IAPD Report

MARK PIETY CATRON

CRD# 2123353

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

MARK PIETY CATRON (CRD# 2123353)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	11/30/2018
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	11/30/2018

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **12** jurisdiction(s).

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

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	SUNTRUST ADVISORY SERVICES, INC.	283390	HARRISONBURG, VA	09/15/2016 - 12/03/2018
B	SUNTRUST INVESTMENT SERVICES, INC.	17499	HARRISONBURG, VA	11/16/2010 - 12/03/2018
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	HARRISONBURG, VA	11/17/2010 - 12/31/2016

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 **12** jurisdiction(s) and 11 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 BZX Exchange, Inc.	General Securities Representative	Approved	11/30/2018
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2018
B	FINRA	General Securities Representative	Approved	11/30/2018
B	NYSE American LLC	General Securities Representative	Approved	11/30/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/30/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/30/2018
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	11/30/2018
B	New York Stock Exchange	General Securities Representative	Approved	11/30/2018
B	Florida	Agent	Approved	02/19/2021
B	Georgia	Agent	Approved	11/30/2018

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	05/08/2026
B	Maryland	Agent	Approved	05/02/2024
B	Massachusetts	Agent	Approved	03/25/2026
B	Mississippi	Agent	Approved	02/19/2021
B	New York	Agent	Approved	04/29/2019
B	North Carolina	Agent	Approved	11/30/2018
B	Ohio	Agent	Approved	04/30/2021
B	South Carolina	Agent	Approved	07/06/2022
B	Texas	Agent	Approved	11/30/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	12/03/2018
B	Virginia	Agent	Approved	11/30/2018
IA	Virginia	Investment Adviser Representative	Approved	11/30/2018

Branch Office Locations

WELLS FARGO ADVISORS
901 EMMET ST N
CHARLOTTESVILLE, VA 22903

WELLS FARGO ADVISORS
SHIPMAN, VA

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/07/1997

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	03/11/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/21/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/25/1991

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
IA	09/15/2016 - 12/03/2018	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	HARRISONBURG, VA
B	11/16/2010 - 12/03/2018	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	HARRISONBURG, VA
IA	11/17/2010 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	HARRISONBURG, VA
B	08/31/2007 - 11/17/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHARLOTTESVILLE, VA
IA	08/31/2007 - 11/17/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHARLOTTESVILLE, VA
IA	06/26/2003 - 09/04/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	CHARLOTTESVILLE, VA
B	06/25/2003 - 09/04/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	CHARLOTTESVILLE, VA
IA	12/31/2001 - 06/27/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	CHARLOTTE, NC
B	02/02/2001 - 06/27/2003	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
B	10/01/2000 - 02/13/2001	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	04/20/1993 - 10/01/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	04/05/1993 - 04/08/1993	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	
B	03/12/1991 - 04/07/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
11/2018 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ROANOKE, VA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2016 - 11/2018	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
11/2010 - 11/2018	SUNTRUST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

SOUTHERN SULKY CART AND HARNESS; NOT INVESTMENT RELATED; SHIPMAN,VA; 100% OWNERSHIP; START DATE 01/01/2000; NUMBER OF HOURS PER MONTH 2; NUMBER OF HOURS DURING TRADING 0; OWNER.

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:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT THE ANNUITY THAT SHE PURCHASED HAS A LONGER SURRENDER PERIOD THAN THE 4 YEARS THAT WAS REPRESENTED BY THE FA. ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN $5,000.00. (03/16/2006)
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN $5,000.00.
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:	03/17/2011
Complaint Pending?	No
Status:	Settled
Status Date:	05/18/2011

Settlement Amount: $3,887.41

Individual Contribution Amount: $0.00

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT THE ANNUITY THAT SHE PURCHASED HAS A LONGER SURRENDER PERIOD THAN THE 4 YEARS THAT WAS REPRESENTED BY THE FA. ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN $5,000.00 (03/16/2006)

Product Type: Mutual Fund

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN $5,000.00

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: 03/17/2011

Complaint Pending? No

Status: Settled

Status Date: 05/18/2011

Settlement Amount: $3,887.41

Individual Contribution Amount: $0.00

Broker Statement ALL WACHOVIA CLIENTS SIGN AND RECEIVE COPIES OF THE SURRENDER SCHEDULES, AND THEY ARE ALSO DISCLOSED TO THE CLIENT AT THE TIME OF SALE.

