User Guidance

www.adviserinfo.sec.gov

IAPD Report

ANTHONY JAMES MAZZO

CRD# 2385020

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

ANTHONY JAMES MAZZO (CRD# 2385020)

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 **11/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	01/14/2022
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	01/14/2022

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **32** 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	TRUIST ADVISORY SERVICES, INC.	283390	PALM BEACH, FL	03/02/2021 - 01/24/2022
B	TRUIST INVESTMENT SERVICES, INC.	17499	Palm Beach, FL	02/17/2021 - 01/24/2022
IA	BB&T SECURITIES, LLC	142785	RICHMOND, VA	04/28/2016 - 03/02/2021

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
Termination	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 **32** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Address: 200 VESEY ST.
NEW YORK, NY 10281

Firm ID#: 31194

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	01/14/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	FINRA	General Securities Representative	Approved	01/14/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	01/14/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	01/14/2022
B	MEMX LLC	General Securities Representative	Approved	01/14/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	01/14/2022
B	NYSE American LLC	General Securities Representative	Approved	01/14/2022

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	01/14/2022
B	NYSE National, Inc.	General Securities Representative	Approved	01/14/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	01/14/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	01/14/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/14/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	01/14/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	01/14/2022
B	Nasdaq Texas, LLC	General Securities Representative	Approved	01/14/2022
B	New York Stock Exchange	General Securities Representative	Approved	01/14/2022
B	Alabama	Agent	Approved	01/25/2022
B	Arizona	Agent	Approved	01/14/2022
B	California	Agent	Approved	01/18/2022
B	Colorado	Agent	Approved	01/14/2022
B	Connecticut	Agent	Approved	01/14/2022
B	Delaware	Agent	Approved	04/06/2022
B	Florida	Agent	Approved	01/14/2022
IA	Florida	Investment Adviser Representative	Approved	01/18/2022
B	Georgia	Agent	Approved	01/14/2022
B	Illinois	Agent	Approved	05/03/2024

Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	01/18/2022
B	Kansas	Agent	Approved	01/14/2022
B	Louisiana	Agent	Approved	11/26/2025
B	Massachusetts	Agent	Approved	07/02/2024
B	Michigan	Agent	Approved	01/14/2022
B	Minnesota	Agent	Approved	01/25/2022
B	Nevada	Agent	Approved	01/14/2022
B	New Jersey	Agent	Approved	01/14/2022
B	New York	Agent	Approved	01/14/2022
B	North Carolina	Agent	Approved	01/14/2022
B	Ohio	Agent	Approved	01/14/2022
B	Pennsylvania	Agent	Approved	01/14/2022
B	Rhode Island	Agent	Approved	01/14/2022
B	South Carolina	Agent	Approved	01/24/2022
B	South Dakota	Agent	Approved	01/14/2022
B	Tennessee	Agent	Approved	01/25/2022
B	Texas	Agent	Approved	01/14/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/14/2022

Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	04/12/2022
B	Virginia	Agent	Approved	01/14/2022
B	Washington	Agent	Approved	01/14/2022
B	West Virginia	Agent	Approved	09/19/2022
B	Wisconsin	Agent	Approved	01/14/2022
B	Wyoming	Agent	Approved	03/25/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
5355 TOWN CENTER ROAD
SUITE 800
BOCA RATON, FL 33486

RBC CAPITAL MARKETS, LLC
Wellington, 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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/17/2010

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	08/17/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/22/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1993

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	03/02/2021 - 01/24/2022	TRUIST ADVISORY SERVICES, INC.	CRD# 283390	PALM BEACH, FL
B	02/17/2021 - 01/24/2022	TRUIST INVESTMENT SERVICES, INC.	CRD# 17499	Palm Beach, FL
IA	04/28/2016 - 03/02/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
B	04/22/2016 - 02/17/2021	BB&T SECURITIES, LLC	CRD# 142785	RICHMOND, VA
IA	07/25/2011 - 05/03/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	BOCA RATON, FL
B	07/22/2011 - 05/03/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	BOCA RATON, FL
IA	02/09/2007 - 07/26/2011	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
B	02/06/2007 - 07/26/2011	OPPENHEIMER & CO. INC.	CRD# 249	BOCA RATON, FL
IA	09/16/2002 - 02/05/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	DELRAY BEACH, FL
B	09/13/2002 - 02/05/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	DELRAY BEACH, FL
IA	07/18/2000 - 09/11/2002	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	BOCA RATON, FL
B	06/27/2000 - 09/11/2002	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
B	12/04/1998 - 07/14/2000	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	11/22/1995 - 01/04/1999	GRUNTAL & CO., L.L.C.	CRD# 372	NEW YORK, NY
B	08/18/1993 - 12/07/1995	GKN SECURITIES CORP.	CRD# 19415	NEW YORK, NY

Registration & Employment History

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
03/2022 - Present	City National Bank	Employee of an Affiliate	Y	Boca Raton, FL, United States
01/2022 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Boca Raton, FL, United States
03/2021 - 01/2022	TRUIST ADVISORY SERVICES, INC.	Mass Transfer	Y	PALM BEACH, FL, United States
02/2021 - 01/2022	TRUIST INVESTMENT SERVICES, INC.	Mass Transfer	Y	Palm Beach, FL, United States
04/2016 - 03/2021	BB&T SECURITIES	FINANCIAL ADVISOR	Y	PALM BEACH, 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.

