IAPD Report

DON PERSONS WYSE

CRD# 1417139

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

DON PERSONS WYSE (CRD# 1417139)

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 **01/02/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	06/12/2020
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	06/12/2020

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **44** 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	UBS FINANCIAL SERVICES INC.	8174	Los Angeles, CA	01/06/2009 - 07/08/2020
B	UBS FINANCIAL SERVICES INC.	8174	Los Angeles, CA	01/05/2009 - 07/08/2020
IA	DEUTSCHE BANK SECURITIES INC.	2525	LOS ANGELES, CA	06/18/2001 - 01/29/2009

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

User Guidance

www.adviserinfo.sec.gov

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 **44** 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	06/12/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/12/2020
B	FINRA	General Securities Representative	Approved	06/12/2020
B	NYSE American LLC	General Securities Representative	Approved	06/12/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/12/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/12/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	06/12/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/12/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	06/12/2020
B	New York Stock Exchange	General Securities Representative	Approved	06/12/2020
B	Alabama	Agent	Approved	07/09/2020
B	Alaska	Agent	Approved	07/09/2020

User Guidance

www.adviserinfo.sec.gov

Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	06/12/2020
B	Arkansas	Agent	Approved	07/09/2020
IA	California	Investment Adviser Representative	Approved	06/12/2020
B	California	Agent	Approved	06/15/2020
B	Colorado	Agent	Approved	06/29/2020
B	Connecticut	Agent	Approved	06/16/2020
B	Delaware	Agent	Approved	06/12/2020
B	District of Columbia	Agent	Approved	06/12/2020
B	Florida	Agent	Approved	06/12/2020
B	Georgia	Agent	Approved	06/12/2020
B	Hawaii	Agent	Approved	03/05/2025
B	Idaho	Agent	Approved	06/15/2020
B	Illinois	Agent	Approved	06/12/2020
B	Indiana	Agent	Approved	07/10/2020
B	Kansas	Agent	Approved	02/24/2021
B	Kentucky	Agent	Approved	06/24/2020
B	Louisiana	Agent	Approved	06/12/2020
B	Maine	Agent	Approved	06/15/2020
B	Maryland	Agent	Approved	06/12/2020

Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	06/12/2020
B	Minnesota	Agent	Approved	06/12/2020
B	Mississippi	Agent	Approved	06/12/2020
B	Missouri	Agent	Approved	06/12/2020
B	Montana	Agent	Approved	06/19/2020
B	Nebraska	Agent	Approved	06/12/2020
B	Nevada	Agent	Approved	07/10/2020
B	New Hampshire	Agent	Approved	06/12/2020
B	New Jersey	Agent	Approved	06/12/2020
B	New York	Agent	Approved	06/12/2020
B	North Carolina	Agent	Approved	06/12/2020
B	Ohio	Agent	Approved	06/12/2020
B	Oklahoma	Agent	Approved	06/16/2020
B	Oregon	Agent	Approved	06/15/2020
B	Pennsylvania	Agent	Approved	06/12/2020
B	Rhode Island	Agent	Approved	06/12/2020
B	South Carolina	Agent	Approved	06/30/2020
B	Tennessee	Agent	Approved	06/12/2020
B	Texas	Agent	Approved	06/12/2020

Qualifications

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	06/12/2020
B	Utah	Agent	Approved	06/16/2020
B	Vermont	Agent	Approved	06/22/2020
B	Virginia	Agent	Approved	06/17/2020
B	Washington	Agent	Approved	07/09/2020
B	Wisconsin	Agent	Approved	06/12/2020

Branch Office Locations

WELLS FARGO ADVISORS
433 N CAMDEN DR 9TH & 12TH FLS
[LA-RBO]
BEVERLY HILLS, CA 90210

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 2 state securities law exams.

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	01/16/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/03/1988

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	01/06/2009 - 07/08/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	Los Angeles, CA
B	01/05/2009 - 07/08/2020	UBS FINANCIAL SERVICES INC.	CRD# 8174	Los Angeles, CA
IA	06/18/2001 - 01/29/2009	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	LOS ANGELES, CA
B	01/13/2001 - 01/29/2009	DEUTSCHE BANK SECURITIES INC.	CRD# 2525	LOS ANGELES, CA
B	02/16/2000 - 01/13/2001	DB ALEX. BROWN LLC	CRD# 17790	BALTIMORE, MD
B	07/31/1993 - 02/16/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	12/13/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	06/05/1990 - 11/29/1991	BEAR, STEARNS & CO. INC.	CRD# 79	NEW YORK, NY
B	04/28/1988 - 07/05/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	01/19/1988 - 02/10/1988	BARABAN SECURITIES, INC.	CRD# 7659	

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
06/2020 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BEVERLY HILLS, CA, United States
01/2009 - 06/2020	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	CENTURY CITY, CA, 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.

