

BrokerCheck Report

WILLIAM HOUK BASLER

CRD# 1310243

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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.

**WILLIAM H. BASLER**

CRD# 1310243

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

IA WELLS FARGO ADVISORS
 13515 BELL TOWER DR STE 100
 FORT MYERS, FL 33907
 CRD# 19616
 Registered with this firm since: 07/01/2003

B WELLS FARGO CLEARING SERVICES, LLC
 13515 BELL TOWER DR STE 100
 FORT MYERS, FL 33907
 CRD# 19616
 Registered with this firm since: 07/01/2003

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:**

- 6 Self-Regulatory Organizations
- 2 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

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

- IA PRUDENTIAL SECURITIES INCORPORATED**
 CRD# 7471
 NEW YORK, NY
 01/1997 - 07/2003
- B PRUDENTIAL SECURITIES INCORPORATED**
 CRD# 7471
 NEW YORK, NY
 02/1988 - 07/2003
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 10/1984 - 02/1988

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	9



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 6 SROs and is licensed in 2 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO CLEARING SERVICES, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103**

Firm CRD#: **19616**

	SRO	Category	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B	FINRA	General Securities Representative	Approved	07/01/2003
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	07/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	07/01/2003

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	07/01/2003
IA	Florida	Investment Adviser Representative	Approved	07/01/2003
B	Texas	Agent	Approved	07/01/2003
IA	Texas	Investment Adviser Representative	Restricted Approval	07/01/2003

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

Broker Qualifications



Employment 1 of 1, continued

13515 BELL TOWER DR STE 100
FORT MYERS, FL 33907

WELLS FARGO CLEARING SERVICES, LLC
FORT MYERS, FL



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 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	10/01/2018
B National Commodity Futures Examination	Series 3	11/26/1990
B General Securities Representative Examination	Series 7	10/20/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/11/1998
B Uniform Securities Agent State Law Examination	Series 63	11/14/1984

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
IA 01/1997 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	FORT MEYERS, FL
B 02/1988 - 07/2003	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 10/1984 - 02/1988	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	FORT MYERS, FL, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	FORT MYERS, FL, 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.

RENTAL PROPERTY, INVT RELATED, FORT MYERS, FL, 100% OWNERSHIP, START DATE 2/1/2020, 4 HRS PER MONTH, 0 HRS DURING TRADING, LANDLORD.

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.
 -
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	9	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 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL SECURITIES, INC.
Allegations:	CUSTOMER'S SON CLAIMS THAT [CUSTOMER] BELIEVED SHE WAS PURCHASING A LIFE INSURANCE POLICY WITH A GUARANTEED DEATH BENEFIT AND WHICH REQUIRED ONLY A SINGLE, INITIAL PREMIUM PAYMENT; BUT IN FACT THE POLICY IS A VARIABLE POLICY AND ADDITIONAL PREMIUMS ARE DUE TO MAINTAIN THE DEATH BENEFIT. POLICY WAS PURCHASED IN JUNE 2000.
Product Type:	Insurance
Other Product Type(s):	VARIABLE LIFE POLICY
Alleged Damages:	\$230,805.00

Customer Complaint Information

Date Complaint Received:	03/03/2005
Complaint Pending?	No
Status:	Settled
Status Date:	12/23/2005
Settlement Amount:	\$108,007.63
Individual Contribution Amount:	\$0.00



Firm Statement POLICY CONTRACT WAS CANCELLED AND PREMIUMS WERE REFUNDED, PLUS INTEREST.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CUSTOMER'S SON CLAIMS THAT [CUSTOMER] BELIEVED SHE WAS PURCHASING A LIFE INSURANCE POLICY WITH A GUARANTEED DEATH BENEFIT AND WHICH REQUIRED ONLY A SINGLE, INITIAL PREMIUM PAYMENT; BUT IN FACT THE POLICY IS A VARIABLE POLICY AND ADDITIONAL PREMIUMS ARE DUE TO MAINTAIN THE DEATH BENEFIT. POLICY WAS PURCHASED IN JUNE 2000.

