IAPD Report

GENE WILBUR WILLIAMS JR

CRD# 851665

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8

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

GENE WILBUR WILLIAMS JR (CRD# 851665)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CENTAURUS FINANCIAL, INC.	CRD# 30833	02/01/2019
IA	CENTAURUS FINANCIAL, INC.	CRD# 30833	02/03/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	CENTAURUS FINANCIAL, INC.	30833	Rocklin, CA	02/01/2019 - 11/26/2024
IA	QUESTAR ASSET MANAGEMENT, INC.	133358	ROCKLIN, CA	04/25/2013 - 02/04/2019
B	QUESTAR CAPITAL CORPORATION	43100	ROCKLIN, CA	04/22/2013 - 02/04/2019

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	2
Customer Dispute	3
Termination	2

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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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CENTAURUS FINANCIAL, INC.**

Main Address: 2300 EAST KATELLA AVE
SUITE 200
ANAHEIM, CA 92806

Firm ID#: 30833

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/01/2019
B	FINRA	Municipal Securities Representative	Approved	02/01/2019
B	Arizona	Agent	Approved	02/01/2019
B	California	Agent	Approved	02/04/2019
IA	California	Investment Adviser Representative	Approved	02/03/2025
B	District of Columbia	Agent	Approved	02/01/2019
B	Georgia	Agent	Approved	02/10/2020
B	Idaho	Agent	Approved	08/04/2025
IA	Idaho	Investment Adviser Representative	Approved	01/23/2026
B	Michigan	Agent	Approved	09/14/2023
B	Montana	Agent	Approved	03/26/2026
IA	Montana	Investment Adviser Representative	Approved	03/26/2026
B	Nevada	Agent	Approved	02/20/2019

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Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	02/01/2019
B	North Carolina	Agent	Approved	05/20/2019
B	Oregon	Agent	Approved	02/04/2019
B	Washington	Agent	Approved	02/04/2019

Branch Office Locations

CENTAURUS FINANCIAL, INC.
Rocklin, CA

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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	Registered Options Principal Examination (S4)	Series 4	02/07/2006
B	General Securities Principal Examination (S24)	Series 24	12/29/1993
B	Municipal Securities Principal Examination (S53)	Series 53	02/23/1987
B	Financial and Operations Principal Examination (S27)	Series 27	12/16/1986

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	05/24/1988
B	General Securities Representative Examination (S7)	Series 7	04/15/1978

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/15/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/24/1980

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PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	02/01/2019 - 11/26/2024	CENTAURUS FINANCIAL, INC.	CRD# 30833	Rocklin, CA
IA	04/25/2013 - 02/04/2019	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	ROCKLIN, CA
B	04/22/2013 - 02/04/2019	QUESTAR CAPITAL CORPORATION	CRD# 43100	ROCKLIN, CA
IA	02/09/2006 - 04/24/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	ROSEVILLE, CA
B	09/03/1999 - 04/24/2013	WALNUT STREET SECURITIES, INC.	CRD# 15840	ROSEVILLE, CA
B	03/25/1997 - 10/08/1999	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	03/21/1997 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	02/27/1992 - 02/11/1997	FOOTHILL SECURITIES, INC.	CRD# 1027	SANTA CLARA, CA
B	05/28/1991 - 11/25/1991	FIRST COMPASS SECURITIES, INC.	CRD# 17014	
B	01/22/1990 - 04/01/1991	FINANCIAL WEST INVESTMENT GROUP	CRD# 17869	
B	04/19/1989 - 01/09/1990	DARNALL, KEMNA & CO., INC.	CRD# 7652	
B	01/05/1987 - 05/01/1989	WALL STREET PACIFIC FINANCIAL RESOURCES, INC.	CRD# 18390	
B	08/13/1986 - 02/09/1987	INTERCAL SECURITIES CO.	CRD# 6284	
B	12/17/1984 - 05/28/1986	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	09/26/1978 - 01/16/1985	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	05/01/1978 - 09/26/1978	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.	CRD# 572	

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Registration & Employment History

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	Centaurus Financial Inc.	Registered Representative	Y	Anaheim, CA, United States
04/2013 - 02/2019	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR	Y	ROCKLIN, CA, United States
04/2013 - 01/2019	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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.

