IAPD Report

JOHN BARRY CLEMENS

CRD# 860935

Section Title	Page(s)

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

JOHN BARRY CLEMENS (CRD# 860935)

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 **02/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/07/2022
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	09/30/2022

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **32** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	WESTLAKE, OH	05/17/2005 - 09/30/2022
B	WELLS FARGO CLEARING SERVICES, LLC	19616	WESTLAKE, OH	05/13/2005 - 09/30/2022
IA	MCDONALD INVESTMENTS INC.	566	ROCKY RIVER, OH	11/19/1999 - 05/18/2005

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	1
Termination	1

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 **32** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**
Main Address: 200 VESEY ST.
NEW YORK, NY 10281
Firm ID#: 31194

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	09/07/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	FINRA	General Securities Representative	Approved	09/07/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	09/07/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	09/07/2022
B	MEMX LLC	General Securities Representative	Approved	09/07/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	09/07/2022
B	NYSE American LLC	General Securities Representative	Approved	09/07/2022

Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Representative	Approved	09/07/2022
B	NYSE National, Inc.	General Securities Representative	Approved	09/07/2022
B	NYSE Texas, Inc.	General Securities Representative	Approved	09/07/2022
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	09/07/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	09/07/2022
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/07/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	09/07/2022
B	Nasdaq Texas, LLC	General Securities Representative	Approved	09/07/2022
B	New York Stock Exchange	General Securities Representative	Approved	09/07/2022
B	Arizona	Agent	Approved	12/08/2022
B	California	Agent	Approved	01/08/2025
B	Colorado	Agent	Approved	11/30/2022
B	Connecticut	Agent	Approved	01/08/2025
B	Delaware	Agent	Approved	01/27/2025
B	District of Columbia	Agent	Approved	08/29/2025
B	Florida	Agent	Approved	01/25/2023
B	Georgia	Agent	Approved	10/31/2022
B	Hawaii	Agent	Approved	01/21/2025
B	Illinois	Agent	Approved	12/09/2022

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	12/02/2022
B	Iowa	Agent	Approved	01/09/2025
B	Maryland	Agent	Approved	11/01/2022
B	Massachusetts	Agent	Approved	11/22/2022
B	Michigan	Agent	Approved	11/16/2022
B	Minnesota	Agent	Approved	01/10/2025
B	Montana	Agent	Approved	11/14/2022
B	Nevada	Agent	Approved	01/27/2025
B	New Jersey	Agent	Approved	12/13/2022
B	New York	Agent	Approved	10/30/2022
B	North Carolina	Agent	Approved	11/17/2022
B	Ohio	Agent	Approved	09/07/2022
IA	Ohio	Investment Adviser Representative	Approved	09/30/2022
B	Oregon	Agent	Approved	01/13/2025
B	Pennsylvania	Agent	Approved	10/28/2022
B	South Carolina	Agent	Approved	11/01/2022
B	Tennessee	Agent	Approved	11/08/2022
B	Texas	Agent	Approved	11/16/2022
IA	Texas	Investment Adviser Representative	Restricted	10/27/2022

Qualifications

Regulator	Registration	Status	Date
		Approval	
B Utah	Agent	Approved	01/09/2025
B Virginia	Agent	Approved	12/01/2022
B Washington	Agent	Approved	01/09/2025
B West Virginia	Agent	Approved	10/31/2022
B Wisconsin	Agent	Approved	11/10/2022

Branch Office Locations

RBC CAPITAL MARKETS, LLC
CLEVELAND, OH

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	11/18/2006
B	General Securities Representative Examination (S7)	Series 7	06/19/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/06/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/29/1980

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.

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	05/17/2005 - 09/30/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTLAKE, OH
B	05/13/2005 - 09/30/2022	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	WESTLAKE, OH
IA	11/19/1999 - 05/18/2005	MCDONALD INVESTMENTS INC.	CRD# 566	ROCKY RIVER, OH
B	08/17/1992 - 05/18/2005	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	09/04/1990 - 08/10/1992	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	01/02/1979 - 09/04/1990	PRESCOTT, BALL & TURBEN, INC.	CRD# 7656	

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
09/2022 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	WESTLAKE, OH, United States
11/2016 - 09/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	WESTLAKE, OH, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	WESTLAKE, OH, 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) TOWN HOMES OF OHIO CITY, NOT INV RELATED, CLEVELAND, OH, BOARD MEMBER, START 6/1/2006, 1 HOUR PER MONTH, ZERO DURING TRADING, MAINTENANCE, BUDGET, FUTURE EXPENSES OF HOA.
TRUSTEE FOR SPOUSE, INV RELATED, WESTLAKE, OH, START: 6/1/2005, 20 HOURS/MONTH, 0 HRS DURING TRADING.