Product Type: Insurance

Other Product Type(s): VARIABLE LIFE POLICY

Alleged Damages: \$230,805.00

Customer Complaint Information

Date Complaint Received: 03/03/2005

Complaint Pending? No

Status: Settled

Status Date: 12/23/2005

Settlement Amount: \$108,007.63

Individual Contribution Amount: \$0.00

Disclosure 2 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PSI INCORP.

Allegations: CLIENT, VIA HER SON AND POA, ALLEGES THAT SHE WISHED TO "PRESERVE HER CAPITAL" AND THAT INVESTMENTS IN THE ACCOUNT WERE "INAPPROPRIATE." ALLEGED LOSSES "SOMEWHERE AROUND \$30,000 TO \$40,000. THIS MATTER WAS NOT REPORTABLE PRIOR TO



RECEIPT ON 12/2/1999 OF DOCUMENTATION THAT SON HAS POA FOR THE CLIENT.

Product Type: Mutual Fund(s)
Other Product Type(s): ANNUNITIES
Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 11/08/1999
Complaint Pending? No
Status: Settled
Status Date: 04/18/2000
Settlement Amount: \$1,243.48
Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL SECURITIES INCORPORATED SETTLED THIS MATTER FOR \$1,243.48.

Disclosure 3 of 7

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES
Allegations: CLIENT VERBALLY ALLEGED \$14,000.00 IN DAMAGES.
Product Type: Debt - Asset Backed
Other Product Type(s): MUTUAL FUNDS
Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 04/24/1995
Complaint Pending? No
Status: Settled
Status Date: 08/21/1995



Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	SETTLED FOR \$10,000

Disclosure 4 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE
Allegations:	THE CLIENT ALLEGED THE UNSUITABILITY OF A SPLIT FUNDED ANNUITY PURCHASED IN 1989 FOR \$125,589.22.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$125,589.22

Customer Complaint Information

Date Complaint Received:	12/04/1991
Complaint Pending?	No
Status:	Settled
Status Date:	03/13/1992
Settlement Amount:	\$25,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THERE WAS NO REMEDIAL ACTION AGAINST THE ACCOUNT EXECUTIVE, WHOM THE FIRM BELIEVES ACTED APPROPRIATELY. THIS CASE WAS SETTLED FOR \$25,000.00. [CUSTOMER] PURCHASED A VARIABLE ANNUITY AFTER CAREFUL EXAMINATION OF THE PROSPECTUS AND SEVERAL DISCUSSIONS WITH ME. AS LONG AS THE INVESTMENT INCREASED IN VALUE, HE WAS HAPPY, WHEN THE INVESTMENT STARTED LOSING VALUE OVER 2 YEARS LATER, HE SUDDENLY COULDN'T REMEMBER ANY THING. I SOLD THE ANNUITY CORRECTLY AND WITH A PROSPECTUS AND IT WAS APPROPRIATE FOR [CUSTOMER]. SETTLEMENT OF THIS CASE WAS DONE WITHOUT MY KNOWLEDGE OR INPUT AND I FEEL NO RESPONSIBILITY FOR THIS. [CUSTOMER] WAS CLEARLY SUITABLE FOR THIS INVESTMENT.



Disclosure 5 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE
Allegations:	THE CLIENT ALLEGED THAT VMS MORTGAGE INVESTMENT FUND DID NOT PERFORM AS GUARANTEED. THE CLIENT ALLEGED DAMAGES OF \$15,000.00
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	\$15,000.00

Customer Complaint Information

Date Complaint Received:	06/01/1991
Complaint Pending?	No
Status:	Settled
Status Date:	11/01/1991
Settlement Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	THIS CASE WAS SETTLED FOR \$10,000.00.I SOLD CLIENT 1500 SHARES OF VMS MORTGAGE INVESTMENT. THIS INVESTMENT WAS INSURED & GUARANTEED TO PAY \$1.20 PER YEAR DIVIDEND BY XEROX CORP. SHORTLY AFTER THE OFFERING THE INVESTMENT STOPPED PAYING DIVIDEND AND LOST ALL VALUE. THIS COMPLAINT SHOULD GO AGAINST THE UNDERWRITER WHO PROVIDE DUE DILIGENCE FOR ME AND THE MANAGER OF THE INVESTMENT- NOT AGAINST ME PERSONALLY.