CO-TRUSTEE OF MOTHER'S TRUST; INV. RELATED; FULLERTON, CA; START DATE 2/2022; 2 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
Customer Dispute	6

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:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLAIMANT ALLEGES THAT MR. WYSE RECOMMENDED SEVERAL HIGH-RISK INVESTMENTS, WHICH WERE INAPPROPRIATE IN LIGHT OF CLAIMANT'S CONSERVATIVE INVESTMENT GOALS. CLAIMANT FURTHER ALLEGES THAT MR. WYSE FAILED TO ADEQUATELY EXPLAIN THE RISKS ASSOCIATED WITH THESE INVESTMENTS AND THAT MR. WYSE CAUSED CLAIMANT TO INCUR LARGE COMMISSIONS, MARGIN AND LOAN INTEREST CHARGES THAT WERE INCONSISTENT WITH CLAIMANT'S CONSERVATIVE GOALS. THE ACTIVITY PERIOD WAS FROM DECEMBER 2007 UNTIL FEBRUARY 2009. MR. WYSE AND DBSI DENY THE ALLEGATIONS OF WRONGDOING.
Product Type:	Equity Listed (Common & Preferred Stock) Options Other: CURRENCIES, REIT
Alleged Damages:	$1,500,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT SEEKS IN EXCESS OF $1.5 MILLION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	FINRA CASE NO. 09-07261

Date Notice/Process Served:	01/14/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/24/2011
Monetary Compensation Amount:	$825,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLAIMANT ALLEGES THAT MR. WYSE RECOMMENDED SEVERAL HIGH-RISK INVESTMENTS, WHICH WERE INAPPROPRIATE IN LIGHT OF CLAIMANT'S CONSERVATIVE INVESTMENT GOALS. CLAIMANT FURTHER ALLEGES THAT MR. WYSE FAILED TO ADEQUATELY EXPLAIN THE RISKS ASSOCIATED WITH THESE INVESTMENTS AND THAT MR. WYSE CAUSED CLAIMANT TO INCUR LARGE COMMISSIONS, MARGIN AND LOAN INTEREST CHARGES THAT WERE INCONSISTENT WITH CLAIMANT'S CONSERVATIVE GOALS. THE ACTIVITY PERIOD WAS FROM DECEMBER 2007 UNTIL FEBRUARY 2009. MR. WYSE AND DBSI DENY THE ALLEGATIONS OF WRONGDOING.
Product Type:	Equity Listed (Common & Preferred Stock) Options Other: CURRENCIES, REIT
Alleged Damages:	$1,500,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT SEEKS IN EXCESS OF $1.5 MILLION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	NO. 09-07261
Date Notice/Process Served:	01/14/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/24/2011
Monetary Compensation Amount:	$825,000.00
Individual Contribution Amount:	$0.00
Broker Statement	UPON REVIEW THE LOSSES SUSTAINED WERE A RESULT OF TRADING FOLLOWING THE FINANCIAL ADVISOR'S DEPARTURE FROM DEUTSCHE BANK AND NOT A RESULT OF ADVICE PROMULGATED BY THE ADVISOR. THIS SETTLEMENT DOES NOT REFLECT ANY ACKNOWLEDGEMENT OR

ADMISSION OF ANY LIABILITY OR MISCONDUCT ON THE PART OF THE ADVISOR. MR. WYSE WAS DISMISSED FROM THE CLAIM AND WAS NOT ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THIS CASE. DEUTSCHE BANK RESOLVED THIS ISSUE SOLELY FOR BUSINESS REASONS TO AVOID POTENTIAL COST AND UNCERTAINTIES OF THE ARBITRATION FORUM. IT IS UNDERSTOOD THE REPORTING OF THIS MATTER IS REQUIRED BY FINRA RULES, THE ADVISOR HAD FILED FOR EXPUNGEMENT UNDER APPLICABLE FINRA RULES BASED UPON THE FACT HE WAS NOT INVOLVED IN THE ALLEGED VIOLATIONS. CLAIMANTS DID NOT OPPOSE THE REQUEST FOR EXPUNGEMENT AND THE PROCEEDING HAS COMMENCED WITH FINRA.

