



## IAPD Report

# DENNIS PETER BARBA JR

CRD# 1852387

| <b><u>Section Title</u></b>         | <b><u>Page(s)</u></b> |
|-------------------------------------|-----------------------|
| Report Summary                      | 1                     |
| Qualifications                      | 2 - 7                 |
| Registration and Employment History | 8 - 9                 |
| Disclosure Information              | 10                    |



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

### DENNIS PETER BARBA JR (CRD# 1852387)

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 **05/15/2026**.

### CURRENT EMPLOYERS

|    | Firm                                        | CRD#       | Registered Since |
|----|---------------------------------------------|------------|------------------|
| IA | WELLS FARGO ADVISORS                        | CRD# 11025 | 05/01/2015       |
| B  | WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC | CRD# 11025 | 05/01/2015       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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  | UBS FINANCIAL SERVICES INC.      | 8174 | PEPPER PIKE, OH | 01/23/2009 - 05/11/2015 |
| IA | UBS FINANCIAL SERVICES INC.      | 8174 | PEPPER PIKE, OH | 01/23/2009 - 05/11/2015 |
| IA | RAYMOND JAMES & ASSOCIATES, INC. | 705  | BEACHWOOD, OH   | 01/06/2004 - 01/28/2009 |

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

### DISCLOSURE INFORMATION

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

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

| Type             | Count |
|------------------|-------|
| Customer Dispute | 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 **51** 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>B</b>  | FINRA                | General Securities Representative | Approved | 05/01/2015 |
| <b>B</b>  | FINRA                | General Securities Principal      | Approved | 01/25/2016 |
| <b>B</b>  | Alabama              | Agent                             | Approved | 12/06/2017 |
| <b>B</b>  | Alaska               | Agent                             | Approved | 03/13/2024 |
| <b>B</b>  | Arizona              | Agent                             | Approved | 05/01/2015 |
| <b>B</b>  | Arkansas             | Agent                             | Approved | 03/05/2019 |
| <b>B</b>  | California           | Agent                             | Approved | 05/04/2015 |
| <b>B</b>  | Colorado             | Agent                             | Approved | 12/06/2017 |
| <b>B</b>  | Connecticut          | Agent                             | Approved | 09/24/2018 |
| <b>B</b>  | Delaware             | Agent                             | Approved | 09/24/2018 |
| <b>B</b>  | District of Columbia | Agent                             | Approved | 05/01/2015 |
| <b>B</b>  | Florida              | Agent                             | Approved | 05/01/2015 |
| <b>IA</b> | Florida              | Investment Adviser Representative | Approved | 07/19/2016 |



## Qualifications

|    | Regulator     | Registration                      | Status   | Date       |
|----|---------------|-----------------------------------|----------|------------|
| B  | Georgia       | Agent                             | Approved | 11/22/2017 |
| B  | Hawaii        | Agent                             | Approved | 08/23/2019 |
| B  | Idaho         | Agent                             | Approved | 04/17/2023 |
| B  | Illinois      | Agent                             | Approved | 12/06/2017 |
| B  | Indiana       | Agent                             | Approved | 05/18/2015 |
| B  | Iowa          | Agent                             | Approved | 12/06/2017 |
| B  | Kansas        | Agent                             | Approved | 11/06/2019 |
| B  | Kentucky      | Agent                             | Approved | 09/24/2018 |
| B  | Louisiana     | Agent                             | Approved | 12/06/2017 |
| B  | Maine         | Agent                             | Approved | 03/05/2019 |
| B  | Maryland      | Agent                             | Approved | 12/06/2017 |
| B  | Massachusetts | Agent                             | Approved | 12/06/2017 |
| B  | Michigan      | Agent                             | Approved | 05/01/2015 |
| IA | Michigan      | Investment Adviser Representative | Approved | 05/03/2019 |
| B  | Minnesota     | Agent                             | Approved | 05/12/2015 |
| B  | Mississippi   | Agent                             | Approved | 10/19/2020 |
| B  | Missouri      | Agent                             | Approved | 10/24/2018 |
| B  | Montana       | Agent                             | Approved | 05/01/2015 |
| B  | Nebraska      | Agent                             | Approved | 06/30/2021 |



