



IAPD Report

Mark Warren Lamb

CRD# 1437554

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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

Mark Warren Lamb (CRD# 1437554)

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 **12/06/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	06/11/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	WESTERN INTERNATIONAL SECURITIES	39262	Campbell, CA	09/21/2017 - 06/17/2024
IA	FINANCIAL WEST GROUP	16668	Redwood City, CA	06/27/2008 - 08/30/2017
B	FINANCIAL WEST GROUP	16668	SAN FRANCISCO, CA	06/25/2008 - 08/30/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	06/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/12/2024

Branch Office Locations

LPL FINANCIAL LLC
Redwood City, CA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	08/30/2017
General Securities Representative Examination (S7)	Series 7	02/15/1986
Foreign Currency Options Examination (S15)	Series 15	12/23/1985
Interest Rate Options Examination (S5)	Series 5	12/13/1985

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	12/06/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/21/2017 - 06/17/2024	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Campbell, CA
IA	06/27/2008 - 08/30/2017	FINANCIAL WEST GROUP	CRD# 16668	Redwood City, CA
B	06/25/2008 - 08/30/2017	FINANCIAL WEST GROUP	CRD# 16668	SAN FRANCISCO, CA
B	06/11/2002 - 07/15/2008	THE SHEMANO GROUP, INC.	CRD# 35528	SAN FRANCISCO, CA
IA	05/14/2002 - 06/19/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	SAN FRANCISCO, CA
B	03/09/2002 - 06/19/2002	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	06/01/2001 - 03/09/2002	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	10/28/1997 - 06/22/2001	WELLS FARGO VAN KASPER, LLC	CRD# 7665	SAN FRANCISCO, CA
B	01/28/1995 - 10/28/1997	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/07/1994 - 01/28/1995	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY
B	11/19/1990 - 03/04/1994	SMITH BARNEY SHEARSON INC.	CRD# 7059	NEW YORK, NY
B	01/27/1989 - 12/04/1990	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	12/24/1985 - 02/08/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
06/2024 - Present	LPL Financial LLC	Investment Adviser Representative	Y	Campbell, CA, United States
08/2017 - 06/2024	Western International Securities Inc.	Investment Adviser Representative	Y	Pasadena, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2008 - 08/2017	Financial West Group	Registered Representative	Y	Westlake Village, 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.

1) 06/07/2024 - Lamb Wealth Management - DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s) - 100% Time spent.



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	2
Customer Dispute	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	05/07/2004
Docket/Case Number:	0400016
Employing firm when activity occurred which led to the regulatory action:	THE SHEMANO GROUP, INC.
Product Type:	Other
Other Product Type(s):	
Allegations:	RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE SECURITIES LAW.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/30/2004

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: RESPONDENT'S SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS IS REVOKED.

Regulator Statement NOTICE OF HEARING ISSUED AND HEARING IS SCHEDULED FOR JUNE 23, 2004. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324. CONSENT ORDER OF REVOCATION ISSUED, ORDER IS FINAL.

Reporting Source: Individual

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 05/07/2004

Docket/Case Number: 0400016

Employing firm when activity occurred which led to the regulatory action: THE SHEMANO GROUP, INC.

Product Type: Other

Other Product Type(s):

Allegations: RESPONDENT'S REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS IS SUBJECT TO REVOCATION PURSUANT TO SECTION 8.E(1)(J) OF THE SECURITIES LAW.

Current Status: Final

Resolution: Consent

Resolution Date: 08/30/2004

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: RESPONDENT'S SALESPERSON REGISTRATION IN THE STATE OF ILLINOIS IS REVOKED.

Broker Statement NOTICE OF HEARING ISSUED AND HEARING IS SCHEDULED FOR JUNE 23, 2004. ANY QUESTIONS CALL CHERYL WEISS @ 312-793-3324. CONSENT ORDER OF REVOCATION ISSUED, ORDER IS FINAL.

Disclosure 2 of 2

Reporting Source: Regulator



Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/25/2002
Docket/Case Number:	CAF020053
Employing firm when activity occurred which led to the regulatory action:	FIRST SECURITY VAN KASPER
Product Type:	Other: STOCKS
Allegations:	SECTION 5 OF THE SECURITIES ACT OF 1933, NASD RULES 2110, 2440 - RESPONDENT, AS AGENT OF A MEMBER FIRM, EFFECTED THE SALE OF SHARES OF UNREGISTERED SECURITIES TO PUBLIC CUSTOMERS; TOOK VOLUME AND PRICING INSTRUCTIONS FROM A PARTY WITH NO AUTHORIZATION OVER AN ACCOUNT AND FAILED TO PROMPTLY INFORM HIS FIRM'S TRADING DEPARTMENT ABOUT ORDER TICKETS HE RECEIVED FOR THE PURCHASE OF SHARES OF STOCK SO THAT THE TRADES COULD BE REPORTED WITHIN 90 SECONDS OF EXECUTION AS REQUIRED BY NASDAQ MARKETPLACE RULES; AND FAILED TO DISCLOSE MATERIAL FACTS TO PUBLIC CUSTOMERS DURING THE OFFER AND SALE OF SHARES OF STOCK.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/21/2003
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



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

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

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

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 DAYS
Start Date:	01/05/2004



End Date: 02/03/2004

Monetary Sanction 1 of 1

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

Total Amount: \$50,000.00

Portion Levied against individual: \$50,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/23/2007

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, LAMB CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$50,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 DAYS. SUSPENSION EFFECTIVE JANUARY 5, 2004 TO CLOSE OF BUSINESS FEBRUARY 3, 2004.

