1962(4) LACKING IN INTEGRITY OR IS NOT OF GOOD BUSINESS REPUTATION AND 44-1962(10) AND A.A.C. R14-4-130(20) PROMULGATED THEREUNDER, UNETICAL OR DISHONEST PRACTICES IN USING IMPROPER AND MISLEADING SALES MATERIALS IN SALES TRAINING SESSIONS.

Current Status:

Final

Resolution:

Consent

Resolution Date:

01/07/1999

Sanctions Ordered:

Revocation/Expulsion/Denial

Other Sanctions Ordered:**Sanction Details:**

WROBLE CONSENT TO THE ENTRY OF AN ORDER BY THE COMMISSION REVOKING HIS SECURITIES SALES REPRESENTATIVE REGISTRATION.

Regulator Statement

THE NASD FOUND THAT WROBLE, AS THE NATIONAL SALES MANAGER RESPONSIBLE FOR MARKETING TERM TRUSTS TO THE SALES FORCE AND WHICH WERE OFFERED THROUGH NATIONSSECURITIES, AN AFFILIATE OF NATIONSBANK, VIOLATED JUST AND EQUITABLE PRINCIPALS OF TRADE IN MAKING FALSE AND MATERIALLY MISLEADING STATEMENTS DURING SALES FORCE TRAINING SESSIONS; BY BEING INVOLVED IN THE REVIEW, USE AND DISTRIBUTION OF MATERIALLY MISLEADING SALES SCRIPTS TO THE SALES FORCE; AND BY BLURRING THE DISTINCTIONS BETWEEN BANKPRODUCTS AND THE TERM TRUSTS AS SECURITIES PRODUCTS. CONTACT: PHIL HOFLING (602) 542-0179

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Reporting Source:

Firm

Regulatory Action Initiated By:

ARIZONA

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

09/22/1998

Docket/Case Number:

S 03316A-98-00

Employing firm when activity occurred which led to the regulatory action:**Product Type:****Other Product Type(s):****Allegations:****Current Status:**

Final

Resolution:

Consent

Resolution Date:

01/07/1999

Sanctions Ordered:

Revocation/Expulsion/Denial

**Other Sanctions Ordered:****Sanction Details:**
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 09/22/1998**Docket/Case Number:** S 03316A-98-00**Employing firm when activity occurred which led to the regulatory action:****Product Type:** Other**Other Product Type(s):****Allegations:** THE COMMISSION ALLEGED THAT AS A SUBJECT OF AN NASDR ORDER, I ENGAGED IN CONDUCT CONSTITUTING GROUNDS FOR THE REVOCATION OF MY SECURITIES SALES REGRISTRATION PURSUANT TO ARIZONA STATUTE AND RULES.**Current Status:** Final**Resolution:** Consent**Resolution Date:** 01/07/1999**Sanctions Ordered:** Revocation/Expulsion/Denial**Other Sanctions Ordered:****Sanction Details:** MY REGISTRATION AS A SECURITIES SALES REPRESENTATIVE WAS REVOKED WITH THE UNDERSTANDING THAT THE REVOCATION IS NOT PERMANENT.**Broker Statement** NOT PROVIDED**Disclosure 6 of 8****Reporting Source:** Regulator**Regulatory Action Initiated By:** ILLINOIS SECURITIES DEPARTMENT**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 02/16/1999**Docket/Case Number:** 9800432



Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: RESPONDENT'S SALESPERSON REGISTRATION IS SUBJECT TO REVOCATION BASED UPON A PRIOR NASD ORDER.

Current Status: Final

Resolution: Consent

Resolution Date: 02/17/1999

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: A CONSENT ORDER OF SUSPENSION WAS ISSUED, FEBRUARY 16, 1999. THE RESPONDENT IS SUSPENDED FOR ONE YEAR FROM THE ENTRY OF THIS CONSENT ORDER, HE SHALL BE PROHIBITED FROM OFFERING AND SELLING SECURITIES IN THE STATE OF ILLINOS DURING THE SUSPENSION. RESPONDENT SHALL PAY \$5,000 FOR COST OF INVESTIGATION.

Regulator Statement CONTACT: (217) 785-4948

.....

Reporting Source: Firm

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/16/1999

Docket/Case Number: 9800432

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 02/17/1999

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details:

.....



