



IAPD Report

JOHN MARTIN JETTER IV

CRD# 258617

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

JOHN MARTIN JETTER IV (CRD# 258617)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	09/04/1990
IA	WELLS FARGO ADVISORS	CRD# 19616	03/15/2000

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **13** jurisdiction(s).

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

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	76	LOCATION	06/12/1989 - 09/04/1990
B	DREXEL BURNHAM LAMBERT INCORPORATED	7323	LOCATION	03/03/1978 - 06/13/1989
B	DEAN WITTER REYNOLDS INC.	7556	LOCATION	02/28/1978 - 04/13/1978

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	7



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 **13** jurisdiction(s) and 6 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 Exchange, Inc.	General Securities Principal	Approved	09/11/2021
B Cboe Exchange, Inc.	General Securities Representative	Approved	09/11/2021
B FINRA	General Securities Principal	Approved	09/04/1990
B FINRA	General Securities Representative	Approved	09/04/1990
B FINRA	Municipal Securities Principal	Approved	09/04/1990
B FINRA	Municipal Securities Representative	Approved	09/04/1990
B FINRA	Registered Options Principal	Approved	09/04/1990
B FINRA	General Securities Sales Supervisor	Approved	09/28/1995
B NYSE American LLC	General Securities Principal	Approved	07/29/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B NYSE American LLC	Municipal Securities Principal	Approved	07/29/2011
B NYSE American LLC	Municipal Securities Representative	Approved	07/29/2011
B NYSE American LLC	Registered Options Principal	Approved	07/29/2011



Qualifications

Regulator	Registration	Status	Date
B NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B Nasdaq PHLX LLC	General Securities Principal	Approved	09/30/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	09/30/2011
B Nasdaq PHLX LLC	Registered Options Principal	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Principal	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B Nasdaq Stock Market	General Securities Sales Supervisor	Approved	07/12/2006
B Nasdaq Stock Market	Registered Options Principal	Approved	03/22/2011
B New York Stock Exchange	General Securities Representative	Approved	09/04/1990
B New York Stock Exchange	General Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Principal	Approved	06/26/2010
B New York Stock Exchange	Municipal Securities Representative	Approved	06/26/2010
B New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B Arizona	Agent	Approved	09/04/1990
IA Arizona	Investment Adviser Representative	Approved	11/21/2002
B California	Agent	Approved	09/04/1990
B Colorado	Agent	Approved	09/10/2025
B Hawaii	Agent	Approved	10/02/2025



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	09/10/2025
B Kansas	Agent	Approved	11/09/2017
B Louisiana	Agent	Approved	10/03/2025
B Massachusetts	Agent	Approved	09/19/2025
B Michigan	Agent	Approved	05/11/2017
B Montana	Agent	Approved	09/29/2025
B Tennessee	Agent	Approved	08/11/2020
B Utah	Agent	Approved	05/01/2017
B Washington	Agent	Approved	04/15/2020

Branch Office Locations

WELLS FARGO ADVISORS
18700 N HAYDEN RD STE 525
SCOTTSDALE, AZ 85255









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 6 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Registered Options Principal Examination (S4)	Series 4	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Registered Principal Examination (S40)	Series 40	04/24/1976
 NYSE Branch Manager Examination (S12)	Series 12	04/11/1976

General Industry/Product Exams



Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Interest Rate Options Examination (S5)	Series 5	12/12/1981
 Registered Representative Examination (S1)	Series 1	07/26/1973



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/28/2017
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/05/1997

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
B	06/12/1989 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	03/03/1978 - 06/13/1989	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	
B	02/28/1978 - 04/13/1978	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	08/01/1973 - 02/28/1978	DEAN WITTER & CO. INCORPORATED	CRD# 6466	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SCOTTSDALE, AZ, 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
Customer Dispute	7

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 7

Reporting Source: Individual

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

Allegations: IN THE STATEMENT OF CLAIM, THE CLIENT ALLEGED THAT THE FA, DAVID SIMON, ENGAGED IN VIOLATIONS OF THE NASD RULES OF FAIR PRACTICE RELATING TO EXCESSIVE TRADING, UNSUITABLE RECOMMENDATIONS, AND CONCENTRATION WITH REGARD TO HIGH YIELD CORPORATE BONDS AND MUTUAL FUNDS. CLIENT ALSO ALLEGED THAT MR. JETTER, IN HIS CAPACITY AS BRANCH MANAGER, FAILED TO PROPERLY AND PRUDENTLY SUPERVISE THE ACTIVITIES OF THE REPRESENTATIVE SERVICING THE CLIENTS ACCOUNT

