



IAPD Report

RYAN GARRETT ROBINSON

CRD# 2682661

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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

RYAN GARRETT ROBINSON (CRD# 2682661)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/03/2011
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/03/2011

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **8** 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 INVESTMENTS, LLC	10582	STUDIO CITY, CA	05/15/2001 - 01/03/2011
B	WELLS FARGO INVESTMENTS, LLC	10582	STUDIO CITY, CA	05/02/2001 - 01/03/2011
B	WELLS FARGO SECURITIES INC.	17438	SAN FRANCISCO, CA	12/06/1996 - 05/02/2001

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	1
Customer Dispute	6



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with 8 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 Representative	Approved	12/01/2021
B FINRA	General Securities Representative	Approved	01/03/2011
B NYSE American LLC	General Securities Representative	Approved	07/29/2011
B Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B Nasdaq Stock Market	General Securities Representative	Approved	01/03/2011
B New York Stock Exchange	General Securities Representative	Approved	01/24/2011
B California	Agent	Approved	01/03/2011
IA California	Investment Adviser Representative	Approved	01/03/2011
B Florida	Agent	Approved	07/11/2018
B Hawaii	Agent	Approved	01/03/2011
B Idaho	Agent	Approved	09/02/2015
B Nevada	Agent	Approved	01/03/2011
B New Mexico	Agent	Approved	04/15/2016



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	01/30/2013
B Wisconsin	Agent	Approved	01/03/2011

Branch Office Locations

WELLS FARGO ADVISORS
15760 VENTURA BLVD STE 1250
[SK-RBO]
ENCINO, CA 91436

WELLS FARGO ADVISORS
TARZANA, CA



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/15/1995
 General Securities Representative Examination (S7)	Series 7	11/22/1995

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/01/1995

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	05/15/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	STUDIO CITY, CA
B	05/02/2001 - 01/03/2011	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	STUDIO CITY, CA
B	12/06/1996 - 05/02/2001	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	11/15/1996 - 01/01/1997	GATEWAY INVESTMENT SERVICES, INC.	CRD# 31153	OAK PARK, IL
B	11/28/1995 - 08/30/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	STUDIO CITY, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	STUDIO CITY, CA, 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	1
Customer Dispute	6

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	10/25/2004
Docket/Case Number:	C02040041
Employing firm when activity occurred which led to the regulatory action:	WELLS FARGO SECURITIES
Product Type:	Mutual Fund
Allegations:	NASD RULES 2110, 2310 - RYAN ROBINSON RECOMMENDED TO THE ACCOUNTS OF PUBLIC CUSTOMERS THE PURCHASE OF MUTUAL FUND "C" SHARES WITHOUT A REASONABLE BASIS FOR BELIEVING THESE RECOMMENDATIONS TO BE SUITABLE FOR THE ACCOUNTS; THE RECOMMENDATIONS WERE UNSUITABLE BECAUSE THE ACCOUNTS WERE ECONOMICALLY DISADVANTAGED BY THE COSTS ASSOCIATED WITH THE PURCHASE OF "C" SHARES RELATIVE TO THE COSTS THEY WOULD HAVE INCURRED BY PURCHASING "A" SHARES OF THE SAME MUTUAL FUNDS.
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: 10/25/2004

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DNEYING THE ALLEGATIONS, ROBINSON CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. SUSPENSION EFFECTIVE DECEMBER 6, 2004 TO CLOSE OF BUSINESS DECEMBER 27, 2004. FINES PAID.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Date Initiated: 10/25/2004

Docket/Case Number: C02040041

Employing firm when activity occurred which led to the regulatory action: WELLS FARGO SECURITIES, INC. AND WELLS FARGO INVESTMENTS, LLC

Product Type: Mutual Fund

Allegations: RECOMMENDATIONS OF "C" SHARES WITHOUT REASONABLE BASIS THAT THE SHARES WOULD BE SUITABLE OR LESS EXPENSIVE THAN "A" SHARES. VIOLATIONS OF NASD RULES 2110 AND 2310.

