



IAPD Report

ROBERT CHARLES MEHLIN JR

CRD# 736694

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

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

What is included in a IAPD report?

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

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

Where did this information come from?

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

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

How current is this information?

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

Need help interpreting this report?

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

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

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

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

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



Report Summary

ROBERT CHARLES MEHLIN JR (CRD# 736694)

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 **09/08/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	KEY CLIENT FIDUCIARY ADVISORS, LLC	CRD# 298240	03/05/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	COASTAL INVESTMENT ADVISORS	134952	FAIRFIELD, NJ	02/14/2019 - 08/05/2022
B	COASTAL EQUITIES, INC.	23769	Fairfield, NJ	02/11/2019 - 08/05/2022
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	CHATHAM, NJ	07/17/2015 - 02/21/2019

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	3
Termination	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **KEY CLIENT FIDUCIARY ADVISORS, LLC**
Main Address: 363 ROUTE 46 WEST
SUITE 300
FAIRFIELD, NJ 07004
Firm ID#: 298240

	Regulator	Registration	Status	Date
	New Jersey	Investment Adviser Representative	Approved	03/05/2019
	Texas	Investment Adviser Representative	Restricted Approval	12/08/2020

Branch Office Locations

KEY CLIENT FIDUCIARY ADVISORS, LLC
363 ROUTE 46 WEST, SUITE 300
FAIRFIELD, NJ 07004





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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/08/1992
 Municipal Securities Principal Examination (S53)	Series 53	05/11/1987

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/19/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/20/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/16/1991

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	02/14/2019 - 08/05/2022	COASTAL INVESTMENT ADVISORS	CRD# 134952	FAIRFIELD, NJ
B	02/11/2019 - 08/05/2022	COASTAL EQUITIES, INC.	CRD# 23769	Fairfield, NJ
B	07/17/2015 - 02/21/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CHATHAM, NJ
IA	07/17/2015 - 02/21/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	CHATHAM, NJ
B	06/01/2009 - 07/31/2015	MORGAN STANLEY	CRD# 149777	SHORT HILLS, NJ
IA	06/01/2009 - 07/31/2015	MORGAN STANLEY	CRD# 149777	SHORT HILLS, NJ
B	12/16/2005 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SHORT HILLS, NJ
IA	12/16/2005 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	SHORT HILLS, NJ
IA	06/21/2002 - 12/21/2005	RBC DAIN RAUSCHER INC.	CRD# 31194	FLORHAM PARK, NJ
B	03/09/2002 - 12/21/2005	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	09/01/1999 - 03/09/2002	TUCKER ANTHONY INCORPORATED	CRD# 837	BOSTON, MA
B	02/21/1982 - 09/01/1999	GIBRALTAR SECURITIES CO.	CRD# 7093	FLORHAM PARK, NJ
B	09/21/1981 - 11/18/1981	DOLAN & PITCHER, INC.	CRD# 7657	

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
02/2019 - Present	KEY CLIENT FIDUCIARY ADVISORS	INVESTMENT ADVISOR REP	Y	FAIRFIELD, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2019 - 08/2022	COASTAL EQUITIES, INC.	REGISTERED REP	Y	WILMINGTON, DE, United States
02/2019 - 08/2022	COASTAL INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	WILMINGTON, DE, United States
07/2015 - 02/2019	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	CHATHAM, NJ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

RYAN GREGORY SECURITIES, LLC 40 EGBERT AVE MORRISTOWN, NJ 07960; SOLE MEMBER; PAYROLL AND BILL PAYING/NO COMPENSATION; 1 HOUR PER WEEK DURING NORMAL TRADING HOURS.



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	3
Termination	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	08/03/2022
Docket/Case Number:	2019061691601
Employing firm when activity occurred which led to the regulatory action:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC

Product Type: Other: Unspecified Securities

Allegations: Without admitting or denying the findings, Mehlin consented to the sanctions and to the entry of findings that he exercised discretion in customer accounts without prior written authorization. The findings stated that Mehlin effected over 250 trades across the customers' accounts without receiving same-day authorization. Although the customers approved his exercise of discretion, none of them provided written authorization for Mehlin to exercise discretion in their accounts. Nor did Mehlin's member firm accept any of the accounts as discretionary and, in fact, it prohibited the exercise of discretion except in certain circumstances. In addition, Mehlin inaccurately stated on four annual compliance questionnaires that he did not exercise discretion in customer accounts, and improperly asked one of the customers to deny his use of discretion in any conversation with the firm. The findings also stated that Mehlin used an unapproved communication platform to conduct securities business. Mehlin used text messages to and from his private phone number to communicate with one of the customers in whose account he



exercised discretion. The messages concerned securities business including, inter alia, discussions about investment choices, account performance, and completing firm forms. Because the text messages were not done through an approved firm platform, they were not captured, supervised, or retained by the firm. In addition, Mehlin inaccurately stated in an annual compliance questionnaire that he did not use personal text messages to discuss securities business with customers.

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:

08/03/2022

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Three Months
Start Date:	09/06/2022
End Date:	12/05/2022

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	08/31/2023
Was any portion of penalty waived?	No

**Amount Waived:**
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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 08/03/2022

Docket/Case Number: [2019061691601](#)

Employing firm when activity occurred which led to the regulatory action: WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC

Product Type: Other: UNSPECIFIED SECURITIES

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, MEHLIN CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE EXERCISED DISCRETION IN CUSTOMER ACCOUNTS WITHOUT PRIOR WRITTEN AUTHORIZATION. THE FINDINGS STATED THAT MEHLIN EFFECTED OVER 250 TRADES ACROSS THE CUSTOMERS' ACCOUNTS WITHOUT RECEIVING SAME-DAY AUTHORIZATION. ALTHOUGH THE CUSTOMERS APPROVED HIS EXERCISE OF DISCRETION, NONE OF THEM PROVIDED WRITTEN AUTHORIZATION FOR MEHLIN TO EXERCISE DISCRETION IN THEIR ACCOUNTS. NOR DID MEHLIN'S MEMBER FIRM ACCEPT ANY OF THE ACCOUNTS AS DISCRETIONARY AND, IN FACT, IT PROHIBITED THE EXERCISE OF DISCRETION EXCEPT IN CERTAIN CIRCUMSTANCES. IN ADDITION, MEHLIN INACCURATELY STATED ON FOUR ANNUAL COMPLIANCE QUESTIONNAIRES THAT HE DID NOT EXERCISE DISCRETION IN CUSTOMER ACCOUNTS AND IMPROPERLY ASKED ONE OF THE CUSTOMERS TO DENY HIS USE OF DISCRETION IN ANY CONVERSATION WITH THE FIRM. THE FINDINGS ALSO STATED THAT MEHLIN USED AN UNAPPROVED COMMUNICATION PLATFORM TO CONDUCT SECURITIES BUSINESS. MEHLIN USED TEXT MESSAGES TO AND FROM HIS PRIVATE PHONE NUMBER TO COMMUNICATE WITH ONE OF THE CUSTOMERS IN WHOSE ACCOUNT HE EXERCISED DISCRETION. THE MESSAGES CONCERNED SECURITIES BUSINESS INCLUDING, INTER ALIA, DISCUSSIONS ABOUT INVESTMENT CHOICES, ACCOUNT PERFORMANCE, AND COMPLETING FIRM FORMS. BECAUSE THE TEXT MESSAGES WERE NOT DONE THROUGH AN APPROVED FIRM PLATFORM, THEY WERE NOT CAPTURED, SUPERVISED, OR RETAINED BY THE FIRM. IN ADDITION, MEHLIN INACCURATELY STATED IN AN ANNUAL COMPLIANCE QUESTIONNAIRE THAT HE DID NOT USE PERSONAL TEXT MESSAGES TO DISCUSS SECURITIES BUSINESS WITH CUSTOMERS.

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: 08/03/2022



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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: THREE MONTHS

Start Date: 09/06/2022

End Date: 12/05/2022

Monetary Sanction 1 of 1

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

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source: Firm

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

Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2008 THE FA INVESTED THE CLIENT IN UNSUITABLE PORTFOLIOS THAT WERE NOT IN LINE WITH THE CLIENT'S INVESTMENT OBJECTIVES.

