

BrokerCheck Report

SANJAY MATHUR

CRD# 1144243

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

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



SANJAY MATHUR

CRD# 1144243

Currently employed by and registered with the following Firm(s):

IA RBC CAPITAL MARKETS, LLC
400 Spectrum Center Drive
Suite 200
Irvine, CA 92618
CRD# 31194
Registered with this firm since: 03/20/2024

B RBC CAPITAL MARKETS, LLC
400 Spectrum Center Drive
Suite 200
Irvine, CA 92618
CRD# 31194
Registered with this firm since: 03/20/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 22 Self-Regulatory Organizations
- 16 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
NEWPORT BEACH, CA
04/2012 - 03/2024
- IA WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
ST. LOUIS, MO
04/2012 - 03/2024
- B MORGAN STANLEY SMITH BARNEY**
CRD# 149777
MONARCH BEACH, CA
06/2009 - 05/2012

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	6
Termination	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 22 SROs and is licensed in 16 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	03/20/2024
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	Cboe Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	FINRA	General Securities Representative	Approved	03/20/2024
B	Investors' Exchange LLC	General Securities Representative	Approved	03/20/2024
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	03/20/2024
B	MEMX LLC	General Securities Representative	Approved	03/20/2024
B	MIAX PEARL, LLC	General Securities Representative	Approved	03/20/2024
B	NYSE American LLC	General Securities Representative	Approved	03/20/2024
B	NYSE Arca, Inc.	General Securities Representative	Approved	03/20/2024
B	NYSE National, Inc.	General Securities Representative	Approved	03/20/2024



Broker Qualifications

Employment 1 of 1, continued

	SRO	Category	Status	Date
B	NYSE Texas, Inc.	General Securities Representative	Approved	03/20/2024
B	Nasdaq BX, Inc.	General Securities Representative	Approved	03/20/2024
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	03/20/2024
B	Nasdaq ISE, LLC	General Securities Representative	Approved	03/20/2024
B	Nasdaq PHLX LLC	General Securities Representative	Approved	03/20/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	03/20/2024
B	New York Stock Exchange	General Securities Representative	Approved	03/20/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/20/2024
B	California	Agent	Approved	03/20/2024
IA	California	Investment Adviser Representative	Approved	03/20/2024
B	Delaware	Agent	Approved	06/05/2024
B	Florida	Agent	Approved	03/20/2024
B	Illinois	Agent	Approved	07/24/2024
B	Kansas	Agent	Approved	03/20/2024
B	Minnesota	Agent	Approved	03/25/2024
B	Missouri	Agent	Approved	03/20/2024
B	Nevada	Agent	Approved	03/20/2024
B	New Jersey	Agent	Approved	03/20/2024
B	New York	Agent	Approved	03/20/2024
B	Ohio	Agent	Approved	03/20/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	03/20/2024
B	Texas	Agent	Approved	03/20/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/20/2024
B	Virginia	Agent	Approved	03/20/2024
B	Washington	Agent	Approved	03/22/2024

Branch Office Locations

RBC CAPITAL MARKETS, LLC
400 Spectrum Center Drive
Suite 200
Irvine, CA 92618

RBC CAPITAL MARKETS, LLC
Irvine, CA



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/25/1985

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	04/20/1985
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/24/1983

