IAPD Report

JON CHARLES MCALENEY

CRD# 1439422

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

JON CHARLES MCALENEY (CRD# 1439422)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/25/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	11/25/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	IC ADVISORY SERVICES, INC.	140190	CHESTER, NJ	09/07/2010 - 12/13/2024
B	THE INVESTMENT CENTER, INC.	17839	CHESTER, NJ	09/03/2010 - 12/13/2024
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	BEDMINSTER, NJ	10/05/2009 - 09/08/2010

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	2

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/25/2024
B	Colorado	Agent	Approved	03/03/2026
B	Connecticut	Agent	Approved	12/05/2024
IA	Connecticut	Investment Adviser Representative	Approved	12/05/2024
B	Florida	Agent	Approved	12/09/2024
IA	Florida	Investment Adviser Representative	Approved	12/09/2024
B	Illinois	Agent	Approved	11/25/2024
B	Maine	Agent	Approved	12/06/2024
B	Maryland	Agent	Approved	11/25/2024
B	Nevada	Agent	Approved	11/25/2024
IA	Nevada	Investment Adviser Representative	Approved	12/10/2024
B	New Hampshire	Agent	Approved	09/19/2025
B	New Jersey	Agent	Approved	11/25/2024

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Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	12/04/2024
B	New York	Agent	Approved	11/25/2024
IA	New York	Investment Adviser Representative	Approved	12/06/2024
B	North Carolina	Agent	Approved	09/16/2025
B	Oregon	Agent	Approved	12/17/2024
B	Pennsylvania	Agent	Approved	11/25/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	11/25/2024
B	Texas	Agent	Approved	11/25/2024
IA	Vermont	Investment Adviser Representative	Approved	12/04/2024
B	Vermont	Agent	Approved	12/16/2024
B	Virginia	Agent	Approved	09/24/2025

Branch Office Locations

OSAIC WEALTH, INC.
1 Mill Ridge Lane, Suite 201A
Chester, NJ 07930

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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, 3 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	Interest Rate Options Examination (S5)	Series 5	05/08/1986
B	General Securities Representative Examination (S7)	Series 7	12/14/1985

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	09/16/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/26/1986

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.

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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	09/07/2010 - 12/13/2024	IC ADVISORY SERVICES, INC.	CRD# 140190	CHESTER, NJ
B	09/03/2010 - 12/13/2024	THE INVESTMENT CENTER, INC.	CRD# 17839	CHESTER, NJ
B	10/05/2009 - 09/08/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BEDMINSTER, NJ
IA	10/05/2009 - 09/08/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	BEDMINSTER, NJ
IA	01/17/2007 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	BEDMINSTER, NJ
B	01/12/2007 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	BEDMINSTER, NJ
IA	12/13/2005 - 01/19/2007	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	BEDMINSTER, NJ
B	11/15/1999 - 01/19/2007	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	BEDMINSTER, NJ
B	03/02/1999 - 10/28/1999	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	08/26/1993 - 02/08/1999	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	09/15/1989 - 09/01/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	02/26/1986 - 09/15/1989	THOMSON MCKINNON SECURITIES INC.	CRD# 829	NEW YORK, NY
B	12/17/1985 - 01/27/1986	GIBRALTAR SECURITIES CO.	CRD# 7093	

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
11/2024 - Present	Osaic Wealth	Registered Representative	Y	Chester, NJ, United States
09/2010 - 11/2024	IC ADVISORY SERVICES INC	REGISTERED REP.	Y	CHESTER, NJ, United States
09/2010 - 11/2024	THE INVESTMENT CENTER INC	REGISTERED REP.	Y	CHESTER, NJ, United States

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Registration & Employment History

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. MCALENEY WEALTH MANAGEMENT
POSITION: Owner NATURE: DBA for securities INVESTMENT RELATED: Yes NUMBER OF HOURS: 180 SECURITIES TRADING HOURS: 140 START DATE: 09/03/2010
ADDRESS: 1 Millridge Lane, Suite 201A, Chester NJ 07930
DESCRIPTION: Owner

