



## IAPD Report

# NICHOLAS BOCCELLA

CRD# 860147

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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

### NICHOLAS BOCCELLA (CRD# 860147)

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 **07/25/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	WELLS FARGO ADVISORS	CRD# 11025	05/08/2012
<b>B</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	05/08/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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
<b>B</b>	MORGAN STANLEY SMITH BARNEY	149777	FLORHAM PARK, NJ	06/01/2009 - 05/16/2012
<b>IA</b>	MORGAN STANLEY SMITH BARNEY LLC	149777	FLORHAM PARK, NJ	06/01/2009 - 05/16/2012
<b>IA</b>	CITIGROUP GLOBAL MARKETS INC.	7059	FLORHAM PARK, NJ	07/14/1994 - 06/01/2009

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	5



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

#### Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**  
Main Address: ONE NORTH JEFFERSON AVENUE  
MAIL CODE: H0004-05E  
ST. LOUIS, MO 63103-2205  
Firm ID#: 11025

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	05/08/2012
B FINRA	General Securities Representative	Approved	05/08/2012
B FINRA	General Securities Sales Supervisor	Approved	05/08/2012
B FINRA	Municipal Securities Principal	Approved	05/08/2012
B FINRA	Municipal Securities Representative	Approved	05/08/2012
B FINRA	Registered Options Principal	Approved	05/08/2012
B Alabama	Agent	Approved	12/08/2016
B Arizona	Agent	Approved	05/08/2012
B California	Agent	Approved	05/08/2012
B Colorado	Agent	Approved	05/09/2012
B Connecticut	Agent	Approved	05/08/2012
B Delaware	Agent	Approved	08/12/2020
B Florida	Agent	Approved	05/08/2012



## Qualifications

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/19/2018
B	Georgia	Agent	Approved	05/09/2012
B	Idaho	Agent	Approved	08/07/2020
B	Illinois	Agent	Approved	05/08/2012
B	Kansas	Agent	Approved	07/26/2023
B	Maine	Agent	Approved	03/09/2023
B	Maryland	Agent	Approved	05/08/2012
B	Massachusetts	Agent	Approved	05/22/2012
B	Michigan	Agent	Approved	07/15/2013
B	Minnesota	Agent	Approved	02/29/2016
B	Missouri	Agent	Approved	03/23/2017
B	Nevada	Agent	Approved	03/17/2015
B	New Hampshire	Agent	Approved	07/26/2012
B	New Jersey	Agent	Approved	05/08/2012
IA	New Jersey	Investment Adviser Representative	Approved	05/08/2012
B	New York	Agent	Approved	05/08/2012
B	North Carolina	Agent	Approved	05/09/2012
B	Ohio	Agent	Approved	07/29/2015
B	Oklahoma	Agent	Approved	07/27/2015



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oregon	Agent	Approved	05/14/2012
<b>B</b> Pennsylvania	Agent	Approved	05/08/2012
<b>B</b> South Carolina	Agent	Approved	05/08/2012
<b>B</b> Tennessee	Agent	Approved	05/10/2012
<b>B</b> Texas	Agent	Approved	05/18/2012
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	05/18/2012
<b>B</b> Utah	Agent	Approved	05/09/2012
<b>B</b> Vermont	Agent	Approved	05/15/2012
<b>B</b> Virginia	Agent	Approved	05/08/2012
<b>B</b> Washington	Agent	Approved	01/25/2022
<b>B</b> West Virginia	Agent	Approved	01/09/2017
<b>B</b> Wyoming	Agent	Approved	05/08/2012

#### Branch Office Locations

**WELLS FARGO ADVISORS**  
70 MAIN ST  
CHATHAM, NJ 07928

**WELLS FARGO ADVISORS**  
NAPLES, FL









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


#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	08/07/1995
 General Securities Principal Examination (S24)	Series 24	08/02/1991
 Registered Options Principal Examination (S4)	Series 4	09/20/1984
 NYSE Branch Manager Examination (S12)	Series 12	04/19/1983

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	04/07/1986
 General Securities Representative Examination (S7)	Series 7	09/16/1978

#### State Securities Law Exams


Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/01/1992



## Qualifications

### PASSED INDUSTRY EXAMS

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/02/1986

### 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
B	06/01/2009 - 05/16/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	FLORHAM PARK, NJ
IA	06/01/2009 - 05/16/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	FLORHAM PARK, NJ
IA	07/14/1994 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	FLORHAM PARK, NJ
B	07/31/1993 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	FLORHAM PARK, NJ
B	04/11/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	03/25/1983 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	10/02/1978 - 04/12/1983	DEAN WITTER REYNOLDS INC.	CRD# 7556	

### 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
05/2012 - Present	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.

FISHERMAN DUNES PROPERTY OWNERS ASSOCIATION, INV RELATED, MANTOLOKING, NJ, TREASURER, START 10/16/2018, 1 HOUR PER MONTH, ZERO DURING TRADING, ATTENDING MEETINGS TO DISCUSS COMMON AREAS AND HIRING LIFEGUARDS IN THE SUMMER, MAINTAINING ASSOCIATION CHECKING ACCOUNT.