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	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/25/1989
Docket/Case Number:	NY-8018
Employing firm when activity occurred which led to the regulatory action:	KEMPER SECURITIES GROUP
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/06/1992
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	

Sanction Details:

Regulator Statement	[TOP] COMPLAINT NO. NY-8018 FILED SEPTEMBER 25, 1989 BY DISTRICT NO. 12 AGAINST RESPONDENTS JEFFREY ALAN SCHULTZ, JOHN BARRY CLEMENS AND ABRAHAM CHARLES HALPERN ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 15(b) AND 18 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT CLEMENS AND SCHULTZ EFFECTED TRANSACTIONS WITH BROKER-DEALERS AND CUSTOMERS AT PRICES WHICH WERE FRAUDULENT, UNFAIR TO THE DETRIMENT OF HIS MEMBER FIRM'S AND THEIR CUSTOMERS: HALPERN PROVIDED SUBSTANTIAL ASSISTANCE TO SCHULTZ IN CERTAIN OF THESE FRAUDULENT TRANSACTIONS; EXERCISED DISCRETIONARY POWER OVER A CUSTOMER'S ACCOUNT WITHOUT PRIOR WRITTEN AUTHORIZATION TO HIS MEMBER FIRM. DECISION RENDERED APRIL 19, 1991, CASE ID C10890002 (NY-8018) WHEREIN RESPONDENT CLEMENS IS CENSURED AND REQUIRED TO REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 60 DAYS OF THIS DECISION OR HE IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY UNTIL HE REQUALIFIES. THE COMMITTEE DETERMINED TO DISMISS THE ALLEGATIONS THAT CLEMENS VIOLATED ARTICLE III, SECTION 18 IN THAT HIS MISCONDUCT DID NOT RISE TO THE LEVEL OF FRAUD. IF NO FURTHER ACTION, DECISION IS FINAL JUNE 3, 1991. JULY 9, 1991 - CALLED FOR REVIEW. BOARD OF GOVERNORS DECISION RENDERED DECEMBER 6, 1991, WHEREIN THE FINDINGS MADE AND THE SANCTIONS IMPOSED ARE MODIFIED; THEREFORE, RESPONDENT CLEMENS IS CENSURED, FINED $5,000, REQUIRED TO REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 60 DAYS OF THIS DECISION, AND SUSPENDED IN ALL CAPACITIES UNTIL HE REQUALIFIES. ***JANUARY 6, 1992 - DECISION FINAL*** ***$5,000.00 PAID ON 3/4/92 INVOICE #91-10-1474***

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD DBCC #12
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/25/1989
Docket/Case Number:	NY-8018
Employing firm when activity occurred which led to the regulatory action:	KEMPER SECURITIES GROUP
Product Type:	
Other Product Type(s):	
Allegations:	RESPONDENT CLEMENS VIOLATED ARTICLE III, SECTION 1 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE AS ALLEGED IN THE FIRST, SECOND, THIRD AND FOURTH CAUSES OF COMPLAINT.

Current Status:	Final
Resolution:	Decision
Resolution Date:	01/06/1992
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT CLEMENS WAS CENSURED, REQUIRED TO REQUALIFY AS A GENERAL SECURITIES REP. WITHIN 60 DAYS OF THE DATE OF DBCC DECISION AND SUSPENDED FROM ASSOCIATING WITH ANY MEMBER IN ANY CAPACITY UNTIL REQUALIFIED. FINE AMOUNT = $5,000.00. REQUALIFIED 6/21/91.
Firm Statement	PLEASE NOTE THAT AMENDED U-4 SUBMITTED ON 2/11/92 STATED THAT RESPONDENT "EXERCISED DISCRETIONARY POWER OVER A CUSTOMER'S ACCOUNT WITHOUT PRIOR WRITTEN AUTHORIZATION TO HIS MEMBER FIRM." THIS IS INCORRECT AND SHOULD BE STRICKEN FROM CLEMENS RECORD. SEE ATTACHED COPY OF DBCC DECISION.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD DISTRICT BUSINESS CONDUCT COMMITTEE
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	09/25/1989
Docket/Case Number:	NY-8018
Employing firm when activity occurred which led to the regulatory action:	KEMPER SECURITIES GROUP
Product Type:	Other
Other Product Type(s):	
Allegations:	VIOLATIONS OF ARTICLE III, SECTIONS 1, 15(B) AND 18 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT EXECUTED TRANSACTIONS WITH BROKER-DEALERS AND CUSTOMERS AT PRICES WHICH WERE FRAUDULENT, UNFAIR AND TO THE DETRIMENT OF THE MEMBER FIRMS AND THEIR CUSTOMERS AND EXERCISED DISCRETIONARY AUTHORITY OVER A CUSTOMER'S ACCOUNT WITHOUT THE PRIOR WRITTEN AUTHORIZATION OF HIS MEMBER FIRM.
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/06/1992
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension

Other Sanctions Ordered:	
Sanction Details:	MR. CLEMENS WAS CENSURED, REQUIRED TOI REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE WITHIN 60 DAYS OF THE DATE OF THE DBCC DECISION AND SUSPENDED FROM ASSOCIATING WITH ANY MEMEBER IN ANY CAPACITY UNTIL HE REQUALIFIED. THE FINE WAS IN THE AMOUNT OF $5,000.00. MR. CLEMENS SUCCESSFULLY REQUALIFIED BY PASSING THE SERIES 7 EXAMINATION ON 06-21-91.
Broker Statement	NOT PROVIDED

Customer Dispute

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

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

Disclosure 1 of 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	PLAINTIFF ALLEGES THAT MR. CLEMENS RECEIVED MATERIAL NON-PUBLIC INFORMATION REGARDING ANM FROM [THIRD PARTY], AND THAT HE, IN TURN, PURCHASED FOR HIS OWN ACCOUNT AND SELECTIVELY RECOMMENDED AND SOLD THE ANM STOCK TO OTHERS BASED ON THIS INFORMATION. ALLEGED DAMAGES IN EXCESS OF $1.5 MILLION.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$100,500.00

Customer Complaint Information

Date Complaint Received:	01/15/1995
Complaint Pending?	No
Status:	Litigation
Status Date:	01/15/1996
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$45,000.00

Arbitration Information

Disposition:	Other
Disposition Date:	01/15/1996

Civil Litigation Information

Court Details:	BC125243
Date Notice/Process Served:	04/05/1995
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	06/24/1996
Monetary Compensation Amount:	$45,000.00
Individual Contribution Amount:	
Broker Statement	MR. CLEMENS PAID ANM $45,000.00 AND AGREES TO

SUBMIT TO ANM'S BOARD OF TRUSTEES A PROXY ENTITLING THE TRUSTEES TO VOTE, IN CONNECITON WITH ALL MATTERS ON WHICH ANM SHAREHOLDERS ARE PREMITTED TO VOTE, ALL OF THE ANM SHARES WHICH
MR. CLEMENS OWNS AT THE TIME OF THE VOTE. THE PROXY VOTING R RESTRICTION WILL APPLY TO ALL SHARES MR. CLEMENS CURRENTLY OWNS, AS WELL AS ANY ADDITIONAL ANM SHARES THAT HE MAY ACQUIRE.
THIS IS SETTLEMENT OF A DISPUTED CLAIM, AND THAT THIS IS NOT AN ADMISSION OF LIABILITY OR WRONGFUL CONDUCT.
AFTER CONSULTING WITH HIS ATTORNEYS, A SETTLEMENT
WAS MADE TO AVOID THE COSTS OF ATTENDING THE SUMMARY JUDGMENT
MOTION ARGUMENT IN CALIFORNIA, AND THE ANTICIPATED COSTS OF TRIAL. THIS SETTLEMENT WAS MADE IN RESPONSE TO THE DISPUTED CLAIM AND THIS SETTELMENT IS NOT AN ADMISSION OFSSION OF LIABILITY OR WRONGFUL CONDUCT..

Termination

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

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Voluntary Resignation
Termination Date:	09/01/2022
Allegations:	The RR voluntarily resigned following allegations that he accepted trading instructions from a third party who was not authorized to give instructions on the account and for noting in an electronic record that he had spoken to the client when he had not. No client harm identified.
Product Type:	Equity Listed (Common & Preferred Stock)

Reporting Source:	Individual
Firm Name:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Voluntary Resignation
Termination Date:	09/01/2022
Allegations:	The RR voluntarily resigned following allegations that he accepted trading instructions from a third party who was not authorized to give instructions on the account and for noting in an electronic record that he had spoken to the client when he had not. No client harm identified
Product Type:	Equity Listed (Common & Preferred Stock)

End of Report

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