2. SAMSON MANAGEMENT SERVICES
POSITION: owner NATURE: real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 09/01/2010
ADDRESS: 6 Butternut Drive, PO Box 274, Brookside NJ 07926
DESCRIPTION: manages real estate properties

5. RENTAL PROPERT IN MA
POSITION: owner NATURE: I rent out my vacation home in MA INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 11/19/2015
ADDRESS: 1 Butternut Lane, PO Box 274, Brookside NJ 07926
DESCRIPTION: I rent out my vacation home in MA

6. NETWORKING GROUP
POSITION: Tip Master NATURE: This is a national networking group that exchanges business ideas and referrals. If I receive or give a referral there's no money exchanged. We only compensated directly from the referral not from a member of the group.
INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 05/01/2014
ADDRESS: 517 Rt 10, Randolph NJ 07869, United States
DESCRIPTION: This is a national networking group that exchanges business ideas and referrals.
My job consist of keeping track of the referrals for the group of 15 members. Again no money is exchange for receiving or giving a referral for any member of this group.

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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.

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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	2

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:	Individual
Employing firm when activities occurred which led to the complaint:	THE INVESTMENT CENTER INC
Allegations:	IN THE JOINT INCOME ACCOUNT BETWEEN FATHER/DAUGHTER OF THE NOW DECEASED FATHER, THE WIFE AND DAUGHTER OF THE DECEASED HUSBAND/FATHER ALLEGE THAT THE REPRESENTATIVE MAY HAVE MADE UNSUITABLE RECOMMENDATIONS AND OR MAY HAVE EXECUTED TRANSACTIONS WITHOUT THE FATHER/DAUGHTERS CONSENT. NO ACTUAL DAMAGES ARE ALLEGED BUT RATHER THE DAMAGE CLAIMS ARE " LOST OPPORTUNITY COST" OF APPROXIMATELY $55,000.00.
Product Type:	Debt-Municipal Mutual Fund Unit Investment Trust
Alleged Damages:	$55,000.00
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:	09/10/2012
Complaint Pending?	No

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Status:	Settled
Status Date:	06/06/2013
Settlement Amount:	$24,999.00
Individual Contribution Amount:	$13,905.11
Broker Statement	IN THE JOINT ACCOUNT OF [CUSTOMER] AND [CUSTOMER], THE CLIENTS AUTHORIZED EACH TRANSACTION, WHICH WERE IN ACCORDANCE TO THEIR INVESTMENT OBJECTIVES. ALL CONFIRMS AND STATEMENTS WERE SENT TO THE CLIENTS. HOWEVER, IN ORDER TO AVOID FURTHER EXPENSE, COSTS, AND TIME TO LITIGATE THE DISPUTE, THE PARTIES HAVE REACHED A FULL AND FINAL SETTLEMENT OF ALL CLAIMS BETWEEN THEM.

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	ALLEGATIONS: UNAUTHORIZED TRADING WITH AN AMOUNT IN DISPUTE OF $50,000.00
Product Type:	Mutual Fund(s)
Alleged Damages:	$50,000.00

Customer Complaint Information

Date Complaint Received:	12/29/2003
Complaint Pending?	No
Status:	Settled
Status Date:	01/29/2004
Settlement Amount:	$39.00
Individual Contribution Amount:	$0.00
Broker Statement	CUSTOMER AUTHORIZED PURCHASE OF 50K OF MUTUAL FUND. CUSTOMER RECEIVED TRADE CONFIRMATION AND PROSPECTUS PRIOR TO PAYING FOR THE TRADE. AMOUNT IN DISPUTE WAS ACTUALLY $39.00, DUE TO MARKET FLUCTUATION, NOT $50,000. CLIENT WAS GIVEN A FULL REFUND PLUS INTEREST AND FIRM RESPONDED TO THE NASD ON 1/29/04 CLOSING THE MATTER.