## Qualifications

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | Nevada         | Agent                             | Approved | 09/24/2018 |
| B  | New Hampshire  | Agent                             | Approved | 12/06/2017 |
| B  | New Jersey     | Agent                             | Approved | 11/29/2017 |
| IA | New Jersey     | Investment Adviser Representative | Approved | 10/01/2018 |
| B  | New Mexico     | Agent                             | Approved | 05/01/2015 |
| B  | New York       | Agent                             | Approved | 05/01/2015 |
| IA | New York       | Investment Adviser Representative | Approved | 07/27/2021 |
| B  | North Carolina | Agent                             | Approved | 05/01/2015 |
| B  | North Dakota   | Agent                             | Approved | 02/22/2024 |
| B  | Ohio           | Agent                             | Approved | 05/01/2015 |
| IA | Ohio           | Investment Adviser Representative | Approved | 05/01/2015 |
| B  | Oklahoma       | Agent                             | Approved | 03/05/2019 |
| B  | Oregon         | Agent                             | Approved | 05/01/2015 |
| B  | Pennsylvania   | Agent                             | Approved | 10/07/2015 |
| IA | Pennsylvania   | Investment Adviser Representative | Approved | 05/24/2022 |
| B  | Rhode Island   | Agent                             | Approved | 11/17/2022 |
| B  | South Carolina | Agent                             | Approved | 05/01/2015 |
| B  | South Dakota   | Agent                             | Approved | 11/24/2025 |



## Qualifications

|    | Regulator     | Registration                      | Status              | Date       |
|----|---------------|-----------------------------------|---------------------|------------|
| B  | Tennessee     | Agent                             | Approved            | 05/01/2015 |
| B  | Texas         | Agent                             | Approved            | 05/01/2015 |
| IA | Texas         | Investment Adviser Representative | Restricted Approval | 05/01/2015 |
| B  | Utah          | Agent                             | Approved            | 07/29/2020 |
| B  | Vermont       | Agent                             | Approved            | 07/27/2021 |
| B  | Virginia      | Agent                             | Approved            | 07/02/2015 |
| IA | Virginia      | Investment Adviser Representative | Approved            | 04/05/2023 |
| B  | Washington    | Agent                             | Approved            | 05/01/2015 |
| B  | West Virginia | Agent                             | Approved            | 05/01/2015 |
| B  | Wisconsin     | Agent                             | Approved            | 05/01/2015 |
| B  | Wyoming       | Agent                             | Approved            | 01/20/2022 |

### Branch Office Locations

**WELLS FARGO ADVISORS**

3201 ENTERPRISE PKWY SUITE 400  
[SATELLITE]  
BEACHWOOD, OH 44122

**WELLS FARGO ADVISORS**

230 PARK AVENUE, 3RD FL  
[SATELLITE]  
NEW YORK, NY 10169

**WELLS FARGO ADVISORS**

2408 32ND ST  
[SATELLITE]  
ASTORIA, NY 11105

**WELLS FARGO ADVISORS**

159 CROCKER PARK BLVD SUITE 300  
[SATELLITE]  
WESTLAKE, OH 44145

**WELLS FARGO ADVISORS**

1962 MAIN STREET STE 300  
[OFFICE OF CONVENIENCE]  
SARASOTA, FL 34236

**WELLS FARGO ADVISORS**

50 TICE BLVD, STE 340  
[SATELLITE]  
WOODCLIFF LAKE, NJ 07677

**WELLS FARGO ADVISORS**

33 RIVER STREET  
[SATELLITE]  
CHARGIN FALLS, OH 44022

**WELLS FARGO ADVISORS**

11815 FOUNTAIN WAY SUITE 300  
[SATELLITE]  
NEWPORT NEW, VA 23606



## Qualifications

**WELLS FARGO ADVISORS**  
SHORT HILLS, NJ

**WELLS FARGO ADVISORS**  
12010 MAYFIELD ROAD  
[OFFICE OF CONVENIENCE]  
CLEVELAND, OH 44106

**WELLS FARGO ADVISORS**  
555 SECOND AVENUE  
SUITE D-300  
COLLEGEVILLE, PA 19426

**WELLS FARGO ADVISORS**  
6779 Main Street  
[SATELLITE]  
Williamsville, NY 14221

**WELLS FARGO ADVISORS**  
BRADENTON, FL



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

#### Principal/Supervisory Exams

| Exam                                                    | Category  | Date       |
|---------------------------------------------------------|-----------|------------|
| <b>B</b> General Securities Principal Examination (S24) | Series 24 | 01/25/2016 |

