



## IAPD Report

# SAMIR MOUFID SLEIMAN

CRD# 1756729

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

**i** 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

### SAMIR MOUFID SLEIMAN (CRD# 1756729)

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 **03/20/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

### QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	WELLS FARGO INVESTMENTS, LLC	10582	SALT LAKE CITY, UT	05/29/2007 - 01/03/2011
<b>B</b>	WELLS FARGO INVESTMENTS, LLC	10582	SALT LAKE CITY, UT	05/24/2001 - 01/03/2011
<b>B</b>	WELLS FARGO SECURITIES, LLC	7665	SAN FRANCISCO, CA	08/03/2001 - 01/09/2002

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	5



## 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 **27** jurisdiction(s) and 6 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>B</b> Cboe Exchange, Inc.	General Securities Representative	Approved	12/01/2021
<b>B</b> FINRA	General Securities Representative	Approved	01/03/2011
<b>B</b> NYSE American LLC	General Securities Representative	Approved	07/29/2011
<b>B</b> Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
<b>B</b> New York Stock Exchange	General Securities Representative	Approved	01/24/2011
<b>B</b> Arizona	Agent	Approved	01/03/2011
<b>B</b> California	Agent	Approved	01/03/2011
<b>IA</b> California	Investment Adviser Representative	Approved	10/05/2022
<b>B</b> Colorado	Agent	Approved	01/03/2011
<b>B</b> Florida	Agent	Approved	01/03/2011
<b>B</b> Idaho	Agent	Approved	01/03/2011
<b>B</b> Illinois	Agent	Approved	06/07/2019



### Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	11/09/2018
B Maryland	Agent	Approved	06/12/2024
B Massachusetts	Agent	Approved	02/08/2022
B Minnesota	Agent	Approved	10/29/2025
B Missouri	Agent	Approved	10/21/2014
B Montana	Agent	Approved	03/13/2026
B Nevada	Agent	Approved	01/03/2011
B New Hampshire	Agent	Approved	02/04/2020
B New Jersey	Agent	Approved	03/03/2026
B New York	Agent	Approved	11/21/2021
B North Carolina	Agent	Approved	01/12/2017
B Oklahoma	Agent	Approved	02/10/2016
B Oregon	Agent	Approved	01/11/2019
B South Carolina	Agent	Approved	03/04/2026
B Tennessee	Agent	Approved	07/21/2021
B Texas	Agent	Approved	01/03/2011
IA Texas	Investment Adviser Representative	Restricted Approval	03/23/2026
B Utah	Agent	Approved	01/03/2011



### Qualifications

Regulator	Registration	Status	Date
IA Utah	Investment Adviser Representative	Approved	01/03/2011
B Virginia	Agent	Approved	12/20/2021
B Washington	Agent	Approved	01/03/2011
B Wisconsin	Agent	Approved	10/14/2013
B Wyoming	Agent	Approved	01/03/2011

### Branch Office Locations

**WELLS FARGO ADVISORS**  
299 S MAIN ST 7TH FL  
[MK/ME-RBO]  
SALT LAKE CITY, UT 84111

**WELLS FARGO ADVISORS**  
PALM SPRINGS, 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, 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>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
---	-----	------------

<b>B</b> General Securities Representative Examination (S7)	Series 7	12/19/1987
---	----------	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	05/14/1999
--	-----------	------------

<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	10/22/1993
---	-----------	------------

### 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	05/29/2007 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SALT LAKE CITY, UT
B	05/24/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SALT LAKE CITY, UT
B	08/03/2001 - 01/09/2002	WELLS FARGO SECURITIES, LLC	CRD# 7665	SAN FRANCISCO, CA
B	11/16/1998 - 06/08/2001	U.S. BANCORP PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	05/21/2001 - 06/01/2001	WELLS FARGO VAN KASPER, LLC	CRD# 7665	SAN FRANCISCO, CA
B	09/03/1997 - 11/16/1998	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	SAINT PAUL, MN
B	05/13/1996 - 09/03/1997	U.S. BANCORP SECURITIES	CRD# 17439	PORTLAND, OR
B	02/22/1994 - 05/20/1996	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	11/25/1991 - 02/28/1994	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX
B	10/03/1989 - 01/09/1990	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	12/22/1987 - 10/23/1989	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	09/13/1989 - 10/17/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	

#### 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SALT LAKE CITY, UT, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SALT LAKE CITY, UT, United States