1) NAME OF ENTITY: East Marine Boats Inc.
ADDRESS: 5401 North Haverhill Rd. Unit 125 West Palm Beach, FL 33414
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Inflatable boats manufacturing
CAPACITY: Owner - Passive
START DATE: 1/1/21
DUTIES: I set up the company for my two children who run the entire operation. I spend 2-4 hours per month reviewing the financial statements
HOURS DEVOTED PER MONTH: 1
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

2) NAME OF ENTITY: Mazzo Properties LLC
ADDRESS: 2221 Widener Ter, Wellington, FL 33414
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Rental Property
START DATE: 02.06.25
CAPACITY: Owner
DUTIES: My wife and I just created an LLC and are the sole owners of the LLC that holds investment properties.
HOURS DEVOTED PER MONTH: 1
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

(3) NAME OF ENTITY: The Cove Dockominium Association
ADDRESS: 1756 SE 3rd ct., Deerfield Beach, Florida, 33414
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Private Company
START DATE: 15/05/2025
CAPACITY: Board of Directors
DUTIES: I will assist on making decisions pertaining to the normal business activity of a small marina such as trash vendor

Registration & Employment History

OTHER BUSINESS ACTIVITIES

selection, insurance selection and monthly bank statement review.
HOURS DEVOTED PER MONTH: 0 - 4 Hours
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0 - 4 Hours

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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
Termination	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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BB&T Securities, LLC
Allegations:	Customer alleged that the registered representative did not provide him with accurate information on his choices regarding a stock in a tender offer in September 2016, which resulted in a loss of over $5,000 when he received a cash tender, instead of stock.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	Customer alleged the losses at over $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:	11/10/2016
Complaint Pending?	No
Status:	Settled

Status Date:	12/01/2016
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	The firm corrected the tender offer choice to stock, resolving the matter between all parties.

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Elderly clients state that the FA guaranteed the clients that their portfolio was just fine and never disclosed that the structured notes invested in were risky and the lost dividend interest was now coming out of my account investments and not from earnings and dividends.
Product Type:	Other: Structured Notes
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of $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:	05/17/2016
Complaint Pending?	No
Status:	Settled
Status Date:	07/14/2016
Settlement Amount:	$138,855.92
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Elderly clients state that the FA guaranteed the clients that their portfolio was just fine and never disclosed that the structured notes invested in were risky and the lost dividend interest was now coming out of my account investments and not from earnings and dividends.
Product Type:	Other: Structured Notes

Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated to be in excess of $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/05/2016
Complaint Pending?	No
Status:	Settled
Status Date:	07/14/2016
Settlement Amount:	$138,855.92
Individual Contribution Amount:	$0.00
Broker Statement	RR's comments: In my twenty four year career as an advisor I have never guaranteed investment performance. I was no longer affiliated with UBS when the complaint was initiated by the UBS client. I was not consulted or included in the settlement process, nor did I contribute towards the settlement payment. UBS Financial services Inc. has voluntarily settled a case regarding investments into UBS structured notes with a regulatory agency.

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	Time Frame: March 2013 - November 2014 Claimant alleges unsuitable investment recommendation, misrepresentation, and failure to supervise in connection with purchase of shares in unit investment trust.
Product Type:	Other: unit investment trust
Alleged Damages:	$50,000.00
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 #:	16-00458
Filing date of arbitration/CFTC reparation or civil litigation:	03/24/2016

Customer Complaint Information

Date Complaint Received: 03/24/2016

Complaint Pending? No

Status: Settled

Status Date: 11/14/2016

Settlement Amount: $10,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC

Allegations: Time Frame: March 2013 - November 2014 Claimant alleges unsuitable investment recommendation, misrepresentation, and failure to supervise in connection with purchase of shares in unit investment trust.

Product Type: Other: unit investment trust

Alleged Damages: $50,000.00

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 #: 16-00458

Filing date of arbitration/CFTC reparation or civil litigation: 03/24/2016

Customer Complaint Information

Date Complaint Received: 03/24/2016

Complaint Pending? No

Status: Settled

Status Date: 11/14/2016

Settlement Amount: $10,000.00

Individual Contribution Amount: $0.00

Broker Statement Registered Representative's Comments: The arbitration was between the client and my previous firm. I was not a named respondent in the arbitration and was not required to contribute to the settlement. This same client filed an arbitration the previous year (#15-01022) and the FINRA Arbitrator denied the Claimant's claims in their entirely.

