



IAPD Report

ROGER HENRY ERICHSEN

CRD# 1957278

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

ROGER HENRY ERICHSEN (CRD# 1957278)

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 **09/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	07/01/2003
IA	WELLS FARGO ADVISORS	CRD# 19616	07/27/2021

QUALIFICATIONS

This representative is currently registered in **6** 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
B	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY	03/13/2001 - 07/01/2003
B	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY	07/31/1993 - 03/16/2001
B	LEHMAN BROTHERS INC.	7506	NEW YORK, NY	05/23/1991 - 07/31/1993

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



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 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	Cboe Exchange, Inc.	General Securities Representative	Approved	10/18/2021
B	FINRA	General Securities Representative	Approved	07/01/2003
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	07/01/2003
B	Arizona	Agent	Approved	07/01/2003
B	California	Agent	Approved	07/01/2003
B	Connecticut	Agent	Approved	07/01/2003
B	Delaware	Agent	Approved	07/11/2018
B	District of Columbia	Agent	Approved	07/01/2003
B	Florida	Agent	Approved	07/01/2003
B	Georgia	Agent	Approved	11/08/2017



Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	07/01/2003
B	Louisiana	Agent	Approved	09/11/2025
B	Maryland	Agent	Approved	07/01/2003
B	Massachusetts	Agent	Approved	07/01/2003
B	New Jersey	Agent	Approved	07/01/2003
B	New York	Agent	Approved	07/01/2003
IA	New York	Investment Adviser Representative	Approved	07/27/2021
B	North Carolina	Agent	Approved	07/01/2003
B	Pennsylvania	Agent	Approved	07/01/2003
B	Rhode Island	Agent	Approved	04/25/2025
B	Texas	Agent	Approved	07/01/2003
B	Virginia	Agent	Approved	07/01/2003

Branch Office Locations

WELLS FARGO ADVISORS

1 PENN PLZ FL 27
NEW YORK, NY 10119



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 1 state securities law exam.

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 General Securities Representative Examination (S7)	Series 7	11/12/1990

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1992



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	03/13/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	07/31/1993 - 03/16/2001	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	05/23/1991 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	11/13/1990 - 05/21/1991	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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	NEW YORK, NY, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	NEW YORK, NY, 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.

No information reported.



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	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: WACHOVIA SECURITIES, LLC

Allegations: DESPITE THE FACT THAT THE FA INHERITED THE ACCOUNT IN 2004 AND THERE HAS BEEN NO TRADING ACTIVITY IN THIS ACCOUNT SINCE 1997, CLIENT'S ATTORNEY ERRONEOUSLY CHARACTERIZES MARGIN INTEREST ACCRUALS AND WITHDRAWALS AS TRADING ACTIVITY AND ALLEGES \$18,939.24 IN LOSSES DUE TO UNAUTHORIZED MARGIN TRADES.

Product Type: Mutual Fund(s)

Alleged Damages: \$18,939.24

Customer Complaint Information

Date Complaint Received: 04/14/2008

Complaint Pending? No

Status: Denied

Status Date: 05/09/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement NO TRADES WERE EXECUTED ON MARGIN AS ALLEGED. IN 1999, CLIENT WITHDREW FUNDS OF APPROXIMATELY \$13,663.06, WHICH CREATED A DEBIT BALANCE IN THE ACCOUNT. THE MARGIN INTEREST ACCRUALS ON THE DEBIT BALANCE WERE ERRONEOUSLY CHARACTERIZED AS



UNAUTHORIZED MARGIN TRADING BY CLIENT'S ATTORNEY. THE NAMED FA BECAME THE BROKER OF RECORD ON THE ACCOUNT IN 2004 AND HAS NOT EXECUTED ANY TRADES IN THE ACCOUNT.

Disclosure 2 of 6

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC, PRUDENTIAL EQUITY GROUP, LLC

Allegations: CLAIMANTS ASSERTED THE FOLLOWING CAUSES OF ACTION: SUITABILITY, MISREPRESENTATIONS AND OMISSION OF FACTS, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION/NON-DISCLOSURE, BREACH OF CONTRACT, BREACH OF IMPLIED COVENANT OF FAIR DEALING, NEGLIGENCE, UNAUTHORIZED TRADING, CONVERSION, MARGIN ACCOUNT AND OVERLEVERAGING VIOLATIONS, LOSS OF FINANCIAL OPPORTUNITY.

Product Type: Other

Other Product Type(s): THE CAUSES OF ACTION RELATE TO UNSPECIFIED SECURITIES.

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #06-01810

Date Notice/Process Served: 04/10/2006

Arbitration Pending? No

Disposition: Award

Disposition Date: 05/30/2008

Disposition Detail: RESPONDENT ERICHSEN IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$73,000.00.

.....

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC

Allegations: UNAUTHORIZED TRADING , UNSUITABILITY, UNAUTHORIZED USE OF MARGIN, OVER-CONCENTRATION, NEGLIGENCE AND BREACH OF FIDUCIARY DUTY.
TIME PERIOD: 11/00 TO 4/01

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 05/08/2006

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 05/08/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 06-01810

Date Notice/Process Served: 05/08/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/30/2008

Monetary Compensation Amount: \$73,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Firm

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

Allegations: CLAIMANTS ALLEGE UNSUITABLE AND UNAUTHORIZED TRADING CAUSED THEM AN EXCESS OF \$200,000.00 IN LOSSES.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 05/09/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/09/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 06-01810

Date Notice/Process Served: 05/09/2006

Arbitration Pending? Yes

Reporting Source: Individual



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

Allegations: CLAIMANTS ALLEGE UNSUITABLE AND UNAUTHORIZED TRADING CAUSED THEM AN EXCESS OF \$200,000.00 IN LOSSES.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 05/09/2006

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/09/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 06-01810

Date Notice/Process Served: 05/09/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 05/30/2008

Monetary Compensation Amount: \$73,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY, INC

Allegations: CHURNING, UNSUITABILITY, NEGLIGENCE, FRAUD, UNAUTHORIZED TRADING, CONVERSION, VIOLATION OF NASD, NYSE AND SEC RULES, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, VIOLATION OF 1933 SECURITIES ACT AND NEW YORK STATE SECURITIES ACT AND BREACH OF CONTRACT FROM JANUARY 1, 1997 TO MARCH 9, 2001.

Product Type: Equity - OTC

Other Product Type(s): EQUITY-LISTED
OPTINS

Alleged Damages: \$445,853.75

**Customer Complaint Information**

Date Complaint Received: 10/01/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/01/2002
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE DOCKET NUMBER: 2002-010791
Date Notice/Process Served: 10/01/2002
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 08/11/2008
Monetary Compensation Amount: \$110,000.00
Individual Contribution Amount: \$0.00
.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY, INC
Allegations: CHURNING, UNSUITABILITY, NEGLIGENCE, FRAUD, UNAUTHORIZED TRADING, CONVERSION, VIOLATION OF NASD, NYSE AND SEC RULES, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, VIOLATION OF 1933 SECURITIES ACT AND NEW YORK STATE SECURITIES ACT AND BREACH OF CONTRACT FROM JANUARY 1, 1997 TO MARCH 9, 2001.
Product Type: Equity - OTC
Other Product Type(s): EQUITY LISTED OPTIONS
Alleged Damages: \$445,853.75

Customer Complaint Information

Date Complaint Received: 10/01/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/01/2002
Settlement Amount:
Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE DOCKET NUMBER: 2002-010791

Date Notice/Process Served: 10/01/2002

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/11/2008

Monetary Compensation Amount: \$110,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 6

Reporting Source: Firm

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

Allegations: CLAIMANT ALLEGES FAILURE TO SUPERVISE, FRAUD, MISREPRESENTATION, BREACH OF CONTRACT, AND NEGLIGENCE. ALLEGATIONS PERIOD: 6/99-3/01.

Product Type: Equity - OTC

Alleged Damages: \$444,058.00

Customer Complaint Information

Date Complaint Received: 08/12/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/12/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #02-04451

Date Notice/Process Served: 08/12/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/01/2004

Monetary Compensation Amount: \$9,999.00

Individual Contribution Amount: \$0.00

Firm Statement THE CASE WAS SETTLED TO AVOID THE COST OF DEFENSE.



Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES FAILURE TO SUPERVISE, FRAUD, MISREPRESENTATION, BREACH OF CONTRACT, AND NEGLIGENCE. ALLEGATIONS PERIOD: 6/99-3/01.

Product Type: Equity - OTC

Alleged Damages: \$444,058.00

Customer Complaint Information

Date Complaint Received: 08/12/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/12/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD #02-04451

Date Notice/Process Served: 08/12/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/01/2004

Broker Statement THE CASE WAS SETTLED TO AVOID THE COST OF DEFENSE. THE CLIENT TRANSFERRED AN ACCOUNT FROM FIDELITY WHERE HE TRADED ONLINE FOR A 3 YEAR PERIOD, MADE SOME POOR TRADES ON HIS OWN. ACCT WAS TRANSFERRED TO ME AT SMITH BARNEY. I MADE NO RECOMMENDATIONS OTHER THAN TO DIVERSIFY & PAY DOWN MARGIN. HE REFUSED. IN HIS COMPLAINT COMPENSATORY DAMAGE IN THE AMOUNT OF \$444,058.00 IS WHAT HE WAS LOOKING FOR. HE SETTLED FOR \$9,999.00 OR 2% OF THE CLAIM, TRULY SHOWING HIS CONFIDENCE IN THE MATTER.

Disclosure 5 of 6

Reporting Source: Regulator

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

Allegations: MISREPRESENTATION, DECEPTIVE PRACTICES, FAILURE TO FOLLOW INSTRUCTIONS, SUITABILITY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$26,218.00

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #98-02906

Date Notice/Process Served: 08/07/1998

Arbitration Pending? No

Disposition: Award

Disposition Date: 11/23/1999

Disposition Detail: RESPONDENTS SMITH BARNEY AND ERICHSEN ARE HEREBY JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANT THE SUM OF \$4,218.00. CLAIMANT'S REQUEST FOR PUNITIVE DAMAGES IS DENIED.

.....

Reporting Source: Individual

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

Allegations: MISREPRESENTATION, UNSUITABILITY, FAILURE TO FOLLOW INSTRUCTIONS. VIOLATION OF NASD RULES, FRAUD. ALLEGED DAMAGES:\$26,218. PRODUCT: MUTUAL FUNDS & EQUITY-LISTED. OCCURRED AT SBS

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$26,218.00

Customer Complaint Information

Date Complaint Received: 09/30/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/23/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-02906

Date Notice/Process Served: 09/30/1998

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/23/1999

Monetary Compensation Amount: \$4,218.00

Individual Contribution Amount:



Broker Statement PENDING
NOT PROVIDED

Disclosure 6 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SMITH BARNEY INC.

Allegations: VERBAL COMPLAINT ALLEGING IMPROPER HANDLING OF ACCOUNT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 10/09/1996

Complaint Pending? No

Status: Settled

Status Date: 10/17/1996

Settlement Amount: \$15,000.00

Individual Contribution Amount:

Broker Statement THIS MATTER WAS SETTLED FOR \$15,000.00.
Not Provided



End of Report

This page is intentionally left blank.