IAPD Report

JOHN J PARKER

CRD# 2423679

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

JOHN J PARKER (CRD# 2423679)

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 **05/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 11025	06/20/2025
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	06/20/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **47** 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	PHILADELPHIA, PA	07/01/2003 - 06/20/2025
B	WELLS FARGO CLEARING SERVICES, LLC	19616	PHILADELPHIA, PA	07/01/2003 - 06/20/2025
IA	PRUDENTIAL SECURITIES INCORPORATED	7471	PHILADELPHIA, PA	01/11/1995 - 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
Regulatory Event	2
Customer Dispute	2

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 **47** jurisdiction(s) and 1 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#: 11025

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/20/2025
B	Alabama	Agent	Approved	06/23/2025
B	Alaska	Agent	Approved	06/20/2025
B	Arizona	Agent	Approved	06/20/2025
B	Arkansas	Agent	Approved	12/15/2025
B	California	Agent	Approved	06/20/2025
B	Colorado	Agent	Approved	06/20/2025
B	Connecticut	Agent	Approved	06/20/2025
B	Delaware	Agent	Approved	06/23/2025
B	District of Columbia	Agent	Approved	06/20/2025
B	Florida	Agent	Approved	06/23/2025
IA	Florida	Investment Adviser Representative	Approved	06/23/2025
B	Georgia	Agent	Approved	06/23/2025

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	06/30/2025
B	Idaho	Agent	Approved	06/23/2025
B	Illinois	Agent	Approved	06/27/2025
B	Indiana	Agent	Approved	06/25/2025
B	Kansas	Agent	Approved	06/20/2025
B	Kentucky	Agent	Approved	06/24/2025
B	Louisiana	Agent	Approved	06/20/2025
B	Maine	Agent	Approved	06/23/2025
B	Maryland	Agent	Approved	06/20/2025
B	Massachusetts	Agent	Approved	06/24/2025
B	Michigan	Agent	Approved	06/20/2025
B	Mississippi	Agent	Approved	06/20/2025
B	Missouri	Agent	Approved	06/20/2025
B	Montana	Agent	Approved	07/23/2025
B	Nevada	Agent	Approved	06/23/2025
B	New Hampshire	Agent	Approved	07/23/2025
B	New Jersey	Agent	Approved	06/23/2025
IA	New Jersey	Investment Adviser Representative	Approved	06/23/2025
B	New Mexico	Agent	Approved	06/20/2025

Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	06/20/2025
B	North Carolina	Agent	Approved	06/20/2025
B	North Dakota	Agent	Approved	06/20/2025
B	Ohio	Agent	Approved	06/20/2025
B	Oklahoma	Agent	Approved	06/25/2025
B	Oregon	Agent	Approved	06/24/2025
B	Pennsylvania	Agent	Approved	06/20/2025
IA	Pennsylvania	Investment Adviser Representative	Approved	06/20/2025
B	Rhode Island	Agent	Approved	06/25/2025
B	South Carolina	Agent	Approved	06/23/2025
B	Tennessee	Agent	Approved	06/23/2025
B	Texas	Agent	Approved	06/20/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	06/20/2025
B	Utah	Agent	Approved	06/24/2025
B	Vermont	Agent	Approved	06/20/2025
B	Virginia	Agent	Approved	06/20/2025
B	Washington	Agent	Approved	06/23/2025
B	West Virginia	Agent	Approved	06/20/2025

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	06/20/2025
B	Wyoming	Agent	Approved	06/20/2025

Branch Office Locations

WELLS FARGO ADVISORS
229 WEST WAYNE AVENUE
WAYNE, PA 19087

WELLS FARGO ADVISORS
VOORHEES, NJ

WELLS FARGO ADVISORS
NAPLES, 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	08/10/2005
B	General Securities Representative Examination (S7)	Series 7	02/22/1994

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/28/1994
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/15/1994

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	07/01/2003 - 06/20/2025	WELLS FARGO ADVISORS	CRD# 19616	PHILADELPHIA, PA
B	07/01/2003 - 06/20/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PHILADELPHIA, PA
IA	01/11/1995 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PHILADELPHIA, PA
B	02/23/1994 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2025 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	NAPLES, FL, United States
11/2016 - 06/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PHILADELPHIA, PA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	PHILADELPHIA, PA, 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.