Granite Bay Financial Strategy, non-investment related, Rocklin, CA 95677, DBA for branding purposes only and website.

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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
Regulatory Event	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/31/1993
Docket/Case Number:	C01930010
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/11/1993
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	

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Sanction Details:

Regulator Statement

COMPLAINT NO. C01930010 (DISTRICT NO. 1) FILED MARCH 31, 1993 AGAINST RESPONDENTS GENE WILBUR WILLIAMS, JR., DONALD GILLES BROOKS, AND JOHN PERRY WILLOUGHBY ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 27 AN 40 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT WILLIAMS PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT GIVING PRIOR WRITTEN NOTIFICATION TO HIS MEMBER FIRM; AND, RESPONDENTS BROOKS AND WILLOUGHBY, ACTING ON
BEHALF OF A MEMBER FIRM, FAILED TO SUPERVISE RESPONDENT WILLIAMS ADEQUATELY TO DETECT AND PREVENT THE ABOVE VIOLATIONS.

DECISION RENDERED SEPTEMBER 27, 1993 WHEREIN RESPONDENT WILLIAMS IS CENSURED, FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TEN BUSINESS DAYS, AND
REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL PRIOR TO BECOMING ASSOCIATED WITH A MEMBER FOLLOWING
HIS SUSPENSION. IN ADDITION, RESPONDENT WILLIAMS IS ASSESSED COSTS OF $1,058.50. THE COMPLAINT WAS DISMISSED AS TO RESPONDENTS BROOKS AND WILLOUGHBY IN THAT THE COMMITTEE DETERMINED THAT WILLIAMS' DISCLOSURES OF HIS ACTIVITIES TO RESPONDENTS BROOKS AND WILLOUGHBY WERE NOT SUFFICIENTLY SPECIFIC TO TRIGGER ADDITIONAL SUPERVISION BY THEM. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 11, 1993.

NOVEMBER 11, 1993 - DECISION IS FINAL.

PRESS RELEASE DECEMBER 1993: THE SUSPENSION WILL COMMENCE WITH
THE OPENING OF BUSINESS JANUARY 17, 1994 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JANUARY 28, 1994.

$6,058.50 FULLY PAID AS OF 1/4/95 INVOICE #93-01-865

Reporting Source: Firm

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

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 03/31/1993

Docket/Case Number: C01930010

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

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Current Status:	Final
Resolution:	Decision
Resolution Date:	11/11/1993
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/31/1993
Docket/Case Number:	C01930010
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	`PARTICIPATION IN THE SALE OF UNITS OF A PRIVATE PLACEMENT REAL ESTATE TRANSACTION WITHOUT PRIOR WRITTEN NOTIFICATION TO EMPLOYER. NO DAMAGES ALLEGED.
Current Status:	Final
Resolution:	Decision
Resolution Date:	11/11/1993
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	ALTHOUGH VERBAL AND WRITTEN NOTIFICAITON WAS GIVEN TO BD, NASD DECIDED NOTIFICATION WAS NOT IN PROPER FORM ACCORDING TO THE CODE. NASD AGREED VIOLATION WAS NOT INTENTIONAL. FINE: $5,000 AND COSTS OF $1058 PAID SERIES 24 PRINCIPALS EXAM RETAKEN AND PASSED.
Broker Statement	WITNESSED PRESENTATION WAS GIVEN ON AGENDA OF ANNUAL OSJ MANAGERS MEETING BY DEFENDENT AFTER BEING INVITED BY THEN PRESIDENT OF BD. PRESIDENT ISSUED WITNESSED VERBAL APPROVAL OF PROGRAM TO ATTENDEES. BD THEN WENT THROUGH MERGER,

