IAPD Report

GLENN JOSEPH FAMA

CRD# 1614526

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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

GLENN JOSEPH FAMA (CRD# 1614526)

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 **09/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	02/08/2008
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	02/08/2008

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	SAN FRANCISCO, CA	09/20/2000 - 02/29/2008
B	UBS FINANCIAL SERVICES INC.	8174	SAN FRANCISCO, CA	09/15/2000 - 02/29/2008
B	FIRST UNION SECURITIES, INC.	19616	ST. LOUIS, MO	10/18/1993 - 09/20/2000

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

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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 **18** jurisdiction(s) and 1 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#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/08/2008
B	FINRA	General Securities Principal	Approved	07/03/2008
B	Arizona	Agent	Approved	04/04/2008
B	California	Agent	Approved	02/08/2008
IA	California	Investment Adviser Representative	Approved	02/08/2008
B	Colorado	Agent	Approved	12/11/2020
B	Connecticut	Agent	Approved	12/15/2023
B	Florida	Agent	Approved	02/12/2008
B	Hawaii	Agent	Approved	12/26/2008
B	Indiana	Agent	Approved	07/12/2013
B	Michigan	Agent	Approved	10/04/2016
B	Missouri	Agent	Approved	09/05/2018
B	Nevada	Agent	Approved	02/08/2008

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Qualifications

	Regulator	Registration	Status	Date
B	New Jersey	Agent	Approved	02/14/2008
IA	New Jersey	Investment Adviser Representative	Approved	02/19/2008
B	New York	Agent	Approved	12/08/2020
B	North Carolina	Agent	Approved	02/08/2008
B	Oregon	Agent	Approved	03/05/2008
B	Pennsylvania	Agent	Approved	02/08/2008
B	Texas	Agent	Approved	11/30/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	11/30/2015
B	Virginia	Agent	Approved	02/20/2008
B	Washington	Agent	Approved	05/26/2011

Branch Office Locations

WELLS FARGO ADVISORS
505 MONTGOMERY STREET
11TH FLOOR
SAN FRANCISCO, CA 94111

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/01/2008

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	04/18/1987

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/24/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/23/1987

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	09/20/2000 - 02/29/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA
B	09/15/2000 - 02/29/2008	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN FRANCISCO, CA
B	10/18/1993 - 09/20/2000	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	08/12/1987 - 10/26/1993	PAINEWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	04/21/1987 - 05/07/1987	WEDBUSH, NOBLE, COOKE, INC	CRD# 877	

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
05/2009 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK LLC	REGISTERED REP	Y	SAN FRANCISCO, 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.

FAMA CAPITAL WEALTH MGT, LTD, INVT RELATED, SAN FRANCISCO, CA, 100% OWNERSHIP, START 3/12/2020, 200 HRS PER MONTH, 8 HRS DURING TRADING, FINET PRACTICE.;
TRUSTEE FOR PARENTS TRUST, INV RELATED, SAN FRANCISCO, CA, START: 1/21/2021, 0 HRS/MONTH, 0 HRS DURING TRADING.

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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

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:	UBS FINANCIAL SERVICES INC.
Allegations:	ALLEGATIONS OF UNSUITABILITY OF RECOMMENDED INVESTMENTS AND MISREPRESENTATION IN THE FORM OF INACCURATE RECOMMENDATIONS
Product Type:	Mutual Fund(s)
Alleged Damages:	$195,507.00

Customer Complaint Information

Date Complaint Received:	09/19/2005
Complaint Pending?	No
Status:	Settled
Status Date:	02/23/2006
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FINANCIAL ADVISOR ASSERTS THAT THE CLIENT'S ALLEGATIONS ARE FALSE AND HAVE NO MERIT. THE FIRM OFFERED THE CLIENT A SETTLEMENT SOLELY AS A BUSINESS DECISION.