TRUSTEE FOR IRREVOCABLE DEED OF TRUST OF SPOUSE, INVESTMENT RELATED, VOORHEES NJ, BEGAN 9/13/2006, NO TIME SPENT.
11 S 21ST STREET LLC, INVESTMENT RELATED, PHILADELPHIA, PA, 5% OWNER, RESTAURANT, START 10/2010, 0 HOURS PER MONTH, NO DUTIES.
JAY ROCK LLC; NOT INVESTMENT RELATED; VOORHEES, NEW JERSEY; TO INVEST IN A RESTAURANT; 100% OWNERSHIP; START 1/24/2011; 0 HRS MONTH; 0 HRS DURING TRADING.
VIRTUA, BOARD OF TRUSTEES, MARLTON, NEW JERSEY: START DATE 8/30/22: 2 HOURS A MONTH; 0 HRS DURING TRADING; ATTEND MEETINGS AND ADVISE.
VIRTUA, INVESTMENT RELATED, MARLTON, NEW JERSEY, AUDIT COMMITTEE, START DATE 1/30/2024, 2 HRS PER MONTH, 0 HRS DURING TRADING, ATTENDING MEETINGS, ADVISING, PARTICIPATING AND DISCUSSING THE YEARLY AUDIT.
VIRTUA; INVESTMENT RELATED; MARLTON, NEW JERSEY; FINANCE & INVESTMENT COMMITTEE MEMBER; START 4/1/2021; 0 HRS DURING TRADING; NUMBER OF HOURS PER MONTH 1; PROVIDE OVERSIGHT, MAKING DECISIONS BY COMMITTEE BASED ON VETTED RECOMMENDATIONS, AND PRESENT TO THE BOARD FOR APPROVAL.
VIRTUA FOUNDATION, BOARD OF TRUSTEES; MARLTON, NEW JERSEY; START DATE 10/16/2023; 2 HOURS A MONTH; 0

Registration & Employment History

OTHER BUSINESS ACTIVITIES

HRS DURING TRADING; ATTEND MEETINGS AND ADVISE.
VICTOR DEL REY CONDO ASSOCIATION, NOT INVESTMENT RELATED, NAPLES, FL, BOARD MEMBER, START 4/1/2023, 1 HOURS PER MONTH, 0 HRS DURING TRADING, MAINTENANCE AND UPKEEP.
CHERRY HILL FREECLINIC, CORPORATE COUNCIL CHAIR, CHERRY HILL, NEW JERSEY; START DATE 1/22/24; 1 HOUR A MONTH; 0 HRS DURING TRADING, ATTEND MEETINGS AND ADVISE.
AMERICAN ASSOCIATION FOR CANCERRESEARCH (AACR) PARTY WITH A PURPOSE, CO PRESIDENT, 2 HOURS A MONTH, 0 HRS DURING TRADING, ATTEND MEETINGS AND ADVISE.
229 SOUTH WAYNE AVENUE LLC; INVESTMENT RELATED; PHILADELPHIA, PA; 85% OWNERSHIP WITH SPOUSE; START DATE 7/22/2024; 2 HOURS PER MONTH; 0 DURING TRADING; LLC TO OWN COMMERCIAL REALESATE BUILDING FOR FINET PRACTICE.
PPWMG LLC; INVESTMENT RELATED; WAYNE, PA; 100% OWNERSHIP; START DATE 7/22/2024; 10 HOURS PER MONTH; 0 DURING TRADING; FINET PRACTICE.
CORPORATE RENTAL PROPERTY; INVESTMENT RELATED; WAYNE, PA; 85% OWNERSHIP WITH SPOUSE; START DATE 7/26/2024; 2 HOURS PER MONTH; 0 DURING TRADING; OFFICE BUILDING SOLELY FOR FINET PRACTICE.
THE NEAL LOUIS HORN, MD AND WILLIAM ALAN HORN, MD FAMILY FOUNDATION DAF ; NOT INV RELATED; DRESHER, PA; IT HAS BEEN REQUESTED BY THE CLIENT. ;0% OWNERSHIP; SUCCESSOR ADVISOR WHICH WOULD ONLY HAPPEN WHEN BOTH NEAL AND WILLIAM HAVE PASSED.; START DATE: 04/01/2026; 1 HRS PER MONTH; 0 HRS DURING TRADING;