Reporting Source: Individual

Regulatory Action Initiated By: STATE OF ILLINOIS, SECRETARY OF STATE, SECURITIES DEPARTMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/16/1999

Docket/Case Number: 9800432

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: THE COMMISSION ALLEGED THAT BECAUSE I WAS THE SUBJECT OF AN NASDR ORDER, ME REGISTRATION AS A SALESPERSON COULD BE REVOKED PURSUANT TO ILLINOIS STATUE.

Current Status: Final

Resolution: Consent

Resolution Date: 02/17/1999

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: CONSENT ORDER OF SUSPENSION WAS ENTERED INTO WHEREBY MY REGISTRATION AS A SECURITIES SALESPERSON WAS SUSPENDED FOR A PERIOD OF ONE YEAR; I WAS ORDERED TO PAY AN INVESTIGATION REIMBURSEMENT FEE OF \$5,000.00 TO BE DEPOSITED INTO THE ILLINOIS AUDIT AND ENFORCEMENT FUND.

Broker Statement NOT PROVIDED

Disclosure 7 of 8

Reporting Source: Firm

Regulatory Action Initiated By: MARYLAND

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/20/1998

Docket/Case Number: 98-0693

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

**Allegations:**

Current Status: Final
Resolution: Consent
Resolution Date: 07/31/1998

.....

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF MARYLAND
Sanction(s) Sought: Other
Other Sanction(s) Sought: CONSENT ORDER
Date Initiated: 05/20/1998
Docket/Case Number: 98-0693
Employing firm when activity occurred which led to the regulatory action: NATIONS BANC INVESTMENTS, INC

Product Type: Other

Other Product Type(s):

Allegations: INVESTIGATION INVOLVING THE MARKETING OF 2
CLOSED-END FUNDS - NATIONS GOVERNMENT INCOME TERM TRUST 2003,
INC. AND NATIONS GOVERNMENT INCOME TERM TRUST 2004, INC.

Current Status: Final
Resolution: Consent
Resolution Date: 07/31/1998

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: I AGREED TO A VOLUNTARY WITHDRAWAL OF MY
MARYLAND REGISTRATION AND AGREED NOT TO REAPPLY FOR TWO
YEARS.

Broker Statement ON MARCH 16, 2005, THE MARYLAND SECURITIES COMMISSIONER
ENTERED AN ORDER GRANTING CONDITIONAL AGENT REGISTRATION (NO.
2005-0117), ALLOWING MR. WROBLE TO REGISTER IN MARYLAND UNDER
CERTAIN SPECIAL CONDITIONS. ON MARCH 16, 2007, THE MARYLAND
SECURITIES COMMISSIONER ALLOWED ALL OF THE SPECIAL CONDITIONS
IN THE MARCH 16, 2005, ORDER TO LAPSE. THUS, THERE ARE NO LONGER
ANY CONDITIONS ON MR. WROBLE'S MARYLAND REGISTRATION.

Disclosure 8 of 8

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:
Other Sanction(s) Sought:



Date Initiated: 05/04/1998

Docket/Case Number: CAF980020

Employing firm when activity occurred which led to the regulatory action: NATIONSBANC INVESTMENTS, INC.

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/04/1998

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00
Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement

[TOP] ON 5/4/98, DEPARTMENT OF ENFORCEMENT NOTIFIED NATIONSSECURITIES (NS), DANIEL WROBLE, ET AL. THAT LETTER OF ACCEPTANCE, WAIVER AND CONSENT # CAF980020 ACCEPTED; NS CENSURED, FINED \$2 MILLION (TO NASD REGULATION) WITHIN 10 DAYS OF NOTICE OF NAC APPROVAL OF AWC; AND OTHER SANCTIONS; WROBLE CENSURED, FINED \$100,000, PAYABLE TO NASD REGULATION WITHIN 10 DAYS OF NOTICE OF NAC APPROVAL OF THIS AWC, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 6 MONTHS, SUSPENDED FOR 6 MONTHS AS A PRINCIPAL WITH AN NASD MEMBER FIRM TO COMMENCE AFTER COMPLETION OF ABOVE SUSPENSION, AND REQUIRED TO REQUALIFY BY EXAM FOR THE SERIES 7 AND 24 REGISTRATION BEFORE AGAIN ACTING IN ANY REGISTERED CAPACITY; NS BEGAN AN IPO OF NEWLY ORGANIZED, CLOSED-END, MORTGAGE-BACKED SECURITIES FUNDS AND MADE UNSUITABLE SALES TO CUSTOMERS, WITHOUT APPROPRIATE ATTENTION TO, OR DETERMINATION OF, EACH CUSTOMER'S INVESTMENT OBJECTIVES, INVESTMENT EXPERIENCE, RISK TOLERANCE, AND FINANCIAL STATUS AND, THROUGH WROBLE, ET AL. ENGAGED IN A FOCUSED SALE CAMPAIGN AIMED AT BANK CUSTOMERS. SALES EFFORTS USED MATERIALLY MISLEADING STATEMENTS TO INVESTORS. MOREOVER, NS FAILED TO ADEQUATELY DISCLOSE RISKS TO BANK CUSTOMERS, AND NS AND WROBLE ENGAGED IN PRACTICES THAT "BLURRED" DISTINCTIONS BETWEEN THE BANK AND BROKERAGE FIRM, AND BANK AND SECURITIES PRODUCTS. WROBLE, ET AL. WERE INVOLVED IN USE AND DISTRIBUTION OF A "FOUR STEP " PROCESS TO REGISTERED REPRESENTATIVES AND STATE MANAGERS OF THE FIRM USED IN MAKING SALES CALLS TO POTENTIAL CUSTOMERS DISCLOSING MATERIALLY MISLEADING INFORMATION ABOUT THE INVESTMENT. WROBLE'S SUSPENSION IN ALL CAPACITIES BEGINS OPENING OF BUSINESS 6/15/98 AND ENDS CLOSE OF BUSINESS 12/14/98; THE SUSPENSION IN ANY PRINCIPAL CAPACITY BEGINS OPENING OF BUSINESS ON 6/15/98 AND ENDS CLOSE OF



BUSINESS 6/14/99. ***\$100,000.00 PAID ON 5/19/98, INVOICE
#98-AF-527***

Reporting Source: Individual

Regulatory Action Initiated By: NASD
REGULATION, INC

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/04/1998

Docket/Case Number: CAF980020

Employing firm when activity occurred which led to the regulatory action: NATIONSBANC INVESTMENTS, INC.

Product Type:

Other Product Type(s):

Allegations: INVESTIGATION INVOLVING MARKETING OF 2
CLOSED-END FUNDS AND ALLEGED SUPERVISION OF WHOLESALERS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/04/1998

Sanctions Ordered: Censure
Monetary/Fine \$100,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: I CONSENTED TO THE ENTRY OF FINDINGS BY NASD
REGULATION THAT I VIOLATED NASD CONDUCT RULES 2110 AND 2210. I
WAS CENSURED, FINDED \$100,000, SUSPENDED FOR SIX MONTHS FROM
ASSOCIATING IN ANY CAPACITY WITH A MEMBER FIRM, SUSPENDED FOR
SIX MONTHS FROM ACTING AS A PRINCIPAL WITH AN NASD MEMBER FIRM
AND REQUIRED TO REQUALIFY, BY EXAMINATION, FOR THE SERIES 7 AND
24 REGISTRATIONS BEFORE AGAIN ACTING IN ANY REGISTERED
CAPACITY.

Broker Statement IN THE SPIRIT OF CLOSURE, I HAVE SETTLED THIS
INVESTIGATION NEITHER ADMITTING NOR DENYING THESE FINDINGS. IN
MY ROLE AS SALES MANAGER FOR NATIONSBANK, I PRESENTED THE
INVESTMENTS TO THE BEST OF MY ABILITY AND EXPERIENCE. IN MY
PRESENTATIONS TO THE REGISTERED REPRESENTATIVES WHO WOULD
BE
MAKING THE ACTUAL SALES, I HIGHLIGHTED THE COMPETITIVE
ADVANTAGES SO THAT, ALONG WITH OTHER MATERIALS AND SOURCES
OF
INFORMATION AVAILABLE, THE REGISTERED REPRESENTATIVES COULD
DECIDE WHETHER TO PRESENT THESE PRODUCTS TO THEIR
CUSTOMERS.



End of Report

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