MARQUIS WEALTH ADVISORS LLC, INV RELATED, CHATHAM, NJ, 25% OWNERSHIP, START 5/1/2012, 160 HOURS PER MONTH, 140 HOURS DURING TRADING, FINET PRACTICE.

HART-HAMP INC, INVT RELATED, GREEN VILLAGE, NJ, 100% OWNERSHIP, START DATE 6/1/2012, 240 HRS PER MONTH, 140 HOURS DURING TRADING, S CORP FOR FINET PRACTICE.



## 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	5

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	02/28/1989
<b>Docket/Case Number:</b>	Unknown
<b>Employing firm when activity occurred which led to the regulatory action:</b>	E.F. HUTTON & COMPANY, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	02/28/1989
<b>Sanctions Ordered:</b>	Censure
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	
<b>Regulator Statement</b>	3/10/89-SEC NEWS DIGEST ISSUE 89-38, DATED FEBRUARY 28, 1989 -



ADMINISTRATIVE PROCEEDINGS DISCLOSE: `PROCEEDINGS INSTITUTED AGAINST NICHOLAS A. BOCCELLA'; THE COMMISSION YESTERDAY INSTITUTED PROCEEDINGS UNDER SECTIONS 15(b)(4)(E) AND 19(h) OF THE SECURITIES EXCHANGE ACT OF 1934 AGAINST NICHOLAS A. BOCCELLA TO DETERMINE WHETHER HE FAILED REASONABLY TO SUPERVISE PERSONS SUBJECT TO HIS SUPERVISION AND, IF SO, WHAT REMEDIAL ACTION SHOULD BE TAKEN. SIMULTANEOUSLY, THE COMMISSION ACCEPTED BOCELLA'S OFFER OF SETTLEMENT IN WHICH HE AGREED TO THE IMPOSITION OF A CENSURE AND, IN LIEU OF ANY SUPERVISORY RESPONSIBILITIES, TO SPEND FOUR WEEKS RECEIVING TRAINING IN SUBJECTS RELATING TO COMPLIANCE AND CUSTOMER PROTECTION. BOCCELLA WAS BRANCH MANAGER FOR E.F. HUTTON AND COMPANY, INC. IN RICHMOND, VIRGINIA. BOCCELLA'S FAILURE TO SUPERVISE RELATED TO THE MISCONDUCT OF CLYDE B. PITCHFORD, JR., A REGISTERED REPRESENTATIVE SUBJECT TO BOCCELLA'S SUPERVISION WHO, FROM JUNE 1983 TO FEBRUARY 1986, MISAPPROPRIATED MORE THAN \$740,000 WORTH OF FUNDS AND SECURITIES FROM HIS E.F. HUTTON CUSTOMERS. THE COMMISSION FOUND THAT BOCCELLA FAILED REASONABLY TO SUPERVISE PITCHFORD BY, AMONG OTHER THINGS, FAILING TO FOLLOW INTERNAL FIRM PROCEDURES RELATING TO DISBURSEMENTS OF CHECKS FOR HAND DELIVERY TO CUSTOMERS AND OVERSIGHT OF TRANSACTIONS INVOLVING EMPLOYEE-RELATED ACCOUNTS. (REL. 34-26574)

**Reporting Source:** Individual

**Regulatory Action Initiated By:** \* U.S. SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/28/1989

**Docket/Case Number:** Unknown

**Employing firm when activity occurred which led to the regulatory action:** E.F. HUTTON & COMPANY, INC.

**Product Type:**

**Other Product Type(s):**

**Allegations:** \* FAILED REASONABLY TO SUPERVISE PERSONS SUBJECT TO MY SUPERVISION

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 02/28/1989

**Sanctions Ordered:** Censure



**Other Sanctions Ordered:**

**Sanction Details:**

\* CENSURE AND UNDERTAKINGS INVOLVING RECEIVING TRAINING IN COMPLIANCE RELATED ACTIVITIES UNDER SUPERVISION OF SENIOR COMPANY OFFICIALS RESPONSIBLE FOR SUCH FUNCTIONS. WITHOUT ADMITTING OR DENYING ALLEGATIONS, I CONSENTED TO THE ENTRY OF AN ORDER CONTAINING FINDINGS AND REMEDIAL SANCTIONS.

**Broker Statement**

THE FINDINGS CONTAINED IN THE SEC'S ORDER ARISE FROM THE EMBEZZLEMENT BY CLYDE B. PITCHFORD, JR. OF FUNDS FROM CERTAIN OF HIS CUSTOMERS WHILE HE WAS AN ACCOUNT EXECUTIVE IN THE RICHMOND, VA BRANCH OFFICE OF DEAN WITTER REYNOLDS AND THEN OF E.F. HUTTON. PITCHFORD DEFRAUDED NOT ONLY HIS CUSTOMERS, SOME OF WHOM WERE HIS OWN RELATIVES, BUT RATHER THE ENTIRE COMMUNITY OF RICHMOND, WHO CONSIDERED MR. PITCHFORD TO BE ONE OF THE CITY'S LEADING CITIZENS. FOR THESE CRIMES, PITCHFORD RECEIVED A 25 YEAR SENTENCE. THE SEC HAS NOT FOUND THAT I ENGAGED IN ANY INDIVIDUAL WRONGDOING OR AIDED AND ABETTED MR. PITCHFORD'S CRIMES.