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AND NEW PRESIDENT DECIDED APPROVAL WAS NOT TECHNICALLY CORRECT
LEADING TO DISAGREEMENT AND THIS ACTION.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/22/1989
Docket/Case Number:	SF-1319
Employing firm when activity occurred which led to the regulatory action:	WALL STREET PACIFIC FINANCIAL RESOURCES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/08/1990
Sanctions Ordered:	Censure Monetary/Fine $1,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NUMBER SF-1319 (DISTRICT NO. 2N) FILED SEPTEMBER 22, 1989 AGAINST RESPONDENTS WALL STREET PACIFIC FINANCIAL RESOURCES, INC. AND GENE WILBUR WILLIAMS, JR. ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT WILLIAMS, FAILED TO FILE FOCUS PART I AND PART II REPORTS FOR CERTAIN MONTHS; FAILED TO FILE AN ANNUAL AUDITED REPORT; AND, FAILED TO RESPOND TO THE NASD'S REQUESTS FOR INFORMATION MADE PURSUANT TO ARTICLE IV, SECTION 5 OF THE RULES OF FAIR PRACTICE. DECISION RENDERED MARCH 8, 1990, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENT WILLIAMS IS CENSURED, FINED $1,000 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR 10 DAYS; AND, RESPONDENT MEMBER HAS AGREED TO RESIGN ITS MEMBERSHIP. 5/7/90 PRESS RELEASE: THE SUSPENSION WILL COMMENCE MAY 7, 1990 AND WILL CONCLUDE MAY 16, 1990. ***$1,000.00 PAID ON 5/29/90 INVOICE #90-2N-375***

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Reporting Source:	Individual
Regulatory Action Initiated By:	NASD COMPLAINT SF-1319
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/22/1989
Docket/Case Number:	SF-1319
Employing firm when activity occurred which led to the regulatory action:	WALL STREET PACIFIC FINANCIAL RESOURCES, INC.
Product Type:	
Other Product Type(s):	
Allegations:	FAILURE TO KEEP ACCURATE BOOKS AND RECORDS WHILE IN CHARGE OF A BROKER DEALER. FAILURE TO MEET MINIMUM NET CAPITAL REQUIREMENTS FAILURE TO REPORT FOCUS I & II PROPERLY AND ON TIME. ALL AS A RESULT OF FINANCIAL PROBLEMS AND UNDFERSTAFFING OF BD
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/08/1990
Sanctions Ordered:	Censure Monetary/Fine $1,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	$1,000 FINE AND TEN DAY SUSPENSION PAID AND SERVED.
Broker Statement	AS ABOVE. SEE ATTAVCHED PAGE

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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:	Individual
Employing firm when activities occurred which led to the complaint:	WALNUT STREET SECURITIES
Allegations:	PLAINTIFFS HAVE ALLEGED NEGLIGENCE AND BREACH OF FIDUCIARY DUTY REGARDING AN INVESTMENT INTO A LIMITED PARTNERSHIP KNOWN AS REDWOOD MORTGAGE INVESTORS VIII, WHICH OCCURRED IN SEPTEMBER 2004, APPROXIMATELY.
Product Type:	Other: LIMITED PARTNERSHIP
Alleged Damages:	$243,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION ARBITRATION
Docket/Case #:	13-00296
Date Notice/Process Served:	03/05/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/10/2014
Monetary Compensation Amount:	$7,500.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	SUPERIOR COURT OF THE STATE OF CALIFORNIA
Location of Court:	SACRAMENTO COUNTY, CALIFORNIA
Docket/Case #:	34-2012-00129328
Date Notice/Process Served:	10/01/2012
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	03/07/2014
Monetary Compensation Amount:	$0.00