Product Type: Equity Listed (Common & Preferred Stock)
Other: CLOSED END FUNDS;ETFS

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-00001

Filing date of arbitration/CFTC reparation or civil litigation: 12/22/2011

Customer Complaint Information

Date Complaint Received: 01/31/2012

Complaint Pending? No

Status: Settled

Status Date: 01/16/2013

Settlement Amount: \$975,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: TUCKER ANTHONY INC, KNA RBC CAPITAL MARKETS LLC

Allegations: CLAIM ALLEGES FORMER TUCKER BROKER, WHO WORKED THERE FROM 2002-2005, ADVISED ALLOCATING FUNDS INTO FINANCIAL EQUITIES, NOT BONDS, IN PERIOD 2002-2009. CLAIM AMOUNT COVERS ALL PARTIES -



Product Type: MORGAN STANLEY, CITIGROUP AND RBC.
Equity Listed (Common & Preferred Stock)

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): AGAINST ALL 3 PARTIES.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-00001

Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2012

Customer Complaint Information

Date Complaint Received: 01/30/2012

Complaint Pending? No

Status: Withdrawn

Status Date: 03/08/2012

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Firm Statement CLAIMS AGAINST RBC WERE DISMISSED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLAIMANT ALLEGES, INTER ALIA, THAT FROM 2006 TO 2008 THE FA INVESTED THE CLIENT IN UNSUITABLE PORTFOLIOS THAT WERE NOT IN LINE WITH THE CLIENT'S INVESTMENT OBJECTIVES.

Product Type: Equity Listed (Common & Preferred Stock)
Other: CLOSED END FUNDS;ETFS

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA



Docket/Case #: 12-00001
Filing date of arbitration/CFTC reparation or civil litigation: 12/22/2011

Customer Complaint Information

Date Complaint Received: 01/31/2012
Complaint Pending? No
Status: Settled
Status Date: 01/16/2013
Settlement Amount: \$97,500.00
Individual Contribution Amount: \$0.00

Broker Statement RBC HAS WITHDRAWN THE ABOVE MATTER; HOWEVER, THE MATTER IS STILL PENDING WITH MSSB AND CGMI. ONCE DISPOSITIONS ARE REACHED, UPDATES WILL BE MADE ACCORDINGLY.

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.

Allegations: CLIENT ALLEGES FA PURCHASED STOCK WITHOUT AUTHORIZATION AND THAT IT WAS NOT APPROPRIATE FOR HER INVESTMENT RISKS AND GOALS - 5/13/2008. DAMAGES UNSPECIFIED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

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: 02/06/2009
Complaint Pending? No
Status: Denied
Status Date: 06/22/2010
Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when GIBRALTAR SECURITIES



activities occurred which led to the complaint:

Allegations: CLIENT ALLEGES MR. MEHLIN SHOULD ASSUME SOME RESPONSIBILITY FOR RECOMMENDING TO HIM A COMPANY (DATRONICS) WHOSE CEO LATER ABSCONDED WITH THE COMPANY FUNDS.

Product Type: Other

Other Product Type(s): LIMITED PARTNERSHIP

Alleged Damages: \$12,609.00

Customer Complaint Information

Date Complaint Received: 08/09/2002

Complaint Pending? No

Status: Denied

Status Date: 08/27/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM BELIEVES THE COMPLAINT IS WHOLLY WITHOUT MERIT AND INTENDS TO DEFEND IT VIGOROUSLY. THE CLIENT FULLY UNDERSTOOD THE RISKS ASSOCIATED WITH THE INVESTMENT AND, AS INDICATED IN HIS COMPLAINT, THE EVENTS WHICH CAUSED THE INVESTMENT TO LOSE VALUE WERE UNFORESEEABLE AND BEYOND MR. MEHLIN AND TUCKER ANTHONY'S CONTROL.



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 2

Reporting Source: Firm
Firm Name: COASTAL EQUITIES, INC.
Termination Type: Discharged
Termination Date: 08/04/2022
Allegations: FIRM LEARNED OF AN AWC THAT RR AGREED TO A SUSPENSION AND FINE THAT WAS NOT REPORTED BY THE RR.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: Wells Fargo Advisors Financial Network, LLC.
Termination Type: Discharged
Termination Date: 02/06/2019
Allegations: Allegations that registered representative placed trades without appropriate client authorization.
Product Type: Unit Investment Trust

Reporting Source: Individual
Firm Name: Wells Fargo Advisors Financial Network, LLC
Termination Type: Discharged
Termination Date: 02/06/2019
Allegations: Allegations that registered representative placed trades without appropriate client authorization.
Product Type: Unit Investment Trust



End of Report

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