



IAPD Report

ARTHUR GILBERT FAREN

CRD# 1958380

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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

ARTHUR GILBERT FAREN (CRD# 1958380)

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 **03/12/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
B TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	01/12/2018
IA TRUIST ADVISORY SERVICES, INC.	CRD# 283390	01/18/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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 WELLS FARGO CLEARING SERVICES, LLC	19616	FORT LAUDERDALE, FL	07/01/2003 - 01/24/2018
IA WELLS FARGO CLEARING SERVICES, LLC	19616	FORT LAUDERDALE, FL	07/01/2003 - 01/24/2018
IA PRUDENTIAL SECURITIES INCORPORATED	7471	FT LAUDERDALE, FL	03/26/2001 - 07/01/2003

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

Employment 1 of 2

Firm Name: **TRUIST INVESTMENT SERVICES, INC.**
Main Address: 303 PEACHTREE STREET
2ND FLOOR
ATLANTA, GA 30303
Firm ID#: 17499

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/12/2018
B Alabama	Agent	Approved	12/23/2025
B Arizona	Agent	Approved	03/22/2018
B California	Agent	Approved	01/12/2018
B Colorado	Agent	Approved	02/05/2018
B District of Columbia	Agent	Approved	03/16/2026
B Florida	Agent	Approved	01/29/2018
B Georgia	Agent	Approved	01/31/2018
B Hawaii	Agent	Approved	02/11/2025
B Illinois	Agent	Approved	01/24/2018
B Indiana	Agent	Approved	11/16/2021
B Kentucky	Agent	Approved	11/30/2022
B Maryland	Agent	Approved	01/16/2018



Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	08/27/2019
B Michigan	Agent	Approved	02/01/2018
B Minnesota	Agent	Approved	01/29/2018
B Missouri	Agent	Approved	12/02/2020
B New Hampshire	Agent	Approved	09/07/2018
B New Jersey	Agent	Approved	02/01/2018
B New Mexico	Agent	Approved	02/02/2018
B New York	Agent	Approved	02/05/2018
B North Carolina	Agent	Approved	02/19/2018
B Ohio	Agent	Approved	03/13/2020
B Oklahoma	Agent	Approved	09/20/2023
B Oregon	Agent	Approved	03/08/2023
B Pennsylvania	Agent	Approved	01/16/2018
B Puerto Rico	Agent	Approved	11/15/2018
B Rhode Island	Agent	Approved	07/12/2019
B South Carolina	Agent	Approved	09/29/2020
B Tennessee	Agent	Approved	01/29/2018
B Texas	Agent	Approved	02/02/2018
B Utah	Agent	Approved	05/02/2019



Qualifications

Regulator	Registration	Status	Date
B Virginia	Agent	Approved	01/16/2018
B Washington	Agent	Approved	01/29/2018
B West Virginia	Agent	Approved	02/02/2018
B Wisconsin	Agent	Approved	03/23/2018

Branch Office Locations

SUNTRUST INVESTMENT SERVICES, INC.
 515 E LAS OLAS BLVD
 FL 4
 FORT LAUDERDALE, FL 33301

SUNTRUST INVESTMENT SERVICES, INC.
 DAVIE, FL

Employment 2 of 2

Firm Name: **TRUIST ADVISORY SERVICES, INC.**
 Main Address: 303 PEACHTREE STREET
 2ND FLOOR
 ATLANTA, GA 30303
 Firm ID#: 283390

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/18/2018
IA Texas	Investment Adviser Representative	Restricted Approval	01/21/2021

Branch Office Locations

TRUIST ADVISORY SERVICES, INC.
 515 E LAS OLAS BLVD
 FL 4
 FORT LAUDERDALE, FL 33301



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/18/1993
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/28/1989
Direct Participation Programs Representative Examination (S22)	Series 22	08/07/1989

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	04/30/1996
Uniform Securities Agent State Law Examination (S63)	Series 63	07/22/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Personal Financial Specialist

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	07/01/2003 - 01/24/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FORT LAUDERDALE, FL
IA	07/01/2003 - 01/24/2018	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FORT LAUDERDALE, FL
IA	03/26/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	FT LAUDERDALE, FL
B	03/23/2001 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	04/01/1993 - 03/09/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	08/09/1989 - 03/19/1993	H.D. VEST INVESTMENT SECURITIES, INC.	CRD# 13686	DALLAS, TX

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
01/2026 - Present	TRUIST ADVISORY SERVICES, INC.	FINANCIAL CONSULTANT	Y	FORT LAUDERDALE, FL, United States
01/2026 - Present	TRUIST INVESTMENT SERVICES, INC.	FINANCIAL CONSULTANT	Y	FORT LAUDERDALE, FL, United States
01/2018 - 01/2026	SUNTRUST ADVISORY SERVICES, INC.	PRIVATE FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
01/2018 - 01/2026	SUNTRUST INVESTMENT SERVICES	PRIVATE FINANCIAL ADVISOR	Y	ATLANTA, GA, United States
11/2016 - 01/2018	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FORT LAUDERDALE, FL, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FORT LAUDERDALE, FL, 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.