Disclosure 4 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	ALLEGED UNAUTHORIZED PURCHASE OF L & L ENERGY ON 1/26/2011
Product Type:	Equity-OTC
Alleged Damages:	$22,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - FLORIDA
Docket/Case #:	15-01022
Filing date of arbitration/CFTC reparation or civil litigation:	05/04/2015

Customer Complaint Information

Date Complaint Received:	05/12/2015
Complaint Pending?	No
Status:	Denied
Status Date:	02/01/2016
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT'S REPRESENTATIVE ALLEGES ALLEGED UNAUTHORIZED PURCHASE OF L & L ENERGY ON 1/26/2011.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	$22,000.00
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 #: 15-01022

Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2015

Customer Complaint Information

Date Complaint Received: 05/12/2015

Complaint Pending? No

Status: Denied

Status Date: 02/01/2016

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE ALLEGATIONS HAVE BEEN DENIED BY THE FIRM UPON REVIEW OF THE INFORMATION GATHERED. ALL EXECUTED TRADES WERE AUTHORIZED DIRECTLY BY THE CLIENT.

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: OPPENHEIMER & CO. INC.

Allegations: CLIENT ALLEGES THAT INVESTMENTS MADE IN HER ACCOUNT DID NOT MEET HER INVESTMENT OBJECTIVES OVER THE LIFE OF THE ACCOUNT (MARCH 2007 - PRESENT). NO DAMAGES ALLEGED, BUT BELIEVED TO BE OVER $5000. CLIENT ALLEGES UNAUTHORIZED TRADING IN A NEW LETTER RECEIVED 3/07/2008.

Product Type: Mutual Fund(s)

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 01/22/2008

Complaint Pending? No

Status: Denied

Status Date: 05/02/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement I DENY THE ALLEGATIONS RELATED TO THIS COMPLAINT. THREE MEETINGS TOOK PLACE WITH THE CLIENT DISCUSSING ALL INVESTMENTS PRIOR TO THE PURCHASES. THE INVESTMENTS WERE MADE DURING OCTOBER, 2007 AND THE ALLEGED UNAUTHORIZED TRADING COMPLAINT DID NOT ARISE UNTIL MARCH, 2008. DURING THIS TIME THERE HAD BEEN TWO ADDITIONAL ACCOUNT REVIEW MEETINGS.

Disclosure 6 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC.
Allegations:	FLORIDA RESIDENT CLAIMS FA RECOMMENDED B SHARE EATON VANCE GOVT OBLIGATION FUND DEC 2002, EVEN THOUGH CLIENT WANTED SAFETY AND ACCESS TO FUNDS WITHIN 3 YEARS. CLIENT WANTS ALL HIS MONEY BACK WHICH, WITH CDSC, WOULD COST APPROXIMATELY $6378.
Product Type:	Mutual Fund(s)
Alleged Damages:	$6,378.00

Customer Complaint Information

Date Complaint Received:	09/05/2003
Complaint Pending?	No
Status:	Denied
Status Date:	10/13/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLAIM DENIED. BRANCH CANCELED EARLIER TRADE FOR CLIENT BECAUSE HE DID NOT WANT UPFRONT SALES CHARGE. THIS CLAIM INVOVLED B SHARES, WHICH WERE FULLY EXPLAINED TO CLIENT, AS WAS MARKET AND INCOME FLUCTUATION. NO GUARANTEE OF 6% RETURN WAS GIVEN.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	GRUNTAL & CO., L.L.C.
Termination Type:	Voluntary Resignation
Termination Date:	12/23/1998
Allegations:	AT THE TIME, IN CONNECTION W/HIS HANDLING OF A CUSTOMER ACCOUNT, MR. MAZZO WAS UNDER INTERNAL REVIEW FOR POSSIBLE VIOLATION OF FIRM RULES AND/OR INDUSTRY REGULATIONS CONCERNING UNAUTHORIZED TRADING IMPROPER MARKING OF ORDER TICKETS, UNAPPROVED UNCOVERED OPTION TRANSACTIONS AND FREE RIDING
Product Type:	Options
Other Product Types:	
Broker Statement	IN RESPONSE TO THE ALLEGATION OF UNAUTHORIZED TRADING, I HAVE NEVER ENGAGED IN UNAUTHORIZED TRADING. THE CLIENT GRANTED WRITTEN TRADING AUTHORIZATION TO HIS BROTHER AND IS IN THE PROCESS OF PROVIDING ME WITH A STATEMENT OF THAT EFFECT. TH REMAINING ISSUES ARE BEING RESOLVED TO THE SATISFACTION OF THE FIRM, THE CLIENT AND MYSELF. IN ADDITION, THERE HAS NEVER BEEN A CUSTOMER COMPLAINT CONCERNING ANY OF THESE ALLEGATIONS.

End of Report

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