## 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 5

**Reporting Source:** Individual

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

**Allegations:** FAILURE TO SUPERVISE COMPENSATORY:  
\$129,304.00

**Product Type:**

**Alleged Damages:** \$129,304.00

## Customer Complaint Information

**Date Complaint Received:** 06/24/1992

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:** \$95,000.00

### Individual Contribution Amount:

**Broker Statement** SHEARSON SETTLED THIS MATTER FOR \$95,000.00  
CLAIMANTS DISMISSED ALL ALLEGATIONS AGAINST MR. BOCELLA, WHO WAS NAMED ONLY IN HIS CAPACITY AS BRANCH OFFICE MANAGER  
Not Provided

### Disclosure 2 of 5

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS INC.

**Allegations:** >01/23/01 CHURNING; SUITABILITY; UNAUTHORIZED TRADING; NEGLIGENT MISREPRESENTATION, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND CONTRACT

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$154,000.00

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #91-03758](#)

**Date Notice/Process Served:** 12/16/1991



**Arbitration Pending?** No  
**Disposition:** Denied  
**Disposition Date:** 06/26/1993  
**Disposition Detail:** CLAIMANT'S CLAIMS ARE DENIED AND DISMISSED WITH PREJUDICE BY THE ARBITRATION PANEL.

.....

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SHEARSON LEHMAN BROTHERS INC.  
**Allegations:** ALLEGED DAMAGES: \$154,000.00  
FAILURE TO SUPERVISE  
**Product Type:**  
**Alleged Damages:** \$154,000.00

### 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.; 91-03758](#)  
**Date Notice/Process Served:** 12/16/1991  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 06/26/1993  
**Monetary Compensation Amount:** \$1,000.00  
**Individual Contribution Amount:**  
**Broker Statement** ALL ALLEGATIONS AGAINST MR. BOCCELLA WERE DISMISSED IN THEIR ENTIRETY.  
Not Provided

### Disclosure 3 of 5

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SHEARSON



**Allegations:** FAILURE TO SUPERVISE ALLEGED DAMAGES:  
UNSPECIFIED

**Product Type:**

**Alleged Damages:**

**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:** 02/23/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/12/1993

**Monetary Compensation Amount:** \$24,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SHEARSON SETTLED THIS MATTER FOR \$24,000.00. MR. BOCCELLA WAS NAMED ONLY IN HIS CAPACITY AS BRANCH MANAGER. HE WAS DISMISSED FROM THIS ACTION. MR. BOCCELLA HAS NOT & WAS NOT ASKED TO CONTRIBUTE TOWARDS THE SETTLEMENT.  
Not Provided

**Disclosure 4 of 5**

**Reporting Source:** Individual

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

**Allegations:** FAILURE TO SUPERVISE COMPENSATORY \$70,000.00

**Product Type:**

**Alleged Damages:** \$70,000.00

**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.; 91-03697

**Date Notice/Process Served:** 04/04/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/29/1992

**Monetary Compensation Amount:** \$20,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**  
SHEARSON SETTLED THIS MATTER FOR \$20,000.00. SHEARSON DID NOT ASK THE FC TO CONTRIBUTE. MR. BOCCELLA WILL NOT BE ANSWERING YES TO 22 H-2, THIS QUESTION IS NOT PLICABLE TO HIM SINCE THE FIRM SETTLED THIS CASE. BROKER OF RECORD WAS MARK GREENWAY WHO MR. BOCCELLA WAS ALLEGED TO HAVE FAILED TO SUPERVISE.

**Disclosure 5 of 5**

**Reporting Source:** Regulator

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

**Allegations:** UNAUTHORIZED TRADING; SUITABILITY; MISREPRESENTATION; OTHER

**Product Type:**

**Alleged Damages:** \$40,342.05

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD - CASE #92-02202

**Date Notice/Process Served:** 08/12/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/24/1994

**Disposition Detail:** CASE IS CLOSED, SETTLED  
Not Provide



**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SMITH BARNEY  
**Allegations:** FAILURE TO SUPERVISE  
**Product Type:**  
**Alleged Damages:** \$40,342.05

### 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.; 92-02202  
**Date Notice/Process Served:** 08/12/1992  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 05/24/1994  
**Monetary Compensation Amount:** \$17,500.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement**  
SMITH BARNEY SETTLED THIS MATTER FOR \$17,500.00.  
MR. BOCCELLA WAS NAMED ONLY IN HIS CAPACITY AS BRANCH MANAGER.  
SMITH BARNEY DID NOT ASK MR. BOCCELLA TO CONTRIBUTE TO THE SETTLEMENT.  
CONTACT: RICK APICELLA (212) 464-7200  
Not Provided



## End of Report

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