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Individual Contribution Amount:	$0.00
Broker Statement	THE SACRAMENTO SUPERIOR COURT CASE IS STILL OPEN SOLELY FOR CONFIRMATION OF THE EXPUNGEMENT.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DARNALL, KEMNA & CO., INC. AND FINANCIAL WEST INVESTMENT GROUP
Allegations:	AS OF FEBRUARY 29, 2012, CUSTOMER HAS PROVIDED ADDITIONAL ALLEGATIONS THAT IN JANUARY 2012, WHEN SHE RECEIVED COPIES OF ACCOUNT DOCUMENTS FROM THE REPRESENTATIVE, SIGNATURE DISCREPANCIES WERE NOTED AMONG THE DOCUMENTS. NO OTHER DETAILS WERE PROVIDED BY THE CUSTOMER. CUSTOMER ALLEGED SHE INVESTED FUNDS IN THE REPRESENTATIVE'S BUSINESS, IN AUGUST 1988 AND NOVEMBER 1990, AND THE REPRESENTATIVE HAS DENIED THE RETURN OF HER INVESTMENT. CUSTOMER ALSO ALLEGED SHE HAD SUSTAINED LOSSES IN OTHER INVESTMENTS SOLD BY THE REPRESENTATIVE.
Product Type:	No Product
Alleged Damages:	$25,000.00
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:	02/28/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/19/2012
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WALL STREET PACIFIC FINANCIAL RESOURCES
Allegations:	CHURNING; SUITABILITY; UNAUTHORIZED TRADING; ACCOUNT RELATED-NEGLIGENCE
Product Type:	Options
Alleged Damages:	$4,468.00

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Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #89-02570
Date Notice/Process Served:	04/08/1991
Arbitration Pending?	No
Disposition:	Dismissed
Disposition Date:	04/10/1992
Disposition Detail:	ALL CLAIMS ASSERTED AGAINST GENE WILLIAMS, ARE DISMISSED BY ARBITRATION PANEL.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WALL STREET PACIFIC FINANCIAL RESOURCES
Allegations:	AS PRESIDENT AND CEO OF BD WALL STREET PACIFIC, ALLEGATIONS WERE THAT I SHOULD BE RESPONSIBLE FOR TRADING LOSSED EXPERIENCED BY CUSTOMER DEALING WITH FORMER WSP BROKER WHO WAS NOT UNDER MY SUPERVISION. ACTUAL DAMAGES OF $2,234 WERE ALLEGED BY EACH CLAIMANT.
Product Type:	
Alleged Damages:	$4,468.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	04/10/1992
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 89-02570
Date Notice/Process Served:	04/08/1991
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	04/10/1992
Monetary Compensation Amount:	$4,468.00
Individual Contribution Amount:	

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Broker Statement	ALL OTHER ALLEGATIONS AGAINST MYSELF DISMISSED. ALTHOUGH I DISAGREED WITH ANY VERDICT FOR THE CUSTOMERS WHO WERE EXPERIENCED HIGH RISK SPECULATORS WHO HAVE MADE SIMILAR CLAIMS AGAINST OTHER FIRMS, I WAS HELD RESPONSIBLE BECAUSE I WAS THE ONLY REMAINING EMPLOYEE OF BD WHICH WAS NO LONGER ACTIVE. I WAS NOT THE SUPERVISING MANAGER OF THE BROKER INVOLVED, HOWEVER I DID ASK THE BROKER TO RESIGN WHEN HIS SPECULATIVE TRADING PRACTICES BECAME APPARENT TO ME.

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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 2

Reporting Source:	Individual
Firm Name:	FINANCIAL WEST GROUP
Termination Type:	Permitted to Resign
Termination Date:	03/15/1991
Allegations:	NONE EMPLOYER ALLEGED I WAS INVOLVED IN THE MARKETING OF A PRIVATE PLACEMENT REAL ESTATE PARTNERSHIP WITHOUT KNOWLEDGE OR APPROVAL OF EMPLOYER.
Product Type:	
Other Product Types:	
Broker Statement	10 DAY SUSPENSION - RETAKE S24 UNDER SPECIAL SUPERVISION FOR 2 YEARS Not Provided

Disclosure 2 of 2

Reporting Source:	Individual
Firm Name:	PRUDENTIAL SECURITIES INCORPORATED
Termination Type:	Discharged
Termination Date:	04/28/1986
Allegations:	UNKNOWN INVESTIGATION OF TERMINATION FOR CAUSE ALLEGED CAUSE WAS ADVERTISING VIOLATION. NO DAMAGES ALLEGED.
Product Type:	
Other Product Types:	
Broker Statement	FILED WITHOUT COMMENT Not Provided

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End of Report

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