

BrokerCheck Report
DON PERSONS WYSE
 CRD# 1417139

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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.

DON P. WYSE

CRD# 1417139

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

IA WELLS FARGO ADVISORS
 433 N CAMDEN DR 9TH & 12TH FLS
 [LA-RBO]
 BEVERLY HILLS, CA 90210
 CRD# 19616
 Registered with this firm since: 06/12/2020

B WELLS FARGO CLEARING SERVICES, LLC
 433 N CAMDEN DR 9TH & 12TH FLS
 [LA-RBO]
 BEVERLY HILLS, CA 90210
 CRD# 19616
 Registered with this firm since: 06/12/2020

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:**

- 11 Self-Regulatory Organizations
- 44 U.S. states and territories

This broker has passed:

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

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

- IA UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 01/2009 - 07/2020
- B UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 Los Angeles, CA
 01/2009 - 07/2020
- IA DEUTSCHE BANK SECURITIES INC.**
 CRD# 2525
 NEW YORK, NY
 06/2001 - 01/2009

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



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 11 SROs and is licensed in 44 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 BZX Exchange, Inc.	General Securities Representative	Approved	06/12/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	06/12/2020
B FINRA	General Securities Representative	Approved	06/12/2020
B NYSE American LLC	General Securities Representative	Approved	06/12/2020
B NYSE Arca, Inc.	General Securities Representative	Approved	06/12/2020
B NYSE Texas, Inc.	General Securities Representative	Approved	06/12/2020
B Nasdaq GEMX, LLC	General Securities Representative	Approved	06/12/2020
B Nasdaq ISE, LLC	General Securities Representative	Approved	06/12/2020
B Nasdaq PHLX LLC	General Securities Representative	Approved	06/12/2020
B Nasdaq Stock Market	General Securities Representative	Approved	06/12/2020
B New York Stock Exchange	General Securities Representative	Approved	06/12/2020

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	07/09/2020
B Alaska	Agent	Approved	07/09/2020

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	06/12/2020
B	Arkansas	Agent	Approved	07/09/2020
IA	California	Investment Adviser Representative	Approved	06/12/2020
B	California	Agent	Approved	06/15/2020
B	Colorado	Agent	Approved	06/29/2020
B	Connecticut	Agent	Approved	06/16/2020
B	Delaware	Agent	Approved	06/12/2020
B	District of Columbia	Agent	Approved	06/12/2020
B	Florida	Agent	Approved	06/12/2020
B	Georgia	Agent	Approved	06/12/2020
B	Hawaii	Agent	Approved	03/05/2025
B	Idaho	Agent	Approved	06/15/2020
B	Illinois	Agent	Approved	06/12/2020
B	Indiana	Agent	Approved	07/10/2020
B	Kansas	Agent	Approved	02/24/2021
B	Kentucky	Agent	Approved	06/24/2020
B	Louisiana	Agent	Approved	06/12/2020
B	Maine	Agent	Approved	06/15/2020
B	Maryland	Agent	Approved	06/12/2020
B	Michigan	Agent	Approved	06/12/2020
B	Minnesota	Agent	Approved	06/12/2020

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Mississippi	Agent	Approved	06/12/2020
B	Missouri	Agent	Approved	06/12/2020
B	Montana	Agent	Approved	06/19/2020
B	Nebraska	Agent	Approved	06/12/2020
B	Nevada	Agent	Approved	07/10/2020
B	New Hampshire	Agent	Approved	06/12/2020
B	New Jersey	Agent	Approved	06/12/2020
B	New York	Agent	Approved	06/12/2020
B	North Carolina	Agent	Approved	06/12/2020
B	Ohio	Agent	Approved	06/12/2020
B	Oklahoma	Agent	Approved	06/16/2020
B	Oregon	Agent	Approved	06/15/2020
B	Pennsylvania	Agent	Approved	06/12/2020
B	Rhode Island	Agent	Approved	06/12/2020
B	South Carolina	Agent	Approved	06/30/2020
B	Tennessee	Agent	Approved	06/12/2020
B	Texas	Agent	Approved	06/12/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	06/12/2020
B	Utah	Agent	Approved	06/16/2020
B	Vermont	Agent	Approved	06/22/2020
B	Virginia	Agent	Approved	06/17/2020



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	07/09/2020
B	Wisconsin	Agent	Approved	06/12/2020

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC
433 N CAMDEN DR 9TH & 12TH FLS
[LA-RBO]
BEVERLY HILLS, CA 90210



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, 2 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 General Securities Representative Examination	Series 7	01/16/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/30/1999
B Uniform Securities Agent State Law Examination	Series 63	08/03/1988

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 01/2009 - 07/2020	UBS FINANCIAL SERVICES INC.	8174	Los Angeles, CA
B 01/2009 - 07/2020	UBS FINANCIAL SERVICES INC.	8174	Los Angeles, CA
IA 06/2001 - 01/2009	DEUTSCHE BANK SECURITIES INC.	2525	LOS ANGELES, CA
B 01/2001 - 01/2009	DEUTSCHE BANK SECURITIES INC.	2525	LOS ANGELES, CA
B 02/2000 - 01/2001	DB ALEX. BROWN LLC	17790	BALTIMORE, MD
B 07/