## 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. DANG INVESTMENTS LLC; INV RELATED; SALT LAKE CITY, UT; 100% OWNERSHIP WITH SPOUSE; REAL ESTATE; START DATE 7/20/2020; 3 HRS PER MONTH; 0 HRS DURING TRADING. DUTIES: ADVICE AND SUPERVISION. |
3. RENTAL PROPERTY; INV RELATED; SALT LAKE CITY, UT; 100% OWNER WITH SPOUSE; START: 12/09/2014 HRS: 0 PER MONTH - 0 DURING TRADING; DUTIES: LANDLORD. |
4. KATIA, LLC; INV. RELATED; SALT LAKE CITY, UT; 50% OWNERSHIP; REAL ESTATE MANAGEMENT; START DATE 10/12/2016; 0 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES - NONE. |
5. RENTAL PROPERTY, INVT RELATED, SALT LAKE CITY, UT, 100% OWNERSHIP WITH SPOUSE, START DATE 3/31/2020, HRS PER MONTH, 0 HRS DURING TRADING, INVESTOR/OWNER. |
6. CO-TRUSTEE OF MOTHER-IN-LAW'S TRUST; INV. RELATED; HONOLULU, HI; START DATE 4/2021; 2 HRS PER MONTH; 0 HRS DURING TRADING. |
8. SAMINIKA, LLC; NOT INV. RELATED; SALT LAKE CITY, UT; 100% OWNERSHIP WITH SPOUSE; START DATE 08/19/2021; NUMBER OF HOURS PER MONTH 5; NUMBER OF HOURS DURING TRADING 0; REAL ESTATE AND STOCK MARKET INVESTING. |
9. COMMERCIAL RENTAL PROPERTY, INVT RELATED, SALT LAKE CITY, UT, 100% OWNERSHIP WITH SPOUSE, START DATE 8/31/2022, 2 HRS PER MONTH, 0 HRS DURING TRADING, OWNER. |
10. THE MILK BLOCK, LLC; INV RELATED; LSC, UT; 50% OWNERSHIP; 06/2025; 3 HOURS PER MONTH; 0 DURING TRADING; LLC FOR REAL ESTATE RENTALS |
11. CO-TRUSTEE OF MOTHER-IN-LAW'S LIVING TRUST; INV. RELATED; SLC, UT; START DATE 8/18/2025; 1 HR PER MONTH; 1 HR 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	5

### 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 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	CLIENT'S ATTORNEY WRITES ON HIS BEHALF STATING HIS CLIENT'S FA NEVER DISCLOSED TO HIM THAT THERE WERE FEES OR COSTS ASSOCIATED WITH HIS PURCHASE OF MARKET LINKED CDS. HE IS REQUESTING TO BE REIMBURSED IN THE AMOUNT OF \$12,900 FOR FEES INCURRED. (03/31/2010-01/15/2011)
<b>Product Type:</b>	Other: STRUCTURED PRODUCT
<b>Alleged Damages:</b>	\$12,900.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/18/2011
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	04/20/2011
<b>Settlement Amount:</b>	

**Individual Contribution Amount:****Broker Statement**

I VISITED WITH THE CLIENT 4 TIMES PRIOR TO HIS DECISION TO PURCHASE THE INVESTMENT. I REVIEWED ALL MATERIAL FACTS INCLUDING FEES, PRICING, MATURITY, ETC. HE RECEIVED A PROSPECTUS. THE CLIENT'S GOAL WAS TO PROTECT HIS PRINCIPAL AND PARTICIPATE IN THE UPSIDE OF THE MARKET. I ACTED DILIGENTLY ON HIS DESIRE AND NEED. HIS INVESTMENT VALUE TODAY IS HIGHER THAN HIS ORIGINAL PRINCIPAL.

**Disclosure 2 of 5****Reporting Source:**

Individual

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

WELLS FARGO INVESTMENTS, LLC.

**Allegations:**

THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.  
ACTIVITY DATE(S): 11/8/2005

**Product Type:**

Other: AUCTION RATE SECURITIES

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN \$5,000.

**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:**

08/22/2008

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

02/18/2010

**Settlement Amount:**

\$100,000.00

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF



## FINRA REGULATORY NOTICE 09-12.

**Disclosure 3 of 5**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** WELLS FARGO INVESTMENTS, LLC.

**Allegations:** CLIENTS ALLEGED THAT THEY WERE MISLED AS TO WHICH OF THEIR POLICIES SHOULD CARRY A HIGHER VALUE AND THAT THE POLICIES WERE NOT STRUCTURED IN THEIR BEST INTERESTS. POLICIES ISSUED ON OR ABOUT OCTOBER 28, 2003.