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: 10/25/2004

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 15 DAYS

Start Date: 12/06/2004



End Date: 12/27/2004

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 11/17/2004

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

THIS DISCIPLINARY ACTION RESULTED FROM A SINGLE CLIENT COMPLAINT. IT IS NOT REPRESENTATIVE OF MY DAILY STANDARD OF PROFESSIONALISM. THIS COMPLAINT WAS RESOLVED BY MY FIRM AND I PRIOR TO THE NASD BRINGING THIS ACTION.



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:	Wells Fargo Advisors
Allegations:	Client alleged his advisor did not actively invest his funds and monitor his account, contrary to his assurances. (1/23/2013-11/1/2016)
Product Type:	Other: Self directed fee based accounts (non-managed)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/19/2018
Complaint Pending?	No
Status:	Denied
Status Date:	07/16/2018

Settlement Amount:

Individual Contribution Amount:

Broker Statement

This client and I entered into an advisory account relationship with an agreed upon objective. This objective was abandoned by the client shortly after inception as the client abruptly changed his investment strategy, which I believe ultimately lead to his own dissatisfaction. During our relationship, I provided service to this client which included research and professional investment advice. I have denied the allegations of wrongdoing.

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC.
Allegations:	CLIENT STATED THAT HE TOLD HIS BROKER THAT HE DID NOT WANT HIS



INVESTMENT ACCOUNT BALANCE TO DROP BELOW \$400,000, AND HE STATED THAT THE BROKER FAILED TO FOLLOW HIS INSTRUCTIONS REGARDING HIS "400K BALANCE STOP ORDER". DATES OF ALLEGED ACTIVITIES: 8/31/2008 - 10/31/2008

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSTATED, BUT THE FIRM MADE A GOOD FAITH ESTIMATE THAT THE DAMAGES ARE IN EXCESS OF \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/10/2009

Complaint Pending? No

Status: Settled

Status Date: 07/22/2010

Settlement Amount: \$27,500.00

Individual Contribution Amount: \$5,845.00

Broker Statement

AS A FINANCIAL ADVISOR TO MY CLIENTS, I HAVE AND ALWAYS WILL STRIVE TO DELIVER THE HIGHEST LEVEL OF PROFESSIONAL ACUMEN. THIS PARTICULAR INSTANCE IS NO EXCEPTION. UNDER THE DIRECTION OF LEGAL COUNSEL AND MY FIRM, WELLS FARGO INVESTMENTS LLC, THE DECISION WAS MADE TO RESOLVE THIS MATTER IN ORDER TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 3 of 6

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED THAT HE HAD SENT AN EMAIL ON 4/7/08 STATING, "I WOULD LIKE TO PUT A RESTRICTION THAT ANY TIME IF I LOOSE MORE THAN 10%, I WANT YOU TO SELL AND PUT THE MONEY IN CD ACCOUNTS OR MONEY MARKET," AND THAT HIS ACCOUNT HAD SUBSEQUENTLY DECLINED IN VALUE BY MORE THAN 10% BUT THAT HIS INSTRUCTION WAS NOT FOLLOWED. DAMAGES ARE UNSTATED, BUT BELIEVED TO BE IN EXCESS OF \$5,000.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): UNSTATED BUT BELIEVED TO BE IN EXCESS OF \$5000.00.



