



IAPD Report

ROGER LOWELL WILKIE

CRD# 467135

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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

ROGER LOWELL WILKIE (CRD# 467135)

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 **03/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/20/2021
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	04/20/2021

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and **21** 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 CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS	03/13/2007 - 04/16/2021
B	WELLS FARGO CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS	09/04/1990 - 04/16/2021
B	BLUNT ELLIS & LOEWI INCORPORATED	7580	OVERLAND PARK, KS	10/20/1983 - 09/04/1990

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
Termination	1



Report Summary



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 **21** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**
Main Address: 501 N BROADWAY
ST LOUIS, MO 63102
Firm ID#: 793

Regulator	Registration	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/20/2021
B FINRA	General Securities Representative	Approved	04/21/2021
B NYSE American LLC	General Securities Representative	Approved	04/20/2021
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/20/2021
B Nasdaq Stock Market	General Securities Representative	Approved	04/20/2021
B New York Stock Exchange	General Securities Representative	Approved	04/20/2021
B Arizona	Agent	Approved	04/21/2021
B Arkansas	Agent	Approved	05/14/2021
B California	Agent	Approved	04/21/2021
B Colorado	Agent	Approved	08/26/2021
B Florida	Agent	Approved	06/21/2021
B Georgia	Agent	Approved	05/20/2021
B Idaho	Agent	Approved	04/21/2021



Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	04/01/2026
B Iowa	Agent	Approved	04/23/2021
IA Kansas	Investment Adviser Representative	Approved	04/20/2021
B Kansas	Agent	Approved	04/21/2021
B Minnesota	Agent	Approved	05/05/2021
B Mississippi	Agent	Approved	03/04/2022
B Missouri	Agent	Approved	07/21/2021
B Nebraska	Agent	Approved	07/09/2021
B New Mexico	Agent	Approved	04/21/2021
B New York	Agent	Approved	04/21/2021
B Oklahoma	Agent	Approved	07/21/2021
B South Carolina	Agent	Approved	05/12/2021
B Tennessee	Agent	Approved	09/15/2025
B Texas	Agent	Approved	06/29/2021
B Virginia	Agent	Approved	07/30/2021

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
40 CORPORATE WOODS BUILDING
9401 INDIAN CREEK PARKWAY, SUITE 1100
OVERLAND PARK, KS 66210






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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	11/03/1983
 NYSE Branch Manager Examination (S12)	Series 12	10/26/1983
 General Securities Principal Examination (S24)	Series 24	01/19/1983

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 NYSE Allied Member Examination (S41)	Series 41	01/15/1983
 Registered Representative Examination (S1)	Series 1	04/18/1966

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/09/1981



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	03/13/2007 - 04/16/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	OVERLAND PARK, KS
B	09/04/1990 - 04/16/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	OVERLAND PARK, KS
B	10/20/1983 - 09/04/1990	BLUNT ELLIS & LOEWI INCORPORATED	CRD# 7580	
B	01/02/1973 - 11/01/1983	B.C. CHRISTOPHER SECURITIES CO.	CRD# 60	
B	07/24/1970 - 02/28/1973	F I DUPONT GLORE FORGAN & CO	CRD# 1000002	

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
04/2021 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Overland Park, KS, United States
11/2016 - 04/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	OVERLAND PARK, KS, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	OVERLAND PARK, KS, 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
Termination	1

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/11/1990
Docket/Case Number:	KC-467
Employing firm when activity occurred which led to the regulatory action:	BLUNT ELLIS & LOEWI, INC
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	10/10/1990
Sanctions Ordered:	Censure Monetary/Fine \$50,000.00 Suspension
Other Sanctions Ordered:	



Sanction Details:

