



IAPD Report

ALLEN H WILSON

CRD# 2420229

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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

ALLEN H WILSON (CRD# 2420229)

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 **02/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/24/2025
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	10/24/2025

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **23** 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	WELLS FARGO ADVISORS	19616	FLORHAM PARK, NJ	08/10/2012 - 11/14/2025
B	WELLS FARGO CLEARING SERVICES, LLC	19616	FLORHAM PARK, NJ	08/10/2012 - 11/14/2025
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	FLORHAM PARK, NJ	08/21/2007 - 08/17/2012

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
Regulatory Event	2
Criminal	1
Customer Dispute	3



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 **23** 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	10/24/2025
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B Cboe Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B FINRA	General Securities Representative	Approved	10/24/2025
B Investors' Exchange LLC	General Securities Representative	Approved	10/24/2025
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	10/24/2025
B MEMX LLC	General Securities Representative	Approved	10/24/2025
B MIAX PEARL, LLC	General Securities Representative	Approved	10/24/2025
B NYSE American LLC	General Securities Representative	Approved	10/24/2025



Qualifications

Regulator	Registration	Status	Date
B NYSE Arca, Inc.	General Securities Representative	Approved	10/24/2025
B NYSE National, Inc.	General Securities Representative	Approved	10/24/2025
B NYSE Texas, Inc.	General Securities Representative	Approved	10/24/2025
B Nasdaq GEMX, LLC	General Securities Representative	Approved	10/24/2025
B Nasdaq ISE, LLC	General Securities Representative	Approved	10/24/2025
B Nasdaq PHLX LLC	General Securities Representative	Approved	10/24/2025
B Nasdaq Stock Market	General Securities Representative	Approved	10/24/2025
B Nasdaq Texas, LLC	General Securities Representative	Approved	10/24/2025
B New York Stock Exchange	General Securities Representative	Approved	10/24/2025
B Arizona	Agent	Approved	03/02/2026
B California	Agent	Approved	10/24/2025
B Colorado	Agent	Approved	01/27/2026
B Connecticut	Agent	Approved	10/24/2025
B Delaware	Agent	Approved	10/28/2025
B Florida	Agent	Approved	02/06/2026
B Indiana	Agent	Approved	11/07/2025
B Maryland	Agent	Approved	10/24/2025
B Michigan	Agent	Approved	10/24/2025
B Minnesota	Agent	Approved	11/18/2025



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	10/24/2025
IA New Jersey	Investment Adviser Representative	Approved	10/27/2025
B New Mexico	Agent	Approved	10/24/2025
B New York	Agent	Approved	10/24/2025
B North Carolina	Agent	Approved	11/21/2025
B Pennsylvania	Agent	Approved	10/24/2025
B Puerto Rico	Agent	Approved	10/24/2025
B Rhode Island	Agent	Approved	11/17/2025
B South Carolina	Agent	Approved	10/28/2025
B Tennessee	Agent	Approved	03/05/2026
B Texas	Agent	Approved	10/24/2025
IA Texas	Investment Adviser Representative	Restricted Approval	10/24/2025
B Virginia	Agent	Approved	03/20/2026
B Washington	Agent	Approved	10/24/2025
B Wisconsin	Agent	Approved	10/24/2025

Branch Office Locations

RBC CAPITAL MARKETS, LLC
200 Park Avenue
2nd Floor
FLORHAM PARK, NJ 07932-1026

RBC CAPITAL MARKETS, LLC
PARSIPPANY, NJ



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 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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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	General Securities Representative Examination (S7)	Series 7	11/24/1993
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/16/2002
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/26/1993
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PROFESSIONAL DESIGNATIONS

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

No information reported.



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	08/10/2012 - 11/14/2025	WELLS FARGO ADVISORS	CRD# 19616	FLORHAM PARK, NJ
B	08/10/2012 - 11/14/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FLORHAM PARK, NJ
B	08/21/2007 - 08/17/2012	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FLORHAM PARK, NJ
IA	08/21/2007 - 08/17/2012	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	FLORHAM PARK, NJ
B	10/11/2005 - 08/21/2007	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
IA	10/11/2005 - 08/21/2007	RYAN BECK & CO.	CRD# 3248	FLORHAM PARK, NJ
IA	06/24/2003 - 10/17/2005	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	01/23/1994 - 10/17/2005	J. B. HANAUER & CO.	CRD# 6958	PARSIPPANY, NJ
B	11/26/1993 - 01/14/1994	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
10/2025 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Florham Park, NJ, United States
11/2016 - 10/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FLORHAM PARK, NJ, United States
08/2012 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FLORHAM PARK, NJ, 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
Regulatory Event	2
Criminal	1
Customer Dispute	3