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/30/1983

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 04/2012 - 03/2024	WELLS FARGO CLEARING SERVICES, LLC	19616	NEWPORT BEACH, CA
IA 04/2012 - 03/2024	WELLS FARGO CLEARING SERVICES, LLC	19616	NEWPORT BEACH, CA
B 06/2009 - 05/2012	MORGAN STANLEY SMITH BARNEY	149777	MONARCH BEACH, CA
IA 06/2009 - 05/2012	MORGAN STANLEY SMITH BARNEY LLC	149777	MONARCH BEACH, CA
B 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	MONARCH BEACH, CA
IA 04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	MONARCH BEACH, CA
IA 11/1998 - 04/2007	MORGAN STANLEY	7556	MONARCH BEACH, CA
B 11/1997 - 04/2007	MORGAN STANLEY DW INC.	7556	MONARCH BEACH, CA
B 05/1994 - 11/1997	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 09/1990 - 04/1994	PAINWEBBER INCORPORATED	8174	WEEHAWKEN, NJ
B 06/1983 - 10/1990	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 08/1983 - 03/1985	FIRST INVESTORS CORPORATION	305	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2024 - Present	RBC Capital Markets, LLC	Registered Representative	Y	Newport Beach, CA, United States
11/2016 - 03/2024	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2012 - 11/2016	WELLS FARGO ADVISORS	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) R.S. PARTNERS; INVESTMENT RELATED; EL CAJON CA; COMMERCIAL RENTAL PROPERTY; 100% OWNERSHIP WITH SPOUSE; START DATE = 11/22/10; 2 HOURS DEVOTED PER MONTH; NONE DURING TRADING HOURS. -

(2) RS WHITEWATER, INV RELATED, EL CAJON, CA, 1% of RS Partners LP, START: 11/2010, 2 HOURS PER MONTH/0 DURING TRADING.

(3) 7E OHARA, LLC, INVT RELATED, FRISCO, TX, 90% OWNERSHIP, START DATE 7/31/2019, 0 HRS PER MONTH, 0 HRS DURING TRADING, PASSIVE INVESTOR.

(4) AUTOPILOT SOFTWARE LLC; NOT INV. RELATED; 590 W Freedom Ave, Orange CA 92865; 20% OWNERSHIP; PROVIDE CRM SOFTWARE FOR AUTOBODY SHOPS; START DATE 11/7/2020; Owner-Passive 0 HRS PER MONTH; 0 HRS DURING TRADING; DUTIES: NONE, PASSIVE INVESTOR.

(5) NAME OF ENTITY: The Sanjay Mathur and Preeti Mathur Charitable Foundation
 ADDRESS: 170 Leafy Pass, Irvine CA 92602
 INVESTMENT/NOT INVESTMENT RELATED: No
 BUSINESS DESCRIPTION : Charitable Foundation.
 CAPACITY Owner - Active
 START DATE: 06/15/15
 DUTIES It is mine and my wife's charity just us run it.
 HOURS DEVOTED PER MONTH: 0
 HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	6	N/A
Termination	N/A	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	Claimant alleged that investments recommended from May 2011 to April 2012 were unsuitable.
Product Type:	Equity Listed (Common & Preferred Stock) Other: Closed-End Funds
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-02864
Filing date of arbitration/CFTC reparation or civil litigation:	09/28/2016

Customer Complaint Information

Date Complaint Received: 09/29/2016



Complaint Pending? No

Status: Settled

Status Date: 05/01/2017

Settlement Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors, LLC and Morgan Stanley Smith Barney, LLC

Allegations: Claimant alleges unsuitable investment recommendations were made in accounts opened in or around 2012.

Product Type: Unit Investment Trust

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimant seeks approximately \$100,000.00 in compensatory damages.

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-02864

Filing date of arbitration/CFTC reparation or civil litigation: 09/29/2016

Customer Complaint Information

Date Complaint Received: 09/29/2016

Complaint Pending? No

Status: Settled



Status Date:	06/12/2017
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The Firm settled this matter for \$30,000.00 without any admission of wrongdoing, solely to avoid the costs and expenses of continued litigation and to terminate the arbitration. The broker was not a party to the settlement, was not asked to contribute in any way to the settlement and did not in fact contribute to the settlement. I believe this claim has no merit. I personally handled the customer's accounts in a careful and prudential manner according to her specific wishes, and all trades were made with the customer's knowledge and acceptance of the potential risks.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors, LLC
Allegations:	Client alleged excessive trading and fees. (4/30/2012-11/11/2015)
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages, not specified, but believed to be in excess of \$5,000.
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:	11/11/2015
Complaint Pending?	No
Status:	Settled
Status Date:	08/01/2016