Disclosure 6 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL-BACHE
Allegations:	THE CLIENT ALLEGED THAT VMS MORTGAGE INVESTMENT FUND DID NOT PERFORM AS GUARANTEED. THE CLIENT ALLEGED DAMAGES OF



\$15,000.00.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 06/27/1991

Complaint Pending? No

Status: Settled

Status Date: 11/01/1991

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement THIS CASE WAS SETTLED FOR \$10,000.00. I SOLD CLIENT 1500 SHARES OF VMS MORTGAGE INVESTMENT. THIS INVESTMENT WAS INSURED AND GUARANTEED TO PAY \$1.20 PER YEAR DIV. BY XEROX CORP. IT HAD A AAA RATING FROM S&P AND WAS SUITABLE FOR THIS CLIENT. SHORTLY AFTER THE OFFERING INVESTMENT STOPPED PAYING DIV AND LOST ALMOST ALL OF ITS VALUE. COMPLAINT SHOULD BE AGAINST THE UNDERWRITERS AND MANAGERS OF THE INVESTMENT NOT AGAINST ONE PERSONALLY.

Disclosure 7 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEGES AN UNSUITABLE PURCHASE OF VMS MORTGAGE INVESTMENT CORP WITH ALLEGED DAMAGES IN EXCESS OF \$30,000.00

Product Type: Debt - Corporate

Other Product Type(s): BOND FUND - LIMITED PARTNERSHIP

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/20/1990



Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 12/30/1992

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: AAA

Date Notice/Process Served: 11/27/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/1992

Monetary Compensation Amount: \$81,000.00

Individual Contribution Amount: \$0.00

Broker Statement

CLIENT PURCHASED 3600 SHARES VMS MORTGAGE INVESTMENT AT MY RECOMMENDATION. I WAS INFORMED THAT THE \$1.20 PER YEAR DIVIDEND WAS INSURED BY XEROX CORP. THE RATING GIVEN THE INVESTMENT WAS AAA BY S&P AND WITH AN INSURED DIVIDEND I FELT IT WAS A VERY APPROPRIATE AND SAFE INVESTMENT. IT TURNED OUT THAT VMS WENT BANKRUPTCY AND CLIENT LOST THEIR MONEY. THE BANKRUPTCY OR OMISSION OF DIVIDEND WAS CERTAINLY NOT MY FAULT. THIS WAS AN INVESTMENT RISK THAT I COULD NOT FORESEE AND DID NOT EXPECT



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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PSI
Allegations:	WRITTEN COMPLAINT REGARDING ANNUITY PURCHASED IN 1998 ALLEGED THAT FA IGNORED ACCOUNT AND THAT CUSTOMER WAS LOST MONEY AS A RESULT.
Product Type:	Annuity-Variable
Alleged Damages:	\$46,000.00
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:	01/21/2003
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	10/18/2010
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DENY THE ALLEGATIONS MADE AND BELIEVE THEY HAVE NO MERIT WHATSOEVER. TO THE CONTRARY, I MANAGED HER ACCOUNTS PROFESSIONALLY AND SPENT MANY HOURS WITH HER REVIEWING AND UPDATING HER STATUS. ***THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.



Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations:

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/26/1997

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PSI

Allegations: CLIENT DEMANDED REVERSAL OF 1035 ANNUITY EXCHANGE TO AVOID WITHDRAW PENALTY OF \$11,062.17.

Product Type: No Product

Alleged Damages: \$11,062.17

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: 09/26/1997

Complaint Pending? No



Status: Closed/No Action

Status Date: 10/18/2010

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.

End of Report



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