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	TREASURER OF THE STATE OF FLORIDA - DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	06/07/2000
Docket/Case Number:	CASE # 35433-00-AG
Employing firm when activity occurred which led to the regulatory action:	J.B. HANAUER & CO.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ALLEGED VIOLATION OF CHAPTER 626, FLORIDA STATUTES STEMMING FROM MY INADVERTENT FAILURE TO DISCLOSE A \$250 FINE LEVIED BY THE STATE OF NEW JERSEY IN 1998.
Current Status:	Final
Resolution:	Consent
Resolution Date:	07/20/2000
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	



Sanction Details:	MY APPLICATION TO CONDUCT INSURANCE BUSINESS IN FLORIDA WAS DENIED WITH THE RIGHT TO REAPPLY AFTER THREE MONTHS. NO FINE WAS LEVIED.
Broker Statement	I WAS NOT AWARE AT THE TIME THAT MY CONSENT AGREEMENT WITH NEW JERSEY CONSTITUTED A FORMAL REGULATORY ACTION AND, THEREFORE, ANSWERED THE APPLICABLE QUESTION INCORRECTLY.
Disclosure 2 of 2	
Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF NEW JERSEY DEPARTMENT OF BANKING AND INSURANCE
Sanction(s) Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s) Sought:	
Date Initiated:	05/01/1998
Docket/Case Number:	CONSENT ORDER # E98-70
Employing firm when activity occurred which led to the regulatory action:	J.B. HANAUER & CO.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ALLEGED VIOLATIONS OF N.J.S.A. 17:22A-17A(2) AND (20) DUE TO INADVERTENT FAILURE TO DISCLOSE 1987 MISDEMEANOR TRESPASSING AND 1991 MISDEMEANOR DISORDERLY PERSON'S OFFENSES ON MY INSURANCE RENEWAL APPLICATION.
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/01/1998
Sanctions Ordered:	Monetary/Fine \$250.00
Other Sanctions Ordered:	
Sanction Details:	THE \$250.00 FINE WAS PAID IN FULL IN MAY 1998.
Broker Statement	I INCORRECTLY BELIEVED AT THE TIME THAT THE TWO MISDEMEANOR OFFENSES HAD BEEN REMOVED FROM MY RECORD AND WERE THEREFORE NOT DISCLOSABLE. THE NEW JERSEY DEPARTMENT OF BANKING AND INSURANCE RENEWED MY LICENSE UPON RECEIPT OF MY PAYMENT OF THE FINE.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	Federal Court
Name of Court:	District Court, Newark, NJ
Location of Court:	Newark, NJ
Docket/Case #:	22-11257
Charge Date:	08/31/2022
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Nonconsensual physical interaction in U.S. maritime jurisdiction.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/12/2023
Disposition Date:	09/12/2023
Sentence/Penalty:	Charge has been dismissed per terms of a pre-trial diversion agreement.
Broker Statement	My attorney has informed me that the prosecutor has agreed to dismiss all charges related to this matter, following the completion of pre-trial intervention.



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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO CLEARING SERVICES, LLC
Allegations:	Beginning in late 2020, Claimants alleges their Financial Advisor (FA) made unsuitable investment recommendations which were inappropriate for their risk tolerance and investment strategy.
Product Type:	Other: Miscellaneous
Alleged Damages:	\$475,000.00
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
Docket/Case #:	24-01125
Filing date of arbitration/CFTC reparation or civil litigation:	06/05/2024

Customer Complaint Information

Date Complaint Received:	06/05/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/03/2025
Settlement Amount:	\$250,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Without admitting liability, the firm settled for \$250,000.00 to avoid the expense and distraction of further arbitration.

Disclosure 2 of 3

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



Allegations: Claimant alleges that during an unspecified period, the FA overconcentrated his portfolio.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimant is seeking compensatory damages of approximately \$450,000.

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

Docket/Case #: 23-03587

Filing date of arbitration/CFTC reparation or civil litigation: 12/20/2023

Customer Complaint Information

Date Complaint Received: 12/20/2023

Complaint Pending? No

Status: Settled

Status Date: 10/18/2024

Settlement Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Broker Statement I do not admit to wrongdoing in this matter and did not contribute to the settlement amount. Without admitting liability and to avoid the cost of litigation, the matter was settled for \$225,000.00.

Disclosure 3 of 3

Reporting Source: Individual

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

Allegations: Customer complained that the financial advisor recommended an unsuitable investment in preferred shares of a bank that later failed, resulting in a loss of the investment. (7/14/2021-6/22/2023)

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$545,000.00

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: 06/22/2023

Complaint Pending? No

Status: Settled

Status Date: 04/29/2024

Settlement Amount: \$70,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement This matter is Denied on 4/29/2024 as to the first Customer listed in Item #1. The Firm has settled this matter for \$70,000 on 12/21/2023 as to the second Customer listed in Item #1.



End of Report

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