Product Type: Debt - Corporate

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$69,016.14

Customer Complaint Information

Date Complaint Received: 11/29/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/29/2000

Settlement Amount:

Individual Contribution Amount:

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION # 00-05002

Date Notice/Process Served: 11/29/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/08/2001

Monetary Compensation Amount: \$17,500.00

Individual Contribution Amount:

Broker Statement

A SETTLEMENT IN THE AMOUNT OF \$17,500 WAS A COMPROMISE OF DOUBTFUL AND DISPUTED CLAIMS AND IS NOT TO BE CONSTRUED AS AN ADMISSION OF LIABILITY BY ANY OF THE RELEASED PARTIES. IT WAS THE DESIRE OF THE PARTIES TO TERMINATE THE LITIGATION AND BUY THEIR PEACE. THE BUSINESS REASONS FOR ELECTING THE SETTLE THE DISPUTE ARE IN NO WAY A REFLECTION OF A FINDING BY THE FIRM OF ANY WRONG DOING ON ANY OF THE INDIVIDUALS BEING RELEASED. I WAS NOT REQUESTED TO, AND DID NOT PARTICIPATE FINANCIALLY IN, THE SETTLEMENT.

Disclosure 2 of 7

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES THAT HIS BROKER DENNIS STACK RECOMMENDED UNSUITABLE INVESTMENTS IN PUT AND CALL OPTIONS. DAMAGES SOUGHT \$10,000,000.00. JOHN JETTER IS NAMED BY THE CLAIMANT SOLEY BECAUSE OF HIS ROLE AS BRANCH MANAGER.

Product Type: Options

Alleged Damages: \$10,000,000.00

Customer Complaint Information

Date Complaint Received: 06/04/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/04/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 99-02285



Date Notice/Process Served: 06/04/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/29/2000

Monetary Compensation Amount: \$800,000.00

Individual Contribution Amount:

Broker Statement

THIS MATTER WAS SETTLED AT THE CONCLUSION OF A VOLUNTARY MEDIATION FOR \$800,000. THE SETTLEMENT WAS A COMPROMISE OF DOUBTFUL AND DUSPUTED CLAIMS AND IS NOT TO BE CONSTRUED AS AN ADMISSION OF LIABILTY OR WRONG DOING BY ANY OF THE RELEASED PARTIES, BUT SOLEY TO AVOID THE EXPENSE, INCONVIENCE AND UNCERTAINTY OF ARBITRATING THE DISPUTE. I WAS NOT REQUESTED TO, AND DID NOT PARTICIPATE FINANCIALLY IN, THE SETTLEMENT, OR WERE I OR MY ASSOCIATES INVOLVED IN THE SUPERVISION OF THE ACCOUNT ASKED IN ANY WAY TO ALTER THE STANDARDS OF SUPERVISION GIVEN THIS ACCOUNT.

Disclosure 3 of 7

Reporting Source: Individual

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

Allegations: CLAIMANT ALLEGES AN UNSUITABLE INVESTMENT IN MARVEL HOLDINGS,INC. BONDS PURCHASED IN 1993. MR. JETTER DID NOT RECOMMEND THE PURCHASE OF THE BONDS TO THE CLAIMANT. CLAIMANT ALLEGES THAT JETTER FAILED TO ADEQUATELY MONITOR HER ACCOUNT AFTER SHE ASKED THAT HER BROKER, DEXTER JOHNSON, BE REMOVED FROM THE ACCOUNT IN MAY, 1994. DAMAGES SOUGHT \$1,500,000.

Product Type:

Alleged Damages: \$1,500,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/31/1998

