IAPD Report

WILLIAM LEE NOTRICA

CRD# 817537

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

WILLIAM LEE NOTRICA (CRD# 817537)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AEGIS CAPITAL CORP.	CRD# 15007	02/24/2022
IA	AEGIS CAPITAL CORP.	CRD# 15007	02/24/2022

QUALIFICATIONS

This representative is currently registered in **3** SRO(s) and **20** 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	RBC CAPITAL MARKETS, LLC	31194	NEWPORT BEACH, CA	02/25/2004 - 02/18/2022
B	RBC CAPITAL MARKETS, LLC	31194	NEWPORT BEACH, CA	02/24/2004 - 02/18/2022
IA	WACHOVIA SECURITIES, LLC	19616	NEWPORT BEACH, CA	05/03/2002 - 02/27/2004

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	9
Termination	1

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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 **20** jurisdiction(s) and 3 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Address: 1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105

Firm ID#: 15007

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/24/2022
B	FINRA	General Securities Sales Supervisor	Approved	02/24/2022
B	FINRA	Registered Options Principal	Approved	02/24/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/24/2022
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
B	NYSE Arca, Inc.	Registered Options Principal	Approved	02/24/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	02/24/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/24/2022
B	Nasdaq Stock Market	Registered Options Principal	Approved	02/24/2022
B	Arizona	Agent	Approved	05/05/2022
B	California	Agent	Approved	02/24/2022
IA	California	Investment Adviser Representative	Approved	02/24/2022
B	Colorado	Agent	Approved	04/19/2022

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Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	03/03/2022
B	Florida	Agent	Approved	05/19/2022
B	Georgia	Agent	Approved	03/07/2024
B	Idaho	Agent	Approved	03/16/2022
B	Illinois	Agent	Approved	11/29/2022
B	Nevada	Agent	Approved	05/11/2022
B	New Jersey	Agent	Approved	03/30/2022
B	New York	Agent	Approved	02/24/2022
B	Ohio	Agent	Approved	02/24/2022
B	Oklahoma	Agent	Approved	03/14/2022
B	Oregon	Agent	Approved	04/27/2025
B	Pennsylvania	Agent	Approved	03/10/2022
B	Puerto Rico	Agent	Approved	09/18/2024
IA	Puerto Rico	Investment Adviser Representative	Approved	09/18/2024
B	South Carolina	Agent	Approved	04/15/2025
B	Texas	Agent	Approved	04/14/2022
B	Utah	Agent	Approved	03/03/2022
B	Washington	Agent	Approved	03/17/2022

Branch Office Locations

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Qualifications

AEGIS CAPITAL CORP.
30011 IVY GLENN DR
SUITE 205
LAGUNA NIGUEL, CA 92677

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/31/1990
B	Registered Options Principal Examination (S4)	Series 4	02/23/1981

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Interest Rate Options Examination (S5)	Series 5	10/12/1981
B	AMEX Put and Call Exam (PC)	PC	08/29/1977
B	General Securities Representative Examination (S7)	Series 7	01/17/1976

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/02/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/03/1983

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PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	02/25/2004 - 02/18/2022	RBC CAPITAL MARKETS, LLC	CRD# 31194	NEWPORT BEACH, CA
B	02/24/2004 - 02/18/2022	RBC CAPITAL MARKETS, LLC	CRD# 31194	NEWPORT BEACH, CA
IA	05/03/2002 - 02/27/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	NEWPORT BEACH, CA
B	09/04/1990 - 02/27/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
B	06/08/1981 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	10/21/1980 - 06/17/1981	WAGENSELLER & DURST, INC.	CRD# 867	
B	01/31/1980 - 10/04/1980	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	01/27/1976 - 01/31/1980	BLYTH EASTMAN DILLON & CO. INCORPORATED	CRD# 6361	

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
02/2022 - Present	Aegis Capital Corp	Registered Representative	Y	New York, NY, United States
07/2018 - 01/2022	City National Bank	Employee of an affiliate	Y	Newport Beach, CA, United States
03/2008 - 01/2022	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	NEWPORT BEACH, 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.

1. NAME OF ENTITY: RE Pro Management.
ADDRESS OF BUSINESS: 17000 Yukon Ave #A Torrance, CA 90504.

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

BUSINESS DESCRIPTIONS: Apartments.
BUSINESS IS/IS NOT INVESTMENT RELATED: Yes.
PROJECTED START DATE: - 01/01/2014
PROJECTED END DATE: - No Anticipated End Date.
CAPACITY: Owner - Passive.
DUTIES PERFORMED: None (Owner).
HOURS DEVOTED TO THIS OBA PER MONTH: 00.
HOURS DEVOTED DURING SECURITY TRADING HOURS PER MONTH: 00.