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLIENT ALLEGES CLIENT ADVISOR MADE MISREPRESENTATIONS AND OMISSIONS OF FACTS RELATING TO HIS INVESTMENTS, WHICH CAUSED LOSSES. ACTIVITY PERIOD IS JANUARY, 2003 TO MARCH, 2009.
Product Type:	Debt-Municipal Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT REQUESTED TO BE REIMBURSED FOR LOSSES, WHICH THE FIRM MADE A GOOD FAITH DETERMINATION THAT LOSSES EXCEEDED $5000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/27/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLIENT ALLEGES CLIENT ADVISOR MADE MISREPRESENTATIONS AND OMISSIONS OF FACTS RELATING TO HIS INVESTMENTS, WHICH CAUSED LOSSES. ACTIVITY PERIOD IS JANUARY, 2003 TO MARCH, 2009.

Product Type:	Debt-Municipal Equity Listed (Common & Preferred Stock)
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT REQUESTED TO BE REIMBURSED FOR LOSSES, WHICH THE FIRM MADE A GOOD FAITH DETERMINATION THAT LOSSES EXCEEDED $5000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/27/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I HAVE BEEN INVOLVED IN DIVORCE LITIGATION FOR THE LAST SEVEN YEARS AND IN THE COURSE OF THAT LITIGATION I UNCOVERED ERRORS IN CREDITS TO MY ACCOUNT WITH MY DIVORCE COUNSEL [CUSTOMER]. SPECIFICALLY, IN 2004, [CUSTOMER] FAILED TO POST PAYMENTS THAT I HAD MADE TO HIM FOR HIS LEGAL SERVICES IN THE AMOUNT(S) OF $19,998.00. FINALLY IN SEPTEMBER OF 2008, [CUSTOMER], GRUDGINGLY, ADMITTED TO RECEIPT OF SAID PAYMENTS AND AGREED TO CREDIT THEM TO MY LEDGER. IN JANUARY 2009 I MOVED MY PRACTICE FROM DEUTSCHE BANK TO UBS. MY EX-WIFE MADE A REQUEST FOR ATTORNEYS FEES BASED ON A CLAIM THAT I HAD RECEIVED COMPENSATION FROM UBS AND THE FACT THAT SHE WAS NO LONGER EMPLOYED. [CUSTOMER] ATTEMPTED TO EXTORT A PAYMENT FOR LOSSES IN OPTIONS AND DEBT INCURRED IN Q4, 2008. [CUSTOMER] EXPRESSED A VIEW THAT SINCE I HAD BEEN PAID BY UBS, I SHOULD QUIETLY PAY HIM OR HE WOULD LODGE A COMPLIANT WITH DEUTSCHE BANK. DEUTSCHE BANK HAS DENIED THE CLAIM AND BASED ON THEIR INTERNAL REVIEW, HAVE CONCLUDED THERE WAS NO ERROR OR CULPABILITY ON MY PART. ADDITIONALLY, THE INFORMATION REPORTED ON FORM U-4 DRP SEC. 5 IS INCORRECT. THE PRODUCTS INVOLVED WERE NOT LISTED EQUITIES AND MUNICIPALS AS CHECKED. THEY WERE DEBT-CORPORATE AND INDEX OPTIONS.

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $145,000.00

Customer Complaint Information

Date Complaint Received: 05/19/2000

Complaint Pending? No

Status: Withdrawn

Status Date: 07/18/2000

Settlement Amount:

Individual Contribution Amount:

Firm Statement ATTORNEY - JOHN DOUGHERTY - 212-783-7822

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS.
CUSTOMER IS THE CLIENT OF AN R.I.A. HIS COMPLAINT IS NOT WITH MR. WYSE, BUT WITH HIS R.I.A. MR. WYSE HAS NEVER SPOKEN WITH OR CONTACTED CUSTOMER. CUSTOMER HAS BEEN INFORMED OF HIS MISTAKE, AND AS SUCH, HAS WITHDRAWN HIS COMPLAINT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $145,000.00

Customer Complaint Information

Date Complaint Received: 05/19/2000

Complaint Pending? No

Status: Withdrawn

Status Date: 07/14/2000

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATIONS REGARDING THE RISK AND YIELD ASSOCIATED WITH THE POLARIS AIRCRAFT INCOME FUND AND HIGH YIELD CORPORATE BOND FUND. ALLEGED DAMAGES, $86,000.00.