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/25/2002

Docket/Case Number: CAF020053

Employing firm when activity occurred which led to the regulatory action: FIRST SECURITY VAN KASPER

Product Type: Other

Other Product Type(s): STOCKS

Allegations: SECTION 5 OF THE SECURITIES ACT OF 1933, NASD RULE 2110, 2440 - RESPONDENT, AS AGENT OF A MEMBER FIRM, EFFECTED THE SALE OF SHARES OF UNREGISTERED SECURITIES TO PUBLIC CUSTOMERS; TOOK VOLUME AND PRICING INSTRUCTIONS FROM A PARTY WITH NO AUTHORIZATION OVER AN ACCOUNT AND FAILED TO PROMPTLY INFORM HIS FIRM'S TRADING DEPARTMENT ABOUT ORDER TICKETS HE RECEIVED FOR THE PURCHASE OF SHARES OF STOCK SO THAT THE TRADES COULD BE REPORTED WITHIN 90 SECONDS OF EXECUTION AS REQUIRED BY NASDAQ MARKETPLACE RULES; AND FAILED TO DISCLOSE MATERIAL FACTS TO PUBLIC CUSTOMERS DURING THE OFFER AND SALE OF SHARES OF STOCK.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement



Resolution Date: 11/21/2003

Sanctions Ordered: Monetary/Fine \$50,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, LAMB CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$50,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 DAYS.



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST SECURITY VAN KASPER, INC.

Allegations: CUSTOMER ALLEGES THAT BROKER MADE TRADES IN IDENTIX AND INTEGRATED DEVICE TECHNOLOGY IN HER ACCOUNT WITHOUT AUTHORIZATION; AND THAT HE CANCELLED THE PURCHASE OF NOVELL IN ERROR.

Product Type: Equity - OTC

Alleged Damages: \$20,250.00

Customer Complaint Information

Date Complaint Received: 03/03/1999

Complaint Pending? No

Status: Denied

Status Date: 07/12/1999

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Regulator

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

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-05453

Date Notice/Process Served: 01/16/1995

Arbitration Pending? No

Disposition: Settled



Disposition Date: 01/29/1996

Disposition Detail: CASE CLOSED,SETTLED/OTHER
 ACTUAL/COMPENSATORY DAMAGES, RELIEF
 REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND
 SEVERALLY; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,
 AWARD
 AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;
 OTHER MONETARY RELIEF, RELIEF REQUEST IS
 WITHDRAWN/SETTLED/ETC,
 AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

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

Allegations: MISREPRESENTATION, SUITABILITY ALLEGED
 DAMAGES \$200,000.00

Product Type:

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 94-05453

Date Notice/Process Served: 01/16/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/29/1996

Monetary Compensation Amount: \$83,000.00

Individual Contribution Amount:

Firm Statement THE CLAIMS WERE SETTLED FOR \$83,000.00 WITH NO
 ADMISSION OF LIABILITY
 NO OPTIONS OR COMMODITIES ; CONTACT SUSAN
 HARKINS (212) 816-8006



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Reporting Source: Individual

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

Allegations: MISREPRESENTATION, SUITABILITY. ALLEGED DAMAGES \$200K.

Product Type:

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-05453

Date Notice/Process Served: 01/16/1995

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/29/1996

Monetary Compensation Amount: \$83,000.00

Individual Contribution Amount:

Broker Statement THE CLAIMS WERE SETTLED FOR \$83K WITH NO ADMISSION OF LIABILITY NOT PROVIDED



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	WELLS FARGO VAN KASPER, LLC
Termination Type:	Permitted to Resign
Termination Date:	05/18/2001
Allegations:	MR. LAMB WAS PERMITTED TO RESIGN FOLLOWING AN INTERNAL INVESTIGATION ABOUT WHETHER HIS PARTICIPATION IN CERTAIN SALES OF BLACK STALLION STOCKS VIOLATED COMPANY POLICIES.
Product Type:	Other
Other Product Types:	OTC BULLETIN BOARD STOCK
Broker Statement	THE INTERNAL INVESTIGATION BEGAN OF JULY 17, 2000 WHEN THE NASDR DEPARTMENT OF ENFORCEMENT VISITED FIRST SECURITY VAN KASPER (NOW KNOW AS WELLS FARGO VAN KASPER, LLC), TO BEGIN AN INQUIRY INTO THE TRADING ACTIVITY OF BLACK STALLION/DIGITAL BRIDGE. OUR INTERNAL INVESTIGATION WAS DONE IN TANDEM WITH THE NASDR'S EXAMINATION WHICH ENDED ON APRIL 23, 2001



End of Report

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