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-05093

Date Notice/Process Served: 01/09/1998



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/31/1998
Monetary Compensation Amount:	\$321,000.00
Individual Contribution Amount:	
Broker Statement	<p>THE FORMER REGISTERED REPRESENTATIVE IS DISABLED AND THROUGH HIS LAWYER, CLAIMS THAT HE IS UNABLE TO PARTICIPATE IN THE DEFENSE OF THE MATTER. THUS THE INDIVIDUAL WHO WAS THE KEY WITNESS IN RESPONDING TO THE CLAIM. IN ORDER TO AVOID THE ONGOING COSTS ASSOCIATED WITH THE LEGAL PROCESS AND AN UNCERTAIN OUTCOME GIVEN THE UNAVAILABILITY OF THE BROKER, THE FIRM AGREED TO AN AMICABLE SETTLEMENT WITH THE CLAIMANT IN THE AMOUNT OF \$321,000.00 AND FORGAVE A DEBIT IN HER ACCOUNT OF APPROXIMATELY \$120,000.00.</p> <p>CLAIMANTS RESTRUCTURED HER PORTFOLIO IN LATE 1993 AND EARLY 1994 BASED ON STRATEGIES FORMULATED IN A MEETING BETWEEN HER BROKER, HER ACCOUNTANT AND HER ATTORNEY. WHEN CLAIMANT ASKED THAT HER BROKER BE REMOVED FROM THE ACCOUNT AFTER A HEATED DISAGREEMENT OVER FUNDS THAT CLAIMANT WAS WITHDRAWING FROM THE ACCOUNT. I HAD THE OPPORTUNITY TO REVIEW AND MAKE RECOMMENDATIONS CONCERNING HER STRATEGIES AND SPECIFIC INVESTMENTS. FROM THE OUTSET AND ON AN ONGOING BASIS, CLAIMANT DECLINED TO ACCEPT MY ADVICE TO DIVERSIFY HER HOLDINGS AND REDUCE HER MARGIN DEBIT BALANCED. I ACTIVELY AND REGULARLY KEPT HER INFORMED RELATIVE TO THE MAINTENANCE OF HER INVESTMENTS. CLAIMANT MAINTAINED THE SAME BOND POSITIONS FOR TWO AND A HALF YEARS DURING WHICH I CONSISTENTLY ADVISED HER TO SELL SOME OF THE POSITIONS TO DIVERSEIFY HER PORTFOLIO AND REDUCE HER MARGIN DEBIT.</p>
Disclosure 4 of 7	
Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	KEMPER SECURITIES INC.
Allegations:	SUITABILITY; UNAUTHORIZED TRADING; BRCH OF FIDUCIARY DT; ACCOUNT RELATED - FAILURE TO SUPERVISE
Product Type:	
Alleged Damages:	\$170,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #93-01849
Date Notice/Process Served:	05/10/1993
Arbitration Pending?	No
Disposition:	Other



Disposition Date: 02/09/1994

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$122,803.16 JOINTLY AND SEVERALLY; TREBLE DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST HAS BEEN DENIED IN FULL; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$1,250.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$10,000.00 JOINTLY AND SEVERALLY; OTHER MONETARY RELIEF, RELIEF REQUEST HAS BEEN DENIED IN FULL; INTEREST, RELIEF REQUEST HAS BEEN DENIED IN FULL

Reporting Source: Individual

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

Allegations: CLAIMANT HAS ALLEGED THAT [OTHER FIRM EMPLOYEE] USED UNAUTHORIZED DISCRETION, FORGED A DISCRETIONARY ACCOUNT FORM, SOLD UNREGISTERED SECURITIES, AND RECOMMENDED UNSUITABLE INVESTMENTS. DAMAGES ALLEGED TO BE \$170,000.00 PLUS ATTORNEY'S FEES, PUNITIVE DAMAGES, TREBLE DAMAGES, AND INTEREST. MR. JETTER WAS [OTHER FIRM EMPLOYEE]'S SUPERVISOR DURING THE SUBJECT TIME PERIOD AND WAS NAMED IN THE CLAIM FOR FAILING TO SUPERVISE.

Product Type:

Alleged Damages: \$170,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [National Association of Securities Dealers, Inc.; 93-01849](#)

Date Notice/Process Served: 05/10/1993

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 02/09/1994

Monetary Compensation Amount: \$134,053.16



Individual Contribution Amount: \$0.00

Broker Statement THE NASD PANEL SPECIFICALLY REJECTED ALL CLAIMS AGAINST MR. JETTER, ORDERING THAT THEY BE DENIED IN THEIR ENTIRETY. FOUND UNSPECIFIED JOINT AND SEVERAL LIABILITY TO KSI AND [OTHER FIRM EMPLOYEE], AWARDING \$122,803.16 PLUS \$10,000.00 ATTORNEY'S FEES AND COSTS. NOT PROVIDED

Disclosure 5 of 7

Reporting Source: Regulator

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

Allegations: CHURNING; ACCOUNT RELATED-NEGLIGENCE; ACCOUNT RELATED - FAILURE TO SUPERVISE; BRCH OF FIDUCIARY DT

Product Type:

Alleged Damages: \$16,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #92-04057

Date Notice/Process Served: 12/16/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/22/1993