Disclosure 2 of 6

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES THAT THE FA RECOMMENDED LIQUIDATING A MUTUAL FUND THAT WAS HELD BY THE CLIENT SHORT TERM TO PURCHASE A VARIABLE ANNUITY WHICH WAS INCONSISTENT WITH HIS INVESTMENT PROFILE. THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER THAN $5,000. (04/03/2007)

Product Type: Annuity-Variable

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER 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: 02/16/2010

Complaint Pending? No

Status: Denied

Status Date: 03/30/2010

Settlement Amount:

Individual Contribution Amount:

Firm Statement COMPLAINT DENIED BY FIRM.

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT THE FA RECOMMENDED LIQUIDATING A MUTUAL FUND THAT WAS HELD BY THE CLIENT SHORT TERM TO PURCHASE A VARIABLE ANNUITY WHICH WAS INCONSISTENT WITH HIS INVESTMENT PROFILE. THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER THAN $5,000. (04/03/2007)

Product Type: Annuity-Variable

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER 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: 02/16/2010

Complaint Pending? No

Status: Denied

Status Date: 03/30/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement COMPLAINT DENIED BY FIRM.

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH PIERCE FENNER & SMITH, INC
Allegations:	CLIENT ALLEGES THAT SHE WAS LED TO BELIEVE THAT HER ANNUITY WOULD NOT LOSE VALUE DUE TO MARKET FLUCTUATIONS.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
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:	04/29/2008
Complaint Pending?	No
Status:	Withdrawn
Status Date:	04/30/2008
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC.
Allegations:	CLIENT CLAIMS THAT 24 CHECKS WERE HAND DELIVERED TO FA IN 3/06 FOR DEPOSIT INTO HIS TWO CHILDREN'S AMERICAN FUNDS 529 PLANS. THE CHECKS WERE NEVER CASHED. CLIENT BEGAN INQUIRY IN MARCH 2007 INTO THE ISSUE WITH THE FA. DEPOSITS WERE MADE INTO 529 PLANS AT THAT TIME WITH NEW CHECKS. FA AND SA BOTH LEFT THE FIRM WITH THE ISSUE UNRESOLVED AND UNREPORTED TO MANAGEMENT. CLIENT BROUGHT ISSUE TO MANAGER'S ATTENTION IN DECEMBER 2007. CLIENT WANTS TO BE COMPENSATED FOR LOST APPRECIATION FROM 3/06 TO 3/07 WHICH HAS BEEN CALCULATED BY AMERICAN FUNDS TO BE $10,518.30.
Product Type:	Other
Other Product Type(s):	AMERICAN FUNDS-529 PLANS

Alleged Damages: $10,518.30

Customer Complaint Information

Date Complaint Received: 01/29/2008

Complaint Pending? No

Status: Settled

Status Date: 03/12/2008

Settlement Amount: $8,718.30

Individual Contribution Amount: $8,718.30

Firm Statement A CHECK WAS SENT TO AMERICAN FUNDS AND THEY DISTRIBUTED THE FUNDS BETWEEN THE 24 ACCOUNTS. COST TO THE FIRM WAS $8,718.30.