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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.

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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	9
Termination	1

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 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RBC CAPITAL MARKETS, LLC
Allegations:	Customer alleges unsuitable investments and unreasonably high commissions and fees
Product Type:	Equity-OTC Unit Investment Trust
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damage amount listed, but believed to be above $5,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-00250
Date Notice/Process Served:	04/11/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/13/2024

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Monetary Compensation Amount: $130,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

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

Allegations: Customer alleges unsuitable investments and unreasonably high commissions and fees

Product Type: Equity-OTC
Unit Investment Trust

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified damage amount listed, but believed to be above $5,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-00250

Date Notice/Process Served: 04/11/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/13/2024

Monetary Compensation Amount: $130,000.00

Individual Contribution Amount: $0.00

Disclosure 2 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER INC.

Allegations: CLIENTS REQUEST AN UNSPECIFIED AMOUNT, BUT BELIEVED TO BE IN EXCESS OF $5,000.00, OF REIMBURSEMENT RELATING TO THEIR ALLEGED UNAUTHORIZED PURCHASE OF NEWCQ ON 08/05/2005 AND ALLEGED UNAUTHORIZED USE OF MARGIN UPON THEIR AUTHORIZED PURCHASE OF TYN ON 10/26/2005.

Product Type: Equity - OTC

Alleged Damages: $0.00

Customer Complaint Information

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Date Complaint Received: 07/09/2007

Complaint Pending? No

Status: Denied

Status Date: 01/03/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC

Allegations: CLIENTS ALLEGES BREACH OF FIDUCIARY DUTY AS A RESULT OF ALLEGED FAILURE TO RECOMMEND SALE OF CISCO AND BROADCOM SHARES HELD ON MARGIN BETWEEN APRIL AND DECEMBER OF 2000. CLAIMED DAMAGES OF $200,000.

Product Type: Equity - OTC

Alleged Damages: $200,000.00

Customer Complaint Information

Date Complaint Received: 11/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/25/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 02-06661

Date Notice/Process Served: 11/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: $87,500.00

Individual Contribution Amount: $0.00

Firm Statement SETTLED FOR $87,500.00 TO AVOID COSTS AND UNCERTAINTIES OF LITIGATION.

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Reporting Source: Individual

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

Allegations: CLIENTS ALLEGES BREACH OF FIDUCIARY DUTY AS A RESULT OF ALLEGED FAILURE TO RECOMMEND SALE OF CISCO AND BROADCOM SHARES HELD ON MARGIN BETWEEN APRIL AND DECEMBER OF 2000. CLAIMED DAMAGES OF $200,000.

Product Type: Equity - OTC

Alleged Damages: $200,000.00

Customer Complaint Information

Date Complaint Received: 11/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/25/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE # 02-06661

Date Notice/Process Served: 11/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: $87,500.00

Individual Contribution Amount: $0.00

Broker Statement SETTLED FOR $87,500.00 TO AVOID COSTS AND UNCERTAINTIES OF LITIGATION. SECURITIES IN QUESTION WERE PLACED IN A COLLATERAL ACCOUNT AND WERE THEREFORE NOT ELIGIBLE FOR SALE.

Disclosure 4 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES INC

Allegations: FINANCIAL ADVISOR ADVISOR FAILED TO MAKE SENSE IN AUGUST AS CLIENT ALLEGEDLY REQUESTED HIM TO DO. THIS ALLEGEDLY COST THE CLIENT $7,374.00

Product Type: Equity - OTC

Alleged Damages: $7,374.00

Customer Complaint Information

Date Complaint Received: 09/25/2001

Complaint Pending? No

Status: Denied

Status Date: 11/07/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIMS WERE DENIED BY FA'S FIRM IN A LETTER TO THE CLIENT'S ATTORNEY.

Disclosure 5 of 9

Reporting Source: Individual

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

Allegations: CALIFORNIA RESIDENTS ALLEGES UNAUTHORIZED TRADES IN EARLY TO MID 2000 IN SCON, STGC, CPTH, AND TERA; AND A FAILURE TO FOLLOW INSTRUCTIONS IN JANUARY 2000 TO SELL LU IN ONE OF THEIR ACCOUNTS.