Disposition Detail: CASE IS CLOSED, SETTLED
Not Provide

Reporting Source: Individual

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

Allegations: CLAIMS ARE LIMITED TO ROLE AS BOM SUPERVISOR IN ARBITRATION ALLEGING EXCESSIVE TRADING SUITABILITY ISSUES AS THEY PERTAIN TO OPTIONS TRANSACTIONS, RESULTING IN PURPORTED ACUTAL COMPENSATORY DAMAGES OF \$16,000, PLUS TREBLE, DISGORGEMENT, PUNITIVE, FEES, COSTS AND INTEREST. THE ORIGINAL COMPLAINT WAS DENIED AS THE FIRM FOUND NO EVIDENCE TO SUPPORT THE CLAIMS, NO LACK OF SUPERVISORY PROCEDURES OR EXECUTION OF THOSE RESPONSIBILITIES.

Product Type:

Alleged Damages: \$16,000.00

Customer Complaint Information

Date Complaint Received:



Complaint Pending? No
Status: Arbitration/Reparation
Status Date:

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 92-04057

Date Notice/Process Served: 12/16/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/22/1993

Monetary Compensation Amount: \$11,750.00

Individual Contribution Amount:

Broker Statement A SETTLEMENT OF \$11,750 WAS A COMPROMISE OF DOUBTFUL AND DISPUTED CLAIMS AND IS NOT TO BE CONSTRUED AS AN ADMISSION OF LIABILITY BY ANY OF THE RELEASED PARTIES. IT WAS THE DESIRE OF THE PARTIES TO TERMINATE THE LITIGATION AND BUY THEIR PEACE.
 Not Provided

Disclosure 6 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES

Allegations: SUITABILITY; OTHER; TRADING DISPUTES-OTHER

Product Type:

Alleged Damages: \$20,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #92-04058

Date Notice/Process Served: 12/03/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/22/1993

Disposition Detail: CASE IS CLOSED, SETTLED
 Not Provide



Reporting Source: Individual

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

Allegations: CLAIMS ARE LIMITED TO ROLE AS BOM SUPERVISOR IN ARBITRATION ALLEGING EXCESSIVE TRADING & SUITABILITY ISSUES AS THEY PERTAIN OPTIONS TRANSACTIONS, RESULTING IN PURPORTED ACTUAL COMPENSATORY DAMAGES OF \$20,000 PLUS TREBLE, DISGORGEMENT, PUNITIVE, FEES, COSTS AND INTEREST. THE ORIGINAL COMPLAINT WAS DENIED AS THE FIRM FOUND NO EVIDENCE TO SUPPORT THE CLAIMS, NO LACK OF SUPERVISORY PROCEDURES OR EXECUTION OF THOSE RESPONSIBILITIES.

Product Type:

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 92-04058

Date Notice/Process Served: 12/03/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/22/1993

Monetary Compensation Amount: \$11,750.00

Individual Contribution Amount:

Broker Statement

A SETTLEMENT OF \$11,750 WAS A COMPROMISE OF DOUBTFUL AND DISPUTED CLAIMS AND IS NOT TO BE CONSTRUED AS AN ADMISSION OF LIABILITY BY ANY OF THE RELEASED PARTIES. IT WAS THE DESIRE OF THE PARTIES TO TERMINATE LITIGATION AND BUY THEIR PEACE.
Not Provided

Disclosure 7 of 7

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: BATEMAN EICHLER HILL RICHARDS

Allegations: BREACH OF FIDUCIARY DUTY; CHURNING; MISREPRESENTATION

Product Type:

Alleged Damages: \$1,150,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-02516](#)

Date Notice/Process Served: 09/27/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 10/05/1992

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$245,000.00 JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$35,000.00 JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$7,500.00 JOINTLY AND SEVERALL

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BATEMAN EICHLER HILL RICHARDS

Allegations: ACTUAL ALLEGED DAMAGES ARE \$950,000.00 PLUS COMMISSION CHARGES OF AT LEAST \$200,000.00

Product Type:

Alleged Damages: \$1,150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [National Association of Securities Dealers, Inc.; 91-02516](#)



Date Notice/Process Served:	09/27/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	10/05/1992
Monetary Compensation Amount:	\$287,500.00
Individual Contribution Amount:	
Broker Statement	NO SPECIFIC FINDING OF ANY FAILURE TO SUPERVISE. AMOUNT OF AWARD: \$192,000.00 SEE ATTACHED COPY OF NASD AWARD. Not Provided



End of Report

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