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
Customer Dispute	2

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:	Regulator
Regulatory Action Initiated By:	MASSACHUSETTS
Sanction(s) Sought:	Undertaking
Date Initiated:	09/08/2014
Docket/Case Number:	R-2014-40
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	WELLS FARGO ADVISORS, LLC
Product Type:	Mutual Fund
Allegations:	ON OR ABOUT APRIL 11, 2007, FINRA INITIATED A REGULATORY ACTION AGAINST MR. PARKER AND ANOTHER BROKER-DEALER AGENT IN WHICH THEY WERE ALLEGED TO HAVE EFFECTUATED A HEDGE FUND CUSTOMER'S MARKET TIMING TRADES THROUGH MULTIPLE ACCOUNTS WHICH WERE OPENED IN THE NAMES OF LIMITED PARTNERSHIPS CREATED BY THE HEDGE FUND CUSTOMER SO THAT THE HEDGE FUND CUSTOMER DELAYED DETECTION OF ITS MARKET TIMING ACTIVITIES AND CIRCUMVENTED RESTRICTIONS ON TRADING IMPOSED BY VARIOUS MUTUAL FUND COMPANIES. ON MAY 16, 2008, THIS MATTER WAS RESOLVED BY A CONSENT ORDER ISSUED BY FINRA IN WHICH MR. PARKER WAS SUSPENDED FOR THREE (3) MONTHS AND FINED $106,392. THE ABOVE-STATED DISCLOSURE INCIDENTS AGAINST MR. PARKER SUGGEST A PATTERN OF BEHAVIOR THAT HAS MOVED THE DIVISION TO PLACE CONDITIONS ON HIS REGISTRATION AS AN AGENT OF WFA.

Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/08/2014
Sanctions Ordered:	Undertaking Other: THE DIVISION ALLOWED PARKER'S APPLICATION FOR REGISTRATION IN MASSACHUSETTS AS AN AGENT OF WFA UPON THE CONDITIONS SET FORTH BELOW WHICH WERE EFFECTIVE FOR 2 YEARS: A) PARKER SHALL BE SUPERVISED, ON A HEIGHTENED BASIS; B) WFA SHALL NOT PERMIT PARKER TO HAVE ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH WFA; C) WFA SHALL NOT PERMIT PARKER TO POSSESS OR EXERCISE DISCRETION IN THE HANDLING OF MASSACHUSETTS CUSTOMER ACCOUNTS; D) ON A QUARTERLY BASIS, WFA SHALL MONITOR AND REPORT ON PARKER'S MASSACHUSETTS CUSTOMERS WITH RESPECT TO THE CUSTOMER'S SATISFACTION WITH PARKER'S SERVICES; E) SHOULD PARKER BECOME THE SUBJECT OF ANY WRITTEN OR ORAL CUSTOMER COMPLAINT CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, WFA SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF WFA'S RECEIPT OF SUCH COMPLAINT.
Regulator Statement	. F) SHOULD PARKER BECOME THE SUBJECT OF ANY REGULATORY INVESTIGATION, INTERNAL INVESTIGATION, ARBITRATION PROCEEDING, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, WFA SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF THE INVESTIGATION, PROCEEDING, OR LITIGATION; G) PARKER SHALL NOT PERFORM ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH WFA; H) PARKER SHALL NOT POSSESS OR EXERCISE DISCRETION IN THE HANDLING OF MASSACHUSETTS CUSTOMER ACCOUNTS. I) PARKER SHALL NOTIFY MR. LOJPERSBERGER, OR HIS SUCCESSOR, OF THE RECEIPT OF ANY CUSTOMER COMPLAINT, ORAL OR WRITTEN, CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT AS A REGISTERED REPRESENTATIVE. J) PARKER SHALL NOTIFY MR. LOJPERSBERGER, OR HIS SUCCESSOR, OF THE INITIATION OF ANY ARBITRATION PROCEEDING, REGULATORY INVESTIGATION, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS NO LATER THAN THE END OF THE FIFTH BUSINESS DAY AFTER WHICH HE IS MADE AWARE OF THE PROCEEDING, INVESTIGATION OR LITIGATION; K) PARKER SHALL NOTIFY MR. LOJPERSBERGER, OR HIS SUCCESSOR, OF ANY INACCURACY IN ANY REPRESENTATION MADE TO THE DIVISION HEREIN OR THE BREACH OF ANY PROVISION OF HIS UNDERTAKINGS AND REPRESENTATIONS; L) TWENTY-FOUR (24) MONTHS AFTER THE ENTRY OF THE ORDER, PARKER SHALL SUBMIT TO WFA AND THE DIRECTOR AN AFFIDAVIT STATING THAT HE HAS FULLY COMPLIED WITH ALL CONDITIONS OF THE ORDER REFERENCED IN PART 11 OF THE UNDERTAKINGS. IN THE EVENT THAT PARKER CANNOT SUBMIT THE REQUIRED AFFIDAVIT, HE SHALL INSTEAD SUBMIT A STATEMENT EXPLAINING WHY THE AFFIDAVIT CANNOT BE SUBMITTED.