#### General Industry/Product Exams

| Exam                                                                                    | Category  | Date       |
|-----------------------------------------------------------------------------------------|-----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)                               | SIE       | 10/01/2018 |
| <b>B</b> Futures Managed Funds Examination (S31)                                        | Series 31 | 01/31/2007 |
| <b>B</b> General Securities Representative Examination (S7)                             | Series 7  | 07/15/1989 |
| <b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6  | 07/08/1988 |

#### State Securities Law Exams

| Exam                                                          | Category  | Date       |
|---------------------------------------------------------------|-----------|------------|
| <b>IA</b> Uniform Investment Adviser Law Examination (S65)    | Series 65 | 11/08/2002 |
| <b>B</b> Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/16/1989 |



### PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

|    | Registration Dates      | Firm Name                                         | ID#       | Branch Location |
|----|-------------------------|---------------------------------------------------|-----------|-----------------|
| B  | 01/23/2009 - 05/11/2015 | UBS FINANCIAL SERVICES INC.                       | CRD# 8174 | PEPPER PIKE, OH |
| IA | 01/23/2009 - 05/11/2015 | UBS FINANCIAL SERVICES INC.                       | CRD# 8174 | PEPPER PIKE, OH |
| IA | 01/06/2004 - 01/28/2009 | RAYMOND JAMES & ASSOCIATES, INC.                  | CRD# 705  | BEACHWOOD, OH   |
| B  | 01/02/2004 - 01/28/2009 | RAYMOND JAMES & ASSOCIATES, INC.                  | CRD# 705  | BEACHWOOD, OH   |
| IA | 11/10/1999 - 01/26/2004 | ADVEST, INC.                                      | CRD# 10   | BEACHWOOD, OH   |
| B  | 04/16/1999 - 01/26/2004 | ADVEST, INC.                                      | CRD# 10   | HARTFORD, CT    |
| B  | 11/16/1995 - 04/21/1999 | PRUDENTIAL SECURITIES INCORPORATED                | CRD# 7471 | NEW YORK, NY    |
| B  | 04/20/1994 - 11/22/1995 | J.C. BRADFORD & CO.                               | CRD# 1287 | NEW YORK, NY    |
| B  | 07/17/1991 - 04/19/1994 | COWEN & CO.                                       | CRD# 1541 | NEW YORK, NY    |
| B  | 12/14/1990 - 07/17/1991 | A. G. EDWARDS & SONS, INC.                        | CRD# 4    | ST. LOUIS, MO   |
| B  | 02/15/1990 - 12/18/1990 | SMITH BARNEY, HARRIS UPHAM & CO.,<br>INCORPORATED | CRD# 7059 | NEW YORK, NY    |
| B  | 08/26/1988 - 03/01/1990 | COWEN & CO.                                       | CRD# 1541 | NEW YORK, NY    |
| B  | 07/11/1988 - 09/19/1988 | KIDDER, PEABODY & CO. INCORPORATED                | CRD# 7613 |                 |

### 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               |
|-------------------|------------------------------------------------|----------------|--------------------|---------------------------------|
| 05/2015 - Present | WELLS FARGO ADVISORS<br>FINANCIAL NETWORK, LLC | REGISTERED REP | Y                  | BEACHWOOD, OH,<br>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.