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: 12/07/2008

Complaint Pending? No

Status: Denied

Status Date: 06/02/2009

Settlement Amount: \$0.00

Individual Contribution
Amount: \$0.00

Broker Statement

I REC'D EMAIL ON 4/7/08 FROM CLIENT EXPRESSING CONCERN ABOUT AN ALLEGED LOSS IN ACCOUNT & THAT HE HADN'T BEEN CONTACTED REGARDING LOSS. I RESPONDED VIA EMAIL STATING THAT HE MISCALCULATED & I WOULD BE GLAD TO DISCUSS HIS PORTFOLIO W/ HIM; I ASKED THAT HE CONTACT ME. CLIENT RESPONDED VIA EMAIL; HE INSTRUCTED ME TO COMMUNICATE W/ HIM VIA EMAIL ONLY. CLIENT & I COMMUNICATED THROUGH BANKER & EMAIL. ON 4/22 I SENT HIM AN EMAIL THAT WE NEEDED TO SPEAK IN PERSON/BY PHONE. ON 4/23, HE SENT AN EMAIL STATING THAT HE HAD MADE A MISTAKE IN CALCULATION & I WAS CORRECT. HOWEVER, THERE WAS STILL NO DIRECT COMMUNICATION. ON 4/24, I SENT MY MGR AN EMAIL ASKING HE GET INVOLVED TO MAKE SURE CLIENT FELT HE WAS BEING TAKEN CARE OF & THAT BEST PERSON WF HAD TO OFFER WAS TAKING CARE OF HIS ACCOUNT. MGR & I SET UP A MEETING W/ CLIENT & INVESTMENT MGR AS CLIENT RECENTLY SOLD BUSINESS & HAD A LARGE SUM OF MONEY TO BE INVESTED. ON 7/2, I SENT CLIENT AN EMAIL STATING THAT THERE WAS CASH THAT NEEDED TO BE PLACED & NOTED THAT HE HELD FUNDS THAT DID NOT FIT W/IN HIS INVESTMENT OBJECTIVES & WE NEEDED TO TALK. HE DID NOT TAKE ME UP ON THAT REQUEST. WE SPOKE BRIEFLY IN JUNE/JULY/AUGUST AT WHICH TIME WE ROLLED OVER THE FIXED INCOME SECURITIES. SECURITIES OUTSIDE OF HIS OBJECTIVES WEREN'T DISCUSSED. CLIENT & INVESTMENT MGR MET IN MID 7/08 & DISCUSSED MGMT ARRANGEMENTS. AFTER CONSIDERING OPTIONS, CLIENT CALLED & INFORMED ME THAT HE HAD DECIDED TO CONTINUE WORKING W/ ME. HE SAID THAT HE WAS TRAVELLING FOR APPROX A MONTH & WOULD RETURN AT END OF AUGUST. HIS PORTFOLIO WASN'T DISCUSSED. ON 11/7, I REC'D EMAIL FROM CLIENT THAT HE DECIDED TO MOVE ACCOUNTS TO A WF OFFICE CLOSER TO HIS HOME. HE STATED IN THAT EMAIL "I WANT TO THANK YOU FOR YOUR SERVICES IN THE PAST. I WILL STILL BE WITH WF & LIKE THEIR SERVICES. THE NEW FC WILL BE CALLING YOU TO TRANSFER MY ACCOUNTS. YOU HAVE DONE A GOOD JOB IN THE PAST & THIS IS MY PERSONAL DECISION TO TRANSFER." HIS ACCOUNTS WERE TRANSFERRED; NO MENTION OF HIS PORTFOLIO.

Disclosure 4 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS

Allegations: DISCLOSURE OF FEES - JUNE AND JULY 2001

Product Type: Mutual Fund(s)

Alleged Damages: \$18,600.00

Customer Complaint Information

Date Complaint Received: 10/09/2002

Complaint Pending? No

Status: Settled

Status Date: 03/11/2003

Settlement Amount: \$46,492.00

Individual Contribution Amount: \$20,450.00

Broker Statement THE LETTER CONCERNS 2 ACCTS, [CUSTOMER] TTEE AND [FAMILY MEMBER] CADILLAC. [CUSTOMER'S] ACCOUNT WAS SETTLED ON 2/21/2003 FOR \$21,665. RYAN ROBINSON WAS CHARGED FOR \$9,530. [FAMILY MEMBER] CADILLAC ACCOUNT WAS SETTLED ON 3/11/2003 FOR \$24,827. RYAN ROBINSON WAS CHARGED FOR \$10,920.90.

Disclosure 5 of 6

Reporting Source: Individual

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

Allegations: SUITABILITY 2/26/2002

Product Type: Other

Other Product Type(s): US TREASURY BOND

Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 05/09/2002

Complaint Pending? No

Status: Denied

Status Date: 06/19/2002

Settlement Amount:

Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Individual



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

Allegations: ALLEGED UNAUTHORIZED TRADES IN INVESTMENT IN MUTUAL FUNDS.

Product Type: Mutual Fund(s)

Alleged Damages: \$16,243.00

Customer Complaint Information

Date Complaint Received: 05/03/2001

Complaint Pending? No

Status: Denied

Status Date: 07/03/2001

Settlement Amount:

Individual Contribution Amount:



End of Report

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