Disclosure 2 of 6

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Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EVEREN SECURITIES INC., A/K/A FIRST UNION SECURITIES, INC. AND WACHOVIA SECURITIES, INC., UBS PAINEWEBBER INC., N/K/A UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGED THAT RESPONDENTS FAILED TO PROPERLY HANDLE CLAIMANT'S ACCOUNT CAUSING CLAIMANT TO SUFFER MONETARY DAMAGES. CLAIMANT ALSO ALLEGED THAT THE INVESTMENTS MADE IN HIS ACCOUNTS WERE UNSUITABLE AND FURTHER ALLEGED NEGLIGENCE AND BREACH OF FIDUCIARY DUTY WITH RESPECT TO CLAIMANT'S INVESTMENTS.
Product Type:	Other
Other Product Type(s):	VARIOUS HIGH TECHNOLOGY STOCKS
Alleged Damages:	$1,500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-02912
Date Notice/Process Served:	05/16/2002
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	09/07/2005
Disposition Detail:	STIPULATED AWARD ISSUED: ON OR ABOUT OCTOBER 8, 2004, THE PANEL WAS ADVISED THAT CLAIMANT AND RESPONDENTS HAD REACHED A SETTLEMENT IN THIS MATTER. ALL CLAIMS BY CLAIMANT ARE DISMISSED WITH PREJUDICE.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC.
Allegations:	CLAIMANT ALLEGES THAT, STARTING IN THE SPRING OF 2000, THE FA ALLEGEDLY PURCHASED AND SOLD UNSUITABLE INVESTMENTS FOR CLAIMANT'S PORTFOLIO.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$1,000,000.00

Customer Complaint Information

Date Complaint Received:	05/31/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/31/2002
Settlement Amount:	
Individual Contribution Amount:	

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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR-DR CASE #02-02912
Date Notice/Process Served:	05/31/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/16/2004
Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Firm Statement	CLAIMANT ALLEGES UNSUITABLE CONCENTRATION IN TECHNOLOGY STOCKS ON MARGIN. DISMISSAL OF CLAIMS AGAINST FA AT MEDIATION. SETTLED FOR $50,000.00. THE OTHER FIRM (UBS) DID NOT SETTLE AT THIS MEDIATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIM ALLEGES UNSUITABILITY AND ALLEGED UNAUTHORIZED TRADING, NEGLIGENCE, BREACH OF FIDUCIARY DUTY AND FAILURE TO WARN OF RISKS OF MARGIN TRADING.
Product Type:	Other
Other Product Type(s):	PRODUCT UNSPECIFIED
Alleged Damages:	$1,500,000.00

Customer Complaint Information

Date Complaint Received:	05/31/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/31/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD: DOCKET # 02-02912
Date Notice/Process Served:	05/31/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/07/2004

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Monetary Compensation Amount:	$175,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM SETTLED TO AVOID THE COST AND UNCERTAINTIES OF A PROTRACTED ARBITRATION.

Disclosure 3 of 6

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	
Allegations:	MISREPRESENTATION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	UNSPECIFIED TYPE OF FINANCIAL PRODUCT
Alleged Damages:	$19,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #01-05146
Date Notice/Process Served:	10/01/2001
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/21/2002
Disposition Detail:	AWARD: RESPONDENT IS LIABLE, AND SHALL PAY TO CLAIMANT THE SUM OF $44,137.00 AS COMPENSATORY DAMAGES.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PAINE WEBBER, INC. AND FIRST UNION SECURITIES, INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, FRAUD, MISREPRESENTATION, UNSUITABLE TRADING IN RISKY TECHNOLOGY STOCKS ON MARGIN.
Product Type:	Equity - OTC
Alleged Damages:	$19,000.00

Customer Complaint Information

Date Complaint Received:	10/17/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/17/2001
Settlement Amount:	