OXFORD HARRIMAN COMPANY LLC; INV RELATED; BEACHWOOD, OH; OWNER; LLC FOR FINET PRACTICE; START 5/2015; 200 HRS PER MONTH; 8 HRS DURING TRADING; DUTIES: PRESIDENT & MANAGING PARTNER. |  
CS HOOPS; NOT INV RELATED; SARASOTA, FL; 100% OWNERSHIP; START 1/26/2022; NUMBER OF HOURS PER MONTH 20; NUMBER OF HOURS DURING TRADING 0; SCOUTING HIGH SCHOOL BASKETBALL PLAYERS. |  
OXFORD HOLDINGS LLC, INV RELATED, BEACHWOOD, OH, 80.1% OWNERSHIP, START 10/1/2022, 0 HRS PER MONTH, 0 HRS DURING TRADING, HOLD COMPANY FOR FINET PRACTICE. |  
OXFORD HARRIMAN & COMPANY AM LLC, INV RELATED, BEACHWOOD, OH, 100% OWNERSHIP, START 10/4/2022, 0 HRS PER MONTH, 0 HRS DURING TRADING, HOLDING COMPANY FOR FINET PRACTICE. |  
OXFORD HARRIMAN LEGACY LLC, INV RELATED, BEACHWOOD, OH, 100% OWNERSHIP, START 10/27/2022, 0 HRS PER MONTH, 0 HRS DURING TRADING, PASS THROUGH HOLDING COMPANY FOR FINET PRACTICE. |  
OXFORD HARRIMAN & COMPANY PAPP LLC, INV RELATED, BEACHWOOD, OH, 66.67% OWNERSHIP, START 11/1/2022, 0 HRS PER MONTH, 0 HRS DURING TRADING, PASS THROUGH HOLDING COMPANY FOR FINET PRACTICE. |  
LONDON OXFORD TAX SERVICE, NOT INV RELATED, CLEVELAND, OH, 50% OWNERSHIP, START 12/1/2022, 10 HRS PER MONTH, 4 HRS DURING TRADING, TAX PREP BUSINESS. |  
DIG ENTERPRISES LLC, INV RELATED, BEACHWOOD, OH, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 11/3/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING, FINET PRACTICE. |  
CSGB HOLDINGS LLC; INV RELATED; CHAGRIN FALLS, OH; 100% OWNERSHIP; START 11/08/2023; 0 HOURS PER MONTH; 0 HOURS DURING TRADING; HOLDINGS FOR BASKETBALL TEAM OWNERSHIP. |  
IRAKLIS HOLDINGS LLC, NOT INV RELATED, BROADVIEW HEIGHTS, OH, 8% OWNERSHIP, START 12/1/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING, OWNERSHIP OF BASKETBALL TEAM VIA CSGB HOLDINGS LLC. |  
T & A ADVISORS HOLDINGS LLC, INV RELATED, NORTHVALE, NJ, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 12/15/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING SUCCESSION PLANNING FOR PRACTICE. |  
MASER DE LLC, INV RELATED, BEACHWOOD, OH, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 12/15/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING SUCCESSION PLANNING FOR PRACTICE. |  
DMICS HOLDINGS LLC, INV RELATED, BEACHWOOD, OH, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 12/15/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING SUCCESSION PLANNING FOR PRACTICE. |  
BERGER INVESTMENT HOLDINGS LLC, INV RELATED, BEACHWOOD, OH, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 12/15/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING SUCCESSION PLANNING FOR PRACTICE. |  
WILLOUGHBY VENTURES LLC, INV RELATED, BEACHWOOD, OH, 10% OWNERSHIP VIA OXFORD HARRIMAN & COMPANY PAPP LLC, START 12/15/2023, ZERO HOURS PER MONTH, ZERO HOURS DURING TRADING SUCCESSION PLANNING FOR PRACTICE. |  
PRINCETON HARRIMAN INSURANCE SOLUTIONS, LLC, INV RELATED, SARASOTA, FL, 100% OWNERSHIP, START DATE 9/23/2024, 15 HRS PER MONTH, 10 HRS DURING TRADING, INSURANCE PRACTICE. |  
OXFORD HARRISMAN AND COMPANY PAPP, LLC; INV RELATED; WILTON, CT; MERCHANT CASH AGREEMENT; 66.66% OWNERSHIP; START DATE 06/20/2025; 1 HOUR PER MONTH; 0 HOURS DURING TRADING HOURS  
OXFORD HARRIMAN HOLDINGS, ADV, LLC ; INV RELATED; SARASOTA, FL; REGISTERED INVESTMENT ADVISOR; 80.1% OWNERSHIP; START DATE: 10/01/2025; 15 HRS PER MONTH; 15 HRS DURING TRADING; |  
OXFORD HARRIMAN HOLDING, TECHNOLOGY, LLC; INV RELATED; SARASOTA, FL; ADVISOR TECHNOLOGY; 80.1% OWNERSHIP; START DATE: 10/01/2025; 10 HRS PER MONTH; 10 HRS DURING TRADING; |  
4COMPLY; NOT INV RELATED; SARASOTA, FL; LLC; 50% OWNERSHIP; START DATE: 05/01/2026; 5 HRS PER MONTH; 0 HRS DURING TRADING;