Regulator Statement

[TOP] COMPLAINT NO. KC-467 FILED 1/11/90 BY DISTRICT NO. 4 AGAINST RESPONDENTS BLUNT ELLIS & LOEWI, INC., WILLIAM MILTON ROSENBERGER, ROGER LOWELL WILKIE, ET AL. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2, 15(b), 18, 19(e) AND 27 OF THE RULES OF FAIR PRACTICE IN THAT ROSENBERGER MADE RECOMMENDATIONS TO A CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT THE RECOMMENDATIONS WERE SUITABLE; EXERCISED DISCRETION OVER THE SECURITIES ACCOUNTS OF CUSTOMERS AND EXECUTED PURCHASE AND SALES TRANSACTIONS WITHOUT OBTAINING PRIOR WRITTEN DISCRETIONARY AUTHORITY FROM THE CUSTOMERS AND WITHOUT ACCEPTANCE OF THOSE SECURITIES ACCOUNTS AS DISCRETIONARY BY B.C. CHRISTOPHER AND BLUNT ELLIS; FAILED TO STATE MATERIAL FACTS TO A CUSTOMER WITH RESPECT TO CERTAIN SECURITIES TRANSACTIONS; EXECUTED TRANSACTIONS WHICH WERE NOT IN THE BEST INTERESTS OF THE CUSTOMER; RECOMMENDED AND INDUCED A CUSTOMER TO INCREASE HER MARGIN DEBIT BALANCE BY MAKING LOANS TO RESPONDENT ROSENBERGER FOR HIS OWN USE TO SUPPORT THE MARGIN DEBIT BALANCE IN HIS SECURITIES ACCOUNT; SIGNED CUSTOMER NAMES TO A MARGIN AGREEMENT WITHOUT THEIR KNOWLEDGE OR CONSENT; PURCHASED SHARES OF COMMON STOCK IN THE ACCOUNTS OF CUSTOMERS WITHOUT THEIR KNOWLEDGE AND CONSENT; GUARANTEED CUSTOMERS AGAINST LOSS IN CONNECTION WITH UNAUTHORIZED PURCHASES OF SECURITIES; BLUNT ELLIS, ACTING THROUGH HOFFMAN, SIMONO AND WILKIE, FAILED TO PROPERLY SUPERVISE ROSENBERGER; DECISION RENDERED 10/10/90, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY BLUNT ELLIS & LOEWI, INC., HOFFMAN, SIMONO AND WILKIE WAS ACCEPTED; THEREFORE, RESPONDENT MEMBER AND WILKIE ARE CENSURED AND FINED \$50,000, JOINTLY AND SEVERALLY, AND WILKIE IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A REGISTERED PRINCIPAL FOR 30 DAYS. 12/3/90 PRESS RELEASE: THE SUSPENSION WILL BEGIN 12/3/90 AND WILL END 1/1/91.
 \$50,000.00 J&S PAID ON 11/2/90 INVOICE #90-04-1195

Reporting Source: Individual

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/11/1990

Docket/Case Number: KC-467



Employing firm when activity occurred which led to the regulatory action:	BLUNT ELLIS & LOEWI, INC
Product Type:	
Other Product Type(s):	
Allegations:	THE COMPLAINT ALLEGES THAT MR. WILKIE, ACTING IN HIS CAPACITY AS BRANCH OFFICE MANAGER, FAILED TO ADEQUATELY AND PROPERLY SUPERVISE A FORMER REGISTERED REPRESENTATIVE OF BLUNT ELLIS & LOEWI INCORPORATED.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	10/10/1990
Sanctions Ordered:	Censure Monetary/Fine \$50,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	UNDER THE TERMS OF THE OFFER, MR. WILKIE HAS CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT, TO FINDINGS OF VIOLATIONS BY THE COMMITTEE, AS WELL AS THE IMPOSITION OF THE SANCTIONS. MR. WILKIE WAS FOUND TO HAVE VIOLATED ARTICLE III, SECTION 1 AND 27 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE AS ALLEGED IN THE COMPLAINT. AS A RESULT, MR. WILKIE WAS CENSURED, FINED \$50,000, JOINTLY AND SEVERALLY WITH BEL, AND WAS SUSPENDED FOR 30 DAYS AS A REGISTERED PRINCIPAL ONLY. THE \$50,000 WAS PAID BY BLUNT ELLIS & LOEWI.
Broker Statement	Not Provided