Settlement Amount:	\$45,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Without admitting any liability on the part of the firm, the matter was settled for \$45,000.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INC., FKA MORGAN STANLEY DW INC.
Allegations:	CUSTOMER ALLEGES THAT IN MAY 2008, FINANCIAL ADVISOR MADE UNAUTHORIZED PURCHASES OF FANNIE MAE AND CITIGROUP STOCK. DAMAGE UNSPECIFIED.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	12/05/2008
Complaint Pending?	No
Status:	Settled
Status Date:	02/09/2009
Settlement Amount:	\$3,159.76
Individual Contribution Amount:	\$0.00
Broker Statement	MORGAN STANLEY RESOLVED THIS MATTER AS A BUSINESS ACCOMMODATION. MR. MATHUR DENIES THAT THE PURCHASES WERE UNAUTHORIZED AND INDICATES THAT HE OBTAINED CUSTOMER APPROVAL FOR THE TRADES AT ISSUE.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	Client complains that Financial Advisor recommended investments in a high risk foreign security despite client's age and retirement timeline. (10/15/2015-3/20/2024)
Product Type:	Other: Equity-Foreign
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
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:	11/06/2024
Complaint Pending?	No
Status:	Denied
Status Date:	01/17/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	Client complains that Financial Advisor recommended investments in a high risk foreign security despite client's age and retirement timeline. (10/15/2015-3/20/2024)
Product Type:	Other: Equity Foreign
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than \$5,000.
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:	11/06/2024
Complaint Pending?	No
Status:	Denied
Status Date:	01/17/2025
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Wells Fargo Advisors
Allegations:	Attorney for the client alleged that the financial advisor did not perform any meaningful suitability inquiry prior to recommendations to purchase a security, and that the financial advisor did not disclose details of his own financial stake in the company. (7/23/2015-9/9/2019)



Product Type: Other: Equity-Foreign

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The Firm cannot make a good faith determination that the damages from the alleged conduct would be less than \$5,000.

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: 09/09/2019

Complaint Pending? No

Status: Denied

Status Date: 12/09/2019

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Wells Fargo Advisors

Allegations: Client alleges the securities selected for his company's PSP are too volatile, the advisor lost him money in his account and also charged account management fees which resulting in total account value declines while the general securities markets only rose higher. (7/12/2016-8/2/2017)

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Damages, not specified, but believe to be \$5,000 or more.



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: 08/03/2017

Complaint Pending? No

Status: Withdrawn

Status Date: 08/22/2017

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

Client retracted all allegations. On August 10, 2017, client sent a follow-up email communication wherein he clarified that he deemed the handling of his account by Financial Advisor to be suitable and the investments recommended by Financial Advisors to be suitable. Client thanked Financial Advisor for his efforts and services provided. Client continued to assert that he would not be looking for any return of fees or compensation from Wells Fargo Advisors.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: MORGAN STANLEY SMITH BARNEY, LLC

Termination Type: Voluntary Resignation

Termination Date: 04/27/2012

Allegations: ALLEGATIONS THAT FINANCIAL ADVISOR EXERCISED TIME AND PRICE DISCRETIONARY TRADING IN CLIENT ACCOUNTS WITHOUT PROPER WRITTEN AUTHORIZATION.

Product Type: Debt-Corporate
Equity Listed (Common & Preferred Stock)

Reporting Source: Broker

Employer Name: MORGAN STANLEY SMITH BARNEY, LLC

Termination Type: Voluntary Resignation

Termination Date: 04/27/2012

Allegations: ALLEGATIONS THAT FINANCIAL ADVISOR EXERCISED TIME AND PRICE DISCRETIONARY TRADING IN CLIENT ACCOUNTS WITHOUT PROPER WRITTEN AUTHORIZATION

Product Type: Equity Listed (Common & Preferred Stock)

End of Report



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