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Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NO: 01-05146
Date Notice/Process Served:	10/17/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	09/13/2002
Monetary Compensation Amount:	$51,697.00
Individual Contribution Amount:	$34,112.00
Firm Statement	NASD ARBITRATION PANEL AWARDED CUSTOMER $51,697. FA CONTRIBUTED $34,112.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, FRAUD, MISREPRESENTATION, UNSUITABLE TRADING IN RISKY TECHNOLOGY STOCKS ON MARGIN.
Product Type:	Equity - OTC
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	10/17/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/17/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 01-05146
Date Notice/Process Served:	10/17/2001
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	09/13/2002
Monetary Compensation	$66,913.00

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Amount:	
Individual Contribution Amount:	$0.00
Broker Statement	[CUSTOMER], A CLIENT OF 11 YEARS STATE SHE OWNED AND OPERATED A PROCESS SERVICE COMPANY WAS SEEKING DAMAGES OF APPOX. $300,000. RESPONDENTS DENY THE ALLEGATIONS, HOWEVER ARBITRATION PANEL ENTERED AN AWARD IN FAVOR OF CLAIMANT AND AGAINST RESPONDENTS, GLENN FAMA, UBS PAINEWEBBER AND FIRST UNION SECURITIES. FAMA WAS ORDERED TO PAY A TOTAL OF $44,137 TO CLAIMANT. RESPONDENT UBS PAINEWEBBER WAS ORDERED TO PAY $5,191 TO CLAIMANT; AND RESPONDENT FIRST UNION WAS ORDERED TO PAY $17,585 TO CLAIMANT.

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIMANTS ALLEGE MISREPRESENTATION, FRAUD, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, UNSUITABLE AND UNAUTHORIZED TRADING IN ACCOUNT. DAMAGES UNSPECIFIED.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	11/19/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	11/19/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 01-05431
Date Notice/Process Served:	11/19/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/17/2003
Monetary Compensation Amount:	$9,999.00
Individual Contribution Amount:	$0.00
Broker Statement	PLEASE ARCHIVE.. NO LONGER REPORTABLE ON THE BROKER'S RECORD. SETTLED FOR LESS THAN $10,000.

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Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES INC. (CURRENTLY KNOWN AS WACHOVIA SECURITIES INC.)
Allegations:	CALIFORNIA CUSTOMER WHO HELD ACCOUNT FROM 11/93 TO 9/00 STATES THAT DURING THE YEAR 2000 FA RECOMMENDED UNSUITABLE INVESTMENTS AND MADE UNAUTHORIZED TRADES IN HIS ACCOUNT.
Product Type:	Equity - OTC
Alleged Damages:	$200,000.00

Customer Complaint Information

Date Complaint Received:	11/20/2002
Complaint Pending?	No
Status:	Denied
Status Date:	01/30/2003
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLAIM DENIED.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, FRAUD, NEGLIGENCE, MISREPRESENTATION, UNSUITABLE AND UNAUTHORIZED TRADES IN TECHNOLOGY AND OTHER STOCKS.
Product Type:	Equity - OTC
Alleged Damages:	$170,000.00

Customer Complaint Information

Date Complaint Received:	09/26/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/26/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD -DOCKET # 01-03948

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Date Notice/Process Served:	09/26/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/29/2002
Monetary Compensation Amount:	$20,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FINNCIAL ADVISOR DENIES ALL ALLEGATIONS OF THE CLAIMANT.

Disclosure 6 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIMANTS ALLEGE MISREPRESENTATION, FAILURE TO FOLLOW INSTRUCTIONS, UNSUITABILITY AND UNAUTHORIZED TRADING IN TECHNOLOGY STOCKS.
Product Type:	Equity - OTC
Alleged Damages:	$40,000.00

Customer Complaint Information

Date Complaint Received:	08/13/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/13/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 01-03944
Date Notice/Process Served:	08/13/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/29/2002
Monetary Compensation Amount:	$16,500.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM SETTLED TO AVOID THE COST AND UNCERTAINTIES OF A PROTRACTED ARBITRATION.

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End of Report

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