Reporting Source: Individual

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

Allegations: CLIENT CLAIMS THAT 24 CHECKS WERE HAND DELIVERED TO FA IN 3/06 FOR DEPOSIT INTO HIS TWO CHILDREN'S AMERICAN FUNDS 529 PLANS.PLANS. THE CHECKS WERE NEVER CASHED. CLIENT BEGAN INQUIRY IN MARCH 2007 INTO THE ISSUE WITH THE FA. DEPOSITS WERE MADE INTO 529 PLANS AT THAT TIME WITH NEW CHECKS. FA AND SA BOTH LEFT THE FIRM WITHTHE ISSUE UNRESOLVED AND UNREPORTED TO MANAGEMENT. CLIENT BROUGHT ISSUE TO MANAGER'S ATTENTION IN DECEMBER 2007. (ALLEGATIONS CONT) CLIENT WANTS TO BE COMPENSATED FOR LOST APPRECIATION FROM 3/06 TO 3/07 WHICH HAS BEEN CALCULATED BY AMERICAN FUNDS TO BE $10,518.30.

Product Type: Other: 529 PLAN

Alleged Damages: $10,518.30

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: 01/29/2008

Complaint Pending? No

Status: Settled

Status Date: 03/12/2008

Settlement Amount: $8,718.30

Individual Contribution Amount: $8,718.30

Arbitration Information

Disposition: Award to Customer

Disposition Date: 03/12/2008

Civil Litigation Information

Disposition:

Disposition Date: 03/12/2008

Broker Statement A CHECK WAS SENT TO AMERICAN FUNDS AND THEY DISTRIBUTED THE FUNDS BETWEEN THE 24 ACCOUNTS. COST TO THE FIRM WAS $8,718.30.

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, INC.

Allegations: CLIENT ALLEGES THAT REP, MARK CATRON, ADVISED HER THE UIT'S SHE WAS PURCHASING WERE SAFER THAN CD'S. CLIENT ALSO ALLEGES WHEN SHE SOLD OPPENHEIMER FUNDS TO PURCHASE ALLIANCE AND AIM SHE WAS NOT ADVISED TO ANY COST

Product Type: Unit Investment Trust(s)

Alleged Damages: $16,627.41

Customer Complaint Information

Date Complaint Received: 07/29/2002

Complaint Pending? No

Status: Denied

Status Date: 11/22/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement CLAIM DENIED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES INC.

Allegations: CLIENT ALLEGED THAT SHE WAS ADVISED THAT THE UIT'S SHE WAS PURCHASING WERE SAFER THAN CD'S. CLIENT ALS ALLEGED WHEN SHE SOLD OPPENHEIMER FUNDS TO PURCHASE ALLIANCE AND AIM SHE WAS NOT ADVISED OF ANY COST.

Product Type: Unit Investment Trust

Alleged Damages: $16,627.41

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:	07/29/2002
Complaint Pending?	No
Status:	Denied
Status Date:	11/22/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	COMPLAINT FROM CLIENT WAS DENIED.

Disclosure 6 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION BROKERAGE SERVICES, INC.
Allegations:	CLAIMANTS ALLEGE THAT THE BROKER MISREPRESENTED THE RISKS AND THE EXPENSES ASSOCIATED WITH CERTAIN BOND FUNDS THAT HE RECOMMENDED TO THE CLAIMANTS BETWEEN 02/97 THRU 12/99
Product Type:	Other
Other Product Type(s):	BOND FUNDS
Alleged Damages:	$39,000.00

Customer Complaint Information

Date Complaint Received:	02/21/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/21/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE NO.: 01-00583
Date Notice/Process Served:	02/21/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/29/2002
Monetary Compensation Amount:	$12,500.00
Individual Contribution Amount:	$0.00
Firm Statement	FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON

Firm Statement: FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON BEHALF OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF $12,500.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION BROKERAGE SERVICES
Allegations:	CLAIMANTS ALLEGE THAT THE BROKER MISREPRESENTED THE RISKS AND THE EXPENSES ASSOCIATED WITH CERTAIN BOND FUNDS THAT HE RECOMMENDED TO CLAIMANTS.
Product Type:	Mutual Fund
Alleged Damages:	$39,000.00
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:	02/21/2001
Complaint Pending?	No
Status:	Settled
Status Date:	02/21/2001
Settlement Amount:	$12,500.00
Individual Contribution Amount:	$0.00

Arbitration Information

Disposition:	Settled
Disposition Date:	01/29/2002
Broker Statement	FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON BEHALF OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF $12,500.

End of Report

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