## Disclosure Summary

### Disclosure Information

**What you should know about reported disclosure events:**

**(1) Certain thresholds must be met before an event is reported to IARD, for example:**

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

**(2) Disclosure events in IAPD reports come from different sources:**

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

**(3) There are different statuses and dispositions for disclosure events:**

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

**(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.**



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

| Type             | Count |
|------------------|-------|
| Customer Dispute | 1     |

### 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 1

|                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|----------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Reporting Source:</b>                                                   | Individual                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Employing firm when activities occurred which led to the complaint:</b> | UBS FINANCIAL SERVICES INC                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Allegations:</b>                                                        | TIME FRAME: FEBRUARY 5, 2009 TO FEBRUARY 14, 2013.<br>THE POA ALLEGES HIS FINANCIAL ADVISOR FAILED TO FOLLOW HIS INSTRUCTIONS TO REINVEST ALL OF HIS DIVIDENDS. THE POA FURTHER ALLEGES THE FINANCIAL ADVISOR WAS "DOUBLE DIPPING" BY BEING CHARGED A FRONT END LOAD AND THEN PLACING FUNDS IN A WRAP ACCOUNT AND FURTHER CHARGED. THE POA FINALLY ALLEGES UNAUTHORIZED TRADING. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.00. |
| <b>Product Type:</b>                                                       | Other: MANAGED WRAP ACCOUNTS OUTSIDE MONEY MANAGER                                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Alleged Damages:</b>                                                    | \$0.00                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | ESTIMATED TO BE IN EXCESS OF \$5000                                                                                                                                                                                                                                                                                                                                                                                                               |
| <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

**Date Complaint Received:** 02/15/2013



|                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|----------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Complaint Pending?</b>              | No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Status:</b>                         | Denied                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Status Date:</b>                    | 05/15/2013                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Settlement Amount:</b>              | \$0.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Individual Contribution Amount:</b> | \$0.00                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Broker Statement</b>                | <p>WITH OVER 20 YEARS IN THE FINANCIAL INDUSTRY AND NO PRIOR COMPLAINTS, I STRONGLY DENY THE ALLEGATIONS MADE AND BELIEVE THEM TO BE MERITLESS. THIS COMPLAINT WAS LODGED BY THE SON OF MY FORMER CLIENTS, WHO HAD RECENTLY OBTAINED HIS PARENTS' POA. THE CLIENT'S ACCOUNTS EXPERIENCED SIGNIFICANT GROWTH - BOTH DURING THE MARKET REBOUND IN 2009 AND SINCE THEIR INCEPTION IN 2009. THE RULES OF THIS FIRM SIMPLY MAKES IT IMPOSSIBLE TO BUY A SHARES ON A FULLY-LOADED BASIS, PLACE THEM INTO A FEE-BASED ACCOUNT AND THEN "DOUBLE DIP". THAT IS WHY THE ALLEGATIONS ARE FALSE. FURTHERMORE, THE DOCUMENT HIS PARENTS SIGNED DID NOT AUTHORIZE OR DIRECT THE REINVESTMENT OF DIVIDENDS ON GE OR ANY OTHER SECURITY. CONVERSATIONS WERE HELD MONTHLY WITH THE CLIENT AND I DO NOT RECALL THERE EVER BEING A PROBLEM RAISED BY THE CLIENT ON HOW THE DIVIDENDS WERE REINVESTED. LASTLY, THE PLACEMENT OF FUNDS IN THE PACE ACCOUNT, ALONG WITH ALL TRADES AND SUBSEQUENT REBALANCING WERE ALL MADE WITH THE KNOWLEDGE, DISCUSSION AND APPROVAL OF THE CLIENT.</p> |



## End of Report

This page is intentionally left blank.