Reporting Source:	Individual
Regulatory Action Initiated By:	MASSACHUSETTS
Sanction(s) Sought:	Undertaking
Date Initiated:	09/08/2014
Docket/Case Number:	R-2014-40
Employing firm when activity occurred which led to the regulatory action:	WELLS FARGO ADVISORS, LLC (19616)
Product Type:	Mutual Fund
Allegations:	ON SEPTEMBER 8, 2014, THE MASSACHUSETTS SECURITIES DIVISION ENTERED A CONSENT ORDER APPROVING REGISTRATION UPON CONDITIONS WHICH, FOR A TWO YEAR PERIOD, REQUIRES ADDITIONAL SUPERVISION OF MASSACHUSETTS CUSTOMER ACCOUNTS, CONSTRAINS MR. PARKER'S ABILITY TO ACT AS A SUPERVISOR, AND IMPOSES ADDITIONAL REPORTING REQUIREMENTS.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/08/2014
Sanctions Ordered:	Undertaking

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	05/16/2008
Docket/Case Number:	2006004542202
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	Mutual Fund
Allegations:	NASD RULE 2110: DURING THE PERIOD MARCH 2002 THROUGH THE END OF JANUARY 2003, RESPONDENT FACILITATED A HEDGE FUND CUSTOMER'S USE OF DECEPTIVE PRACTICES TO ENGAGE IN MARKET TIMING OF MUTUAL FUND SHARES. RESPONDENT EXECUTED TRADES FOR THE CUSTOMER THROUGH MULTIPLE ACCOUNTS WHICH USED MULTIPLE PARTNERSHIP NAMES AND TRADED THROUGH THREE