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER
Allegations:	CLIENTS ATTORNEY ALLEGED THAT FA CONDUCTED UNAUTHORIZED TRADING, EXCESSIVE TRADING AND MADE UNSUITABLE RECOMMENDATIONS. DAMAGES WERE UNSPECIFIED BUT COMMISSIONS

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	ARE GREATER THAN $5,000.
Product Type:	Other
Other Product Type(s):	VARIOUS PRODUCTS
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	08/03/1999
Complaint Pending?	No
Status:	Settled
Status Date:	12/06/1999
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINEWEBBER
Allegations:	UNAUTHORIZED TRADING, EXCESSIVE TRADING, AND SUITABILITY. THERE WERE NO SPECIFIC DAMAGES ALLEGED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	08/03/1999
Complaint Pending?	No
Status:	Settled
Status Date:	12/06/1999
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE CUSTOMERS HAD BEEN CLIENTS FOR 12YEARS UNTIL I LEFT PAINE-WEBBER & WENT TO ANOTHER FIRM. ONE YEAR LATER I HAVE BEEN NOTIFIED THAT THE CUSTOMERS HAD WRITTEN A COMPLAINT AND HAD SETTLED WITH PAINE WEBBER. I HAVE NEVER RECEIVED A WRITTEN COPY OF THE COMPLAINT NOR DID I PARTICIPATE OR AGREE TO ANY KIND OF SETTLEMENT WITH THIS CLIENT. THERE WAS NO PARTICIPATION BY ME AND NO CONTRIBUTION FROM ME TO THIS SETTLEMENT. THE SETTLEMENT WAS PAID IN ITS ENTIRETY BY PAINE WEBBER. I PAID NOTHING. THE U5 SHOULD BE AMENDED AT NUMBER 12 TO READ $0.00 CONTRIBUTION FROM THE FINANCIAL CONSULTANT.

Disclosure 4 of 6

Reporting Source:	Firm

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

Allegations: THE CLIENT ALLEGES EXCESSIVE TRADING IN HER
PAINEWEBBER ACCOUNTS. DAMAGES ARE NOT SPECIFIED BUT A REVIEW
REVEALS THAT COMMISSIONS CHARGED IN ACCOUNTS EXCEED $5,000.
DATES AND PRODUCTS NOT SPECIFIED.

Product Type:

Alleged Damages: $800,000.00

Customer Complaint Information

Date Complaint Received: 06/18/1998

Complaint Pending? No

Status: Settled

Status Date: 02/02/1999

Settlement Amount: $110,000.00

Individual Contribution Amount:

Firm Statement PAINEWEBBER SETTLED THIS MATTER FOR $110,000.
PREPARED BY: NEIL BARRY (201)902-6069

Reporting Source: Individual

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

Allegations: THE CLIENT ALLEGES EXCESSIVE TRADING IN HER
PAINEWEBBER ACCOUNTS. DAMAGES WERE NOT SPECIFIED BUT A
REVIEW
REVEALS THAT COMMISSIONS CHARGED IN ACCOUNTS EXCEED $5,000.
DATES AND PRODUCTS NOT SPECIFIED. COMPLAINT RECEIVED BY
PAINEWEBBER

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $800,000.00

Customer Complaint Information

Date Complaint Received: 06/18/1998

Complaint Pending? No

Status: Settled

Status Date: 02/02/1999

Settlement Amount: $110,000.00

Individual Contribution Amount: $0.00

Broker Statement NOT PROVIDED
CUSTOMER WAS A CLIENT FOR 10 YEARS AND A
INVESTOR FOR OVER 50 YRS. SHE IS BOTH KNOWLEDGEABLE AND
SUREHILATED INVESTOR. IN 1995, WE DID AN ESTATE PLAN THAT