**Product Type:** Insurance

**Other Product Type(s):** UNIVERSAL LIFE INSURANCE POLICIES (NO VARIABLE COMPONENT)

**Alleged Damages:** \$13,119.93

**Customer Complaint Information**

**Date Complaint Received:** 07/12/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 08/19/2005

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE [CUSTOMERS] ASKED ME TO REVIEW THE INSURANCE CONTRACTS THEY PURCHASED FROM CONSECO. THE [CUSTOMERS] OBJECTIVE WAS ESTATE PLANNING AND INCOME REPLACEMENT. WITH THE HELP OF [OTHER FIRM MEMBER], OUR INSURANCE SPECIALIST AT THE TIME, IT WAS RECOMMENDED TO REPLACE THE CONSECO POLICIES FOR 2 REASONS. FIRST, CONSECO WAS BEING DOWNGRADED BY MANY ANALYSTS AT THE TIME. SECOND, HARTFORD OFFERED TO INSURE THEM FOR LESS PREMIUM OR HIGHER FACE VALUE. THEY CHOSE TO REDUCE THE PREMIUM AND HAVE IT PAID UP FASTER WITH HARTFORD. THE [CUSTOMERS] HAVE BEEN GOOD CLIENTS AND WE HAVE BEEN REVIEWING THEIR INVESTMENTS AT LEAST TWICE TO 3 TIMES A YEAR DEPENDING ON THEIR UTAH VISITS. THEY MAKE A POINT OF SEEING ME WHEN THEY ARE IN TOWN. THE MOST RECENT TRANSACTION WE HAD WAS A CHANGE OF BROKER ON THEIR AMERICAN FUNDS AT THEIR REQUEST BECAUSE THEY WERE NOT GETTING GOOD SERVICE FROM THE ADVISOR. [CUSTOMER] CALLED ME WHEN SHE GOT HER PREMIUM PAYMENT REQUEST. SHE WAS THINKING ABOUT CANCELING THE POLICY SINCE SHE DIDN'T THINK SHE NEEDED IT. I THEN CONFERENCED HER IN WITH [OTHER FIRM MEMBER], THE LIFE SPECIALIST, TO EXPLAIN HER OPTIONS IN CASE THERE IS A BETTER SOLUTION. THERE WAS NEVER A MENTION OF UNHAPPINESS FROM HER. HOWEVER, [OTHER FIRM MEMBER] RECOMMENDED TO HER A POSSIBLE 2ND TO DIE POLICY TO SAVE MONEY. NOW THEY THINK THAT THE 2ND TO DIE SHOULD HAVE BEEN THE POLICY TO HAVE FROM THE BEGINNING. HOWEVER, THEY DON'T REALIZE THAT IT IS NOT AN OPTION TO TRANSFER FROM WHAT THEY HAD TO A 2ND TO DIE. AS A GENERALIST, I HAVE TO RELY ON THE SPECIALISTS FOR RECOMMENDATIONS AND I BELIEVE THAT THE CHAMBERS HAD THE RIGHT CONTRACT FOR THE TIME.



**Disclosure 4 of 5**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** U.S. BANCORP PIPER JAFFRAY INC.

**Allegations:** CLIENT ALLEGES IE MISREPRESENTED PACIFIC INNOVATIONS ANNUITY CONTRACT ISSUED 8/3/00. SEEKS REVERSAL OF TRANSACTION AND REIMBURSEMENT OF ALL FEES AND COMMISSIONS OR APPROXIMATELY \$12,000.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$12,000.00

**Customer Complaint Information**

**Date Complaint Received:** 10/16/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/01/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** US BANCORP PIPER JAFFRAY INC

**Allegations:** CLIENT ALLEGES IE MISREPRESENTED PACIFIC INNOVATIONS ANNUITY CONTRACTS ISSUED 8/3/00. SEEKS REVERSAL OF TRANSACTION AND REIMBURSEMENT OF ALL FEES AND COMMISSIONS OR APPROXIMATELY \$12,000

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$12,000.00

**Customer Complaint Information**

**Date Complaint Received:** 10/16/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/01/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 5 of 5**

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** U.S. BANCORP PIPER JAFFRAY INC.

**Allegations:** CLIENS ALLEGE SLEIMAN GUARANTEED NO LOSS OF PRINCIPAL ON PURCHASES OF EBMBX AND KMBBX ON MARCH 4, 1999.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$7,000.00

**Customer Complaint Information**

**Date Complaint Received:** 07/29/1999

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/01/1999

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I MET WITH THE HEWITTS FOR OVER 2 YEARS BEFORE THEY EVER INVESTED ANY MONEY. DURING OUR MEETING, I WAS VERY SPECIFIC WHEN I EXPLAINED THE ADVANTAGES & DISADVANTAGES OF A TAX FREE BOND FUND. FURTHERMORE, I EXPLAINED THAT EVEN THOUGH THE MUNI BONDS ARE INSURED THEY CAN FLUCTUATE IN VALUE. I SHOWED THEM THE PERFORMANCE CHARTS & GRAPHS SO THEY CAN SEE HOW THE BONDS FLUCTUATED WHEN INTEREST RATES WENT UP & DOWN. IN MY OPINION THE HEWITTS KNEW EXACTLY WHAT THEY WANTED. THEY WANTED TAX FREE INCOME AND THE FUNDS WERE APPROPRIATE CONSIDERING THEIR GOALS AND OBJECTIVES.



## End of Report

This page is intentionally left blank.