Product Type:

Alleged Damages: $86,000.00

Customer Complaint Information

Date Complaint Received: 07/12/1991

Complaint Pending? No

Status: Settled

Status Date: 04/14/1992

Settlement Amount: $70,221.51

Individual Contribution Amount:

Firm Statement CLIENT TO RESCIND POLARIS AIRCRAFT INCOME FUND SHARES. SETTLEMENT AMOUNT PAID TO CLIENTS $70,221.51. CLIENT ALLEGED THAT F/A HAD MISREPRESENTED THE NATURE OF THE POLARIS AIRCRAFT INCOME FUND AND THE CORPORATE HIGH YIELD BOND FUND. ALTHOUGH FIRM AND F/A DENY ANY SUCH MISREPRESENTATION CLIENT WAS ALLOWED TO RESCIND HER POLARIS SHARES (LESS DISTRIBUTIONS EARNED).

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: NOT PROVIDED

Product Type:

Alleged Damages: $86,000.00

Customer Complaint Information

Date Complaint Received: 07/12/1991

Complaint Pending? No

Status: Settled

Status Date: 04/14/1992

Settlement Amount: $70,221.51

Individual Contribution Amount:

Broker Statement TRADE REVERSED. AMOUNT PAID TO CLIENT, $70,221.51, REPRESENTED REFUND OF PURCHASE PRICE MINUS PARTNERSHIP DISTRIBUTIONS RECEIVED BY CLIENT SINCE PURCHASE. ZERO-BALANCE TRANSACTION.

PLEASE ARCHIVE. SETTLED BY REVERSAL OF TRADE FOR NO DAMAGES, COMPLAINT MORE THAN 24 MONTHS OLD. NO LONGER REPORTABLE. SEQUENT DRP #13873.

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL

Allegations: BREACH OF FIDUCIARY DUTY, MISREPRESENTATION ALLEGED DAMAGES OF $138,000

Product Type:

Alleged Damages: $138,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: US DISTRICT; CENTRAL DIST. OF CA; 910422RSWL

Date Notice/Process Served: 01/17/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/01/1992

Monetary Compensation Amount: $60,000.00

Individual Contribution Amount: $0.00

Firm Statement PAYMENT OF $60,000 WITH NO CONTRIBUTION FROM BROKER
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL

Allegations: UNSUITABLE INVESTMENTS ALLEGED LOSSES APPROXIMATELY $70,000

Product Type:

Alleged Damages: $138,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DISTRICT; CENTRAL DIST. OF CA; 910422RSWL
Date Notice/Process Served:	01/17/1991
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/01/1992
Monetary Compensation Amount:	$60,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLEMENT $60,000 WHICH WAS PAID BY PRUDENTIAL. THE BROKER WAS NOT ASKED TO CONTRIBUTE TOWARDS THIS SETTTLEMENT. Not Provided

Disclosure 6 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE SECURITIES INC.
Allegations:	MISREPRESENTATION; ACCOUNT RELATED-ERRORS-CHARGES; ACCOUNT RELATED-NEGLIGENCE; OTHER
Product Type:	
Alleged Damages:	$300,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #90-02276
Date Notice/Process Served:	10/08/1990
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	09/24/1991
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS

BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT $25,611.00 JOINTLY AND SEVERALL

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES INC.

Allegations: MISREPRESENTATIONS AND UNAUTHORIZED PURCHASES OF BONDS.

Product Type:

Alleged Damages: $300,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/24/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 90-02276

Date Notice/Process Served: 10/08/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/24/1991

Monetary Compensation Amount: $25,611.00

Individual Contribution Amount:

Firm Statement CLAIMANT AWARDED $25,611.00 ON A CLAIM OF $300,000.00.
CLIENT ALLEGED MISREPRESENTATIONS AND UNAUTHORIZED PURCHASES OF BONDS; BOTH BROKER AND FIRM DENIED
ALL ALLEGATIONS. CLIENT WAS AWARDED ONLY $25,611.00 ON HIS CLAIM OF $300,000.00.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES INC.

Allegations: MISREPRESENTATION OF SECURITY BACKING SEVERAL

	BONDS
Product Type:	
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/24/1991
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 90-02276
Date Notice/Process Served:	10/08/1990
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	09/24/1991
Monetary Compensation Amount:	$25,611.00
Individual Contribution Amount:	
Broker Statement	CLAIMANT AWARDED $25,611.00 ON A CLAIM OF $300,000.00. Not Provided

End of Report

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