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SAVED 410K TAXES. CUSTOMER WAS CONTACTED ON EACH TRANSACTION,
SENT CONFIRMATION AND STATEMENTS, CONTACT BY PAINEWEBBER VERBALLY AND SENT A LETTER TO SIGN ACKNOWLEDGING SHE WAS FULLY
AWARE OF ALL TRANSACTIONS IN HER ACCOUNT. CUSTOMER SIGN THE LETTER AGREEING ALL TRADES WERE AUTHORIZED AND SHE WAS FULLY AWARE OF ALL TRADES OF ALL TRADES. DUE TO MANKE COWRITER IN OCT 1997 AND WITHDRAWING LARGE AMOUNT UNEXPECTEDLY THIS CAUSE
ADDITIONAL TRANSACTIONS

Disclosure 5 of 6

Reporting Source: Firm

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

Allegations: The client complains that the PaineWebber IE should not have recommended the purchase to 3 Integrity Annuity contracts in 1994 and the purchase of 2 Unit Investment Trusts and one High Yield Bond Fund because the sale resulted in surrender charges of $5,265.88 and tax penalties of $8,149.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/04/1998

Complaint Pending? No

Status: Denied

Status Date: 02/02/1999

Settlement Amount:

Individual Contribution Amount:

Firm Statement PaineWebber denied the claim.
Prepared by: Neil Barry (201)902-6069

Reporting Source: Individual

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

Allegations: CLIENT DIDN'T REALIZE THAT THERE WERE TAXES TO BE PAID ON THE INVESTMENT WHEN IT WAS SOLD $8,149

Product Type: Annuity(ies) - Variable

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/04/1998

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Complaint Pending? No

Status: Denied

Status Date: 02/02/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement PAINE WEBBER DENIED THE COMPLAINT.
NOT PROVIDED

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PAINEWEBBER INCORPORATED

Allegations: CLIENT ASKED THAT PAINE WEBBER LOOK A THE
GAINS REALIZED AND THE COMMISSIONS CHARGED IN HIS PAINE WEBBER ACCOUNT. CLIENT ASKS FOR REASONABLE RESTITUTION FOR THE CHARGES HE PAID IN HIS ACCOUNT. PRODUCT INCLUDED EQUITIES. DAMAGES UNSPECIFIED, BUT DETERMINED TO BE OVER $5000.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/10/1998

Complaint Pending? No

Status: Denied

Status Date: 07/08/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement PAINE WEBBER DENIED THE CLAIM.
CLIENT WAS FULLY AWARE OF ALL TRANSACTIONS BOTH
VERBALLY FROM ME, AND WRITTEN CONFIRMATIONS FROM PAINE WEBBER.
CLIENT WAS AWARE THAT ALL COMMISIONS WERE CHARGED AT THE NORMAL
COMMISSION RATE AND NONE WOULD BE DISCOUNTED.

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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 2

Reporting Source:	Individual
Firm Name:	AG EDWARDS & SONS INC.
Termination Type:	Permitted to Resign
Termination Date:	10/18/1999
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	ON 10/20/99 CUSTOMER SENT LETTER TO BROKER ALLEGING FAILURE TO FOLLOW INSTRUCTIONS TO LIQUIDATE HER ACCOUNT. MR. MCALENEY NEVER RECIEVED AN ORDER,(NEITHER VERBALLY NOR IN WRITING)TO LIQUIDATE THE PORTFOLIO. ON 10/22/99 CUSTOMER REALIZED SHE HAD UNINTENTIONALLY CREATED A COMPLAINT, AND FULLY RETRACTED HER ORIGINAL STATEMENT. CUSTOMER RETRACTED THE COMPLAINT IN WRITING AND IN PERSON WITH THE BRANCH MANAGER. ON 10/22/99 MR MCALENEY WAS TERMINATED.

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	PAINE WEBBER
Termination Type:	Permitted to Resign
Termination Date:	01/22/1999
Allegations:	NOT PROVIDED 3 CUSTOMER COMPLAINTS
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	MR. MCALENEY WAS TERMINATED FOR PRACTICES INCONSISTENT WITH PAINE WEBBER'S PHILOSOPHY.

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End of Report

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