Product Type: Equity - OTC

Alleged Damages: $5,000.00

Customer Complaint Information

Date Complaint Received: 08/14/2001

Complaint Pending? No

Status: Denied

Status Date: 10/26/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED

Disclosure 6 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC

Allegations: CLIENTS ALLEGE UNSUITABLE AND UNAUTHORIZED PURCHASES OF VARIOUS SECURITIES.   ALLEGE COMPENSATORY DAMAGES OF APPROXIMATELY $25,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: $25,000.00

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Customer Complaint Information

Date Complaint Received:	03/20/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/03/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASDR CASE NO. 02-02383
Date Notice/Process Served:	07/03/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/29/2004
Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	$0.00
Firm Statement	SETTLED FOR $12,000 TO AVOID THE COSTS AND UNCERTAINTY OF LITIGATION.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC
Allegations:	UNSUITABLE SECURITIES AND PURCHASED THREE MUTUAL FUNDS AND ONE OTC STOCK WITHOUT PRIOR AUTHORIZATION. DAMAGE UNSPECIFIED BUT APPEARS TO SEEK MORE THAN $5,000.00
Product Type:	Mutual Fund(s)
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	03/20/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/23/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim	NASD-DR CASE NO: 02-02383

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filed with and Docket/Case No.:	
Date Notice/Process Served:	07/03/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/29/2004
Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENTS ALLEGE UNSUITABLE AND UNAUTHORIZED PURCHASES OF VARIOUS SECURITIES. ALLEGE COMPENSATORY DAMAGES OF APPROXIMATELY $25,000.

Disclosure 7 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC.
Allegations:	ALLEGES BROKER FAILED TO FOLLOW INSTRUCTIONS TO SELL ALL OF HIS EXCHANGE AND OTC COMMON STOCKS BEFORE THE MARKET DROPPED IN EARLY 2000. ALSO QUESTIONS SOME OPERATIONAL MATTERS AND THE ACCURACY OF INFORMATION RECEIVED IN RESPONSE TO QUESTIONS. APPEARS TO SEEK MORE THAN $5000.00
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Type(s):	EXCHANGE LISTED COMMON STOCK
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	12/15/2000
Complaint Pending?	No
Status:	Arbitration/Reparation Denied
Status Date:	01/16/2001
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR CASE #01-03764
Date Notice/Process Served:	09/25/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/27/2002

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Monetary Compensation Amount:	$42,500.00
Individual Contribution Amount:	$0.00
Broker Statement	FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF $42,500.

Disclosure 8 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES, INC.
Allegations:	UNDER THE AUTHORITY OF A POWER OF ATTORNEY, THE CLIENT'S CHILDREN HAVE ALLEGED THAT THEIR MOTHER'S PURCHASE OF THE FRANKLIN TAX FREE FUND WAS MISREPRESENTED TO THEM. THEY SAY THE YIELD WAS OVERESTIMATED AND THE NUMBER OF YEARS ASSOCIATED WITH THE CDSC WAS MISSTATED.
Product Type:	Mutual Fund(s)
Alleged Damages:	$26,441.48

Customer Complaint Information

Date Complaint Received:	01/21/2000
Complaint Pending?	No
Status:	Denied
Status Date:	03/14/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO MERIT TO THE ALLEGATIONS AND DENIED THE REQUEST TO CANCEL THE MUTUAL FUND PURCHASE.

Disclosure 9 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	ALLEGED UNSUITABLE RECOMMENDATION; MISREPRESENTATION; OMISSION, SOUGHT APPROXIMATELY $39,000.00 IN ALLEGED LOSSES, PLUS $14,000.00 IN COMMISSIONS.
Product Type:	
Alleged Damages:	$53,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No

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Status: Arbitration/Reparation

Status Date: 11/17/1993

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AAA; 80 136 0311 92
Date Notice/Process Served:	09/29/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/17/1993
Monetary Compensation Amount:	$3,600.00
Individual Contribution Amount:	$0.00
Broker Statement	ARBITRATORS AWARDED $3,600.00 TO CUSTOMER, A LAW CORP. AND CUSTOMER AND CUSTOMER AS COMPENSATORY DAMAGES AGAINST MR. NOTRICA AND THE FIRM. MR. NOTRICA DID NOT CONTRIBUTE TO THE SETTLEMENT. NOT PROVIDED

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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:	RBC CAPITAL MARKETS, LLC
Termination Type:	Discharged
Termination Date:	01/20/2022
Allegations:	Individual was found to be in violation of the Firm's Time and Price Discretion Policy and Order Execution Policy.
Product Type:	Equity Listed (Common & Preferred Stock)

Reporting Source:	Individual
Firm Name:	RBC CAPITAL MARKETS, LLC
Termination Type:	Discharged
Termination Date:	01/20/2022
Allegations:	Individual was found to be in violation of the Firm's Time and Price Discretion Policy and Order Execution Policy.
Product Type:	Equity Listed (Common & Preferred Stock)

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End of Report

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