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, LLC

Allegations: **LITIGATION ALLEGATIONS: PLAINTIFFS ALLEGE THAT FA MISREPRESENTED INVESTMENTS IN CERTIFICATES OF PARTICIPATION IN 1998. PLAINTIFFS ARE REQUESTING DAMAGES IN EXCESS OF \$25,000.00
**ARBITRATION ALLEGATIONS: A COMMUNITY BANK ALLEGES THAT FA MISREPRESENTED INVESTMENTS IN CERTIFICATES OF PARTICIPATION IN 1998 AND, AS A RESULT, SUSTAINED PRINCIPAL AMOUNT LOSSES OF \$1,400,000 PLUS ADDITIONAL PRINCIPAL AND INTEREST LOSSES OF \$870,000.

Product Type: Debt-Municipal

Alleged Damages: \$2,270,000.00

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 #: 10-04358

Filing date of arbitration/CFTC reparation or civil litigation: 10/05/2010

Customer Complaint Information

Date Complaint Received: 10/07/2010

Complaint Pending? No

Status: Settled

Status Date: 05/27/2011

Settlement Amount: \$110,000.00

Individual Contribution Amount: \$0.00

Broker Statement FA'S RESPONSE: I OFFERED THE BONDS TO THE TRUST OFFICER OF THE BANK BASED ON HIS PREVIOUS HIGH YIELD MUNI BOND PURCHASES. HE WAS SENT A PROSPECTUS ON THE BONDS. I DID NOT MISREPRESENT THE BOND OFFERING.
***DISPOSITION: WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED



THE MATTER ON 5/27/11 FOR \$110,000 TO AVOID THE EXPENSE AND UNCERTAINTY OF ARBITRATION. CLIENT FELT THE BONDS HAD BEEN MISREPRESENTED. CLIENT DID NOT BELIEVE THE FAULT WAS WITH THE FA WHO SOLD THEM THE BOND, BUT WITH THE FIRM, EVEREN, WHO UNDERWROTE THE BOND. THE SETTLEMENT CLEARLY SHOWS THE ENGINEERING FIRM PAID 8 TIMES THE AMOUNT THAT EVEREN (WELLS FARGO) PAID. PROVING CLAIMANTS FELT THERE WAS MORE FAULT WITH THE ENGINEERING FIRM.

Disclosure 2 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CLIENT ALLEGES INVESTMENTS WEREN'T PRUDENT FOR CONSERVATIVE INVESTORS. DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5,000. (DATES OF ACTIVITY ARE NOT SPECIFIED.)

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/04/2008

Complaint Pending? No

Status: Denied

Status Date: 12/31/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC.

Allegations: KANSAS RESIDENTS, WHEN NOTIFIED OF COLLECTION ACTION TO PURSUE UNSECURED DEBIT, COMPLAIN THAT FA DID NOT PLACE STOP LOSS ORDERS AND DID NOT FOLLOW DIRECTIONS TO PLACE STOPS. ACCOUNT LOST \$90K AND UNSECURED DEBIT OF \$26K.

Product Type: Futures - Commodity

Alleged Damages: \$116,000.00

Customer Complaint Information

Date Complaint Received: 12/23/2002

Complaint Pending? No

Status: Denied

Status Date: 07/10/2003

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

FIRM FILED COLLECTION ACTION ON 7/10/2003 WHICH, IN EFFECT, DENIES CLIENT'S CLAIMS.

Disclosure 4 of 6**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

FIRST UNION SECURITIES, INC.

Allegations:

CLIENT ALLEGES THAT FINANCIAL ADVISOR RECOMMENDED INVESTMENTS THAT WERE UNSUITABLE FOR HIS INVESTMENT OBJECTIVES. NO SPECIFIC DAMAGES WERE ALLEGED, BUT THE FIRM PRESUMABLY CALCULATED THEM TO BE IN EXCESS OF \$5000.00

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

03/04/2001

Complaint Pending?