	REGISTERED REPRESENTATIVE NUMBERS. THESE ACTIVITIES ALLOWED THE HEDGE FUND CUSTOMER TO AVOID DETECTION OF ITS MARKET TIMING ACTIVITIES BY MUTUAL FUND COMPANIES IN MANY INSTANCES AND TO CIRCUMVENT NUMEROUS RESTRICTIONS ON ADDITION TRADING IMPOSED BY THOSE COMPANIES.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/16/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $106,392 (INCLUDING DISGORGEMENT OF $53,196) AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSIONS IN ANY CAPACITY WILL BE IN EFFECT FROM MAY 27, 2008, THROUGH AUGUST 26, 2008. FINES PAID ON JUNE 05, 2008.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	04/11/2007
Docket/Case Number:	2006004542202
Employing firm when activity occurred which led to the regulatory action:	PRUDENTIAL SECURITIES INCORPORATED
Product Type:	Mutual Fund(s)
Other Product Type(s):	
Allegations:	NASD RULE 2110 - BETWEEN MARCH 2002 AND JANUARY 2003 MR. PARKER IS ALLEGED TO HAVE EFFECTUATED A HEDGE FUND CUSTOMER'S MARKET TIMING TRADES THROUGH MULTIPLE ACCOUNTS WHICH WERE OPENED IN THE NAMES OF LIMITED PARTNERSHIPS CREATED BY THE HEDGE FUND CUSTOMER. BY SUBMITTING TRADES IN THIS WAY, THE HEDGE FUND CUSTOMER DELAYED DETECTION OF ITS MARKET TIMING ACTIVITIES AND CIRCUMVENTED RESTRICTIONS ON TRADING IMPOSED BY VARIOUS MUTUAL FUND COMPANIES. MR. PARKER CEASED EFFECTUATING MARKET TIMING TRADES BY FEBRUARY 2003. HE CONTINUED TO SERVICE THE CUSTOMER'S ACCOUNTS THROUGH OCTOBER 2003.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	05/16/2008
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine $106,392.00 Suspension
Other Sanctions Ordered:	DISGORGEMENT OF $53,196
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. PARKER AGREED TO A THREE MONTH SUSPENSION FROM ASSOCIATION WITH ANY FINRA MEMBER AND A FINE IN THE AMOUNT OF $106,392 (INCLUDING DISGORGEMENT OF $53,196). THE SUSPENSION WILL BE IN EFFECT FROM MAY 27, 2008 THROUGH AUGUST 26, 2008.

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLAIMANT ALLEGES THAT PURCHASES SHE MADE OF SELECTED PREFERRED SHARES BEGINNING IN JANUARY 2008, AS PART OF HER $2.6 MILLION PORTFOLIO, WERE UNSUITABLE AND THAT HER BROKER VIOLATED THE SECURITIES EXCHANGE ACT OF 1934, THE PENNSYLVANIA UNFAIR TRADE PRACTICES AND CONSUMER PROTECTION LAW, BREACHED HIS FIDUCIARY DUTY, COMMITTED COMMON LAW FRAUD, AND WAS NEGLIGENTLY SUPERVISED, CAUSING A DECLINE IN THE VALUE OF THIS PORTION OF HER PORTFOLIO.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$600,000.00
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 #:	09-02867
Filing date of arbitration/CFTC reparation or civil litigation:	05/21/2009

Customer Complaint Information

Date Complaint Received:	05/26/2009
Complaint Pending?	No
Status:	Settled
Status Date:	04/13/2010
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00
Broker Statement	***FA'S RESPONSE: I BELIEVE THAT I HAVE MERITORIOUS DEFENSES TO CLAIMANT'S ALLEGATIONS. I DENY ALL OF CLAIMANT'S ALLEGATIONS AND INTEND TO DEFEND MYSELF VIGOROUSLY IN THIS MATTER. ***RESPONDENT SUCCESSFULLY ENGAGED IN MEDIATION AND BROUGHT THIS MATTER TO AN ACCEPTABLE CONCLUSION. WITHOUT ADMITTING

	ANY LIABILITY, AND SOLELY TO AVOID THE EXPENSE AND DISTRACTION OF ARBITRATION, RESPONDENT AGREED TO SETTLE THE CLAIM FOR $45,000.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES INCORPORATED
Allegations:	EXCESSIVE COMMISSIONS AND LOSSES DUE TO UNAUTHORIZED TRADES
Product Type:	Other
Other Product Type(s):	OTC STOCK
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	08/07/2001
Complaint Pending?	No
Status:	Withdrawn
Status Date:	11/12/2001
Settlement Amount:	
Individual Contribution Amount:	

End of Report

This page is intentionally left blank.