Registration & Employment History



OTHER BUSINESS ACTIVITIES



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:	SUNTRUST INVESTMENT SERVICES, INC.
Allegations:	Client alleges that representative failed to update Stop Limit orders to reflect the market
Product Type:	Other: Stop Limit orders
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages between \$100,000 and \$500,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	21-00351
Filing date of arbitration/CFTC reparation or civil litigation:	02/08/2021

Customer Complaint Information



Date Complaint Received: 02/18/2020
Complaint Pending? No
Status: Settled
Status Date: 02/02/2022
Settlement Amount: \$29,500.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT ALLEGED THAT BONDS WITH MARKET VALUE PLUS ACCRUED INTEREST WERE PURCHASED ON HER BEHALF WITH THE UNDERSTANDING THAT SHE COULD CANCEL WITHIN 24 HOURS. THE CUSTOMER ALSO ALLEGED THAT SHE WAS ASKED TO SIGN A BLANK PIECE OF PAPER, WHICH WAS LATER MODIFIED INTO A HANDWRITTEN NOTE PROMISING TO BRING THE FUNDS NECESSARY FOR THE PURCHASE. (08/05/2009)

Product Type: Debt-Corporate

Alleged Damages: \$6,634.15

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: 08/17/2009

Complaint Pending? No

Status: Denied

Status Date: 09/01/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS COMPLAINT HAS BEEN DENIED AND THE BRANCH HAS REITERATED ITS DEMAND FOR PAYMENT TO COVER THE LOSS.
**FA'S RESPONSE: CUSTOMER GAVE VERBAL INSTRUCTIONS IN THE CONSULTANT'S OFFICE ON 8/5/09 TO PURCHASES A BOND AND AGREED TO DEPOSIT FUNDS NECESSARY TO COVER THE COSTS OF THE TRANSACTIONS. CUSTOMER THEN DECLINED TO DEPOSIT FUNDS FOR THE PURCHASE. THE FIRM DENIED THE CUSTOMER'S CLAIM AND HAD DEMANDED PAYMENT FOR LOSSES INCURRED LIQUIDATING THE POSITION.

**Disclosure 3 of 6**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INC.

Allegations: THE CLAIMANT ALLEGES THAT THE FA MADE UNSUITABLE RECOMMENDATIONS AND INVESTMENTS .

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 06/08/2004

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 06/08/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 04-03895

Date Notice/Process Served: 06/08/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/27/2005

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount: \$0.00

Firm Statement MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER TO AVOID THE COSTS AND VAGARIES OF ARBITRATION.

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Reporting Source: Firm

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

Allegations: CLAIMANTS ALLEGE UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$200,000.00



Customer Complaint Information

Date Complaint Received: 06/09/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 06/09/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 04-03895

Date Notice/Process Served: 06/09/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/27/2005

Monetary Compensation Amount: \$8,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES, INC. AND MERRILL LYNCH, PIERCE, FENNER AND SMITH

Allegations: CLAIMANTS ALLEGED UNSUITABLE INVESTMENT RECOMMENDATIONS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 06/09/2004
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/09/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 04-03895



Date Notice/Process Served: 06/09/2004
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/27/2005
Monetary Compensation Amount: \$21,500.00
Individual Contribution Amount: \$0.00
Broker Statement SETTLED WITH PRUDENTIAL SECURITIES, INC. FOR THE SUM OF \$8,500. MERRILL LYNCH ULTIMATELY SETTLED THIS MATTER (FOR THE SUM OF \$13,000) TO AVOID THE COSTS AND VAGARIES OF ARBITRATION.

Disclosure 4 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH
Allegations: CUSTOMER ALLEGES FA MADE UNSUITABLE INVESTMENTS AND RECOMMENDATIONS. CUSTOMER ALLEGES UNSPECIFIED DAMAGES.
Product Type: Mutual Fund(s)
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/21/2001
Complaint Pending? No
Status: Closed/No Action
Status Date: 09/23/2004
Settlement Amount:
Individual Contribution Amount:
Firm Statement MERRILL LYNCH IS INVESTIGATING THE ALLEGATIONS SET FORTH IN THE CUSTOMER'S COMPLAINT.

Disclosure 5 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CUSTOMER'S ATTORNEY ALLEGES THAT INAPPROPRIATE JUNK BONDS WERE RECOMMENDED TO THE CUSTOMER.
Product Type: Mutual Fund
Alleged Damages: \$62,675.37
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: 11/19/2000

Complaint Pending? No

Status: Denied

Status Date: 12/04/2000

Settlement Amount: \$0.00

Individual Contribution
Amount: \$0.00

Broker Statement MERRILL LYNCH AND FINANCIAL CONSULTANT DENIES THE ALLEGATIONS. THE INVESTMENTS IN QUESTION WERE AUTHORIZED BY THE CUSTOMERS AND WERE IN ACCORDANCE WITH THEIR INVESTMENT HISTORY.

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: MERRILL LYNCH

Allegations: CLIENT ALLEGES MR. FAREN BOUGHT AND SOLD FUNDS WITHOUT HER CONSENT.

Product Type: Mutual Fund

Alleged Damages: \$45,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC
reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/10/1999

Complaint Pending? No

Status: Settled

Status Date: 10/03/2000

Settlement Amount: \$1,948.28

Individual Contribution
Amount: \$0.00

Broker Statement MERRILL LYNCH AND MR. FAREN DENY ANY AND ALL LIABILITY IN THIS MATTER. WE DO NOT BELIEVE THERE WERE ANY UNAUTHORIZED TRADES. THIS MATTER WAS SETTLED STRICTLY AS A BUSINESS DECISION AS CUSTOMER HAD A DEBIT BALANCE AND THE FIRM DECIDED TO COVER IT SO CUSTOMER COULD LEAVE THE FIRM AMICABLY.



End of Report

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