No

Status:

Denied

Status Date:

03/09/2001

Settlement Amount:**Individual Contribution Amount:****Disclosure 5 of 6****Reporting Source:**

Regulator

Employing firm when activities occurred which led to the complaint:

BLUNT ELLIS & LOEWI

Allegations:

SUITABILITY; UNAUTHORIZED TRADING; CHURNING

Product Type:**Alleged Damages:**

\$423,545.00

Arbitration Information**Arbitration/Reparation Claim filed with and Docket/Case No.:**[NASD - CASE #89-02372](#)**Date Notice/Process Served:**

11/04/1988

Arbitration Pending?

No

Disposition:

Other

Disposition Date:

07/31/1990



Disposition Detail: AWARD AGAINST PARTY
ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS
BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.0

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: BLUNT ELLIS & LOEWI

Allegations: THE CUSTOMERS ALLEGE THAT I DID NOT ADEQUATELY SUPERVISE [BROKER], A REGISTERED REPRESENTATIVE IN THE OFFICE I MANAGE. ADDITIONALLY, THE CUSTOMERS ALLEGE SECTION 10(B) VIOLATIONS, MISSOURI SECURITIES ACT VIOLATION, FRAUD AND MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY. THEY SEEK \$432,545.00 IN COMPENSATORY DAMAGES AND UNSPECIFIED PUNITIVE DAMAGES.

Product Type:
Alleged Damages: \$423,545.00

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.; 89-02372](#)

Date Notice/Process Served: 11/04/1988
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 07/31/1990
Monetary Compensation Amount: \$25,000.00
Individual Contribution Amount:
Broker Statement: N/A

Disclosure 6 of 6

Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:**

Allegations: NEGLIGENT HIRING OF, AND FAILURE TO SUPERVISE, AND ACCOUNT EXECUTIVE ALLEGED TO HAVE ENGAGED IN EXCESSIVE, UNAUTHORIZED AND UNSUITABLE TRANSACTIONS. SOUGHT \$800,000.

Product Type:

Alleged Damages: \$800,000.00

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.; 92-00290

Date Notice/Process Served: 01/23/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/24/1993

Monetary Compensation Amount: \$670,000.00

Individual Contribution Amount:**Broker Statement**

MR. WILKIE'S FIRM AGREED TO PAY \$670,000 IN RETURN FOR CLAIMANTS' AGREEMENT TO TRANSFER \$230,000 IN SECURITIES TO THE FIRM. ALTHOUGH THE FIRM BELIEVED THAT THE CLAIMS LACKED MERIT, IN ORDER TO AVOID THE TIME, EXPENSE AND UNCERTAINTIES OF ARBITRATION, IT AGREED TO SETTLE THE MATTER ON BEHALF OF ITSELF AND MR. WILKIE.



Termination

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

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: Wells Fargo Clearing Service, LLC.
Termination Type: Discharged
Termination Date: 03/17/2021
Allegations: Wells Fargo Clearing Services, LLC discharged RR after the Firm lost confidence in RR, with final action involving accepting orders from a bank trust officer to liquidate securities in the bank's omnibus account where the trust officer was not specifically identified in the account documents. No customer complaints were received arising from these activities and no customer harm was identified.
Product Type: No Product

Reporting Source: Individual
Firm Name: Wells Fargo Clearing Service, LLC.
Termination Type: Discharged
Termination Date: 03/17/2021
Allegations: Wells Fargo Clearing Services, LLC discharged RR after the Firm lost confidence in RR, with final action involving accepting orders from a bank trust officer to liquidate securities in the bank's omnibus account where the trust officer was not specifically identified in the account documents. No customer complaints were received arising from these activities and no customer harm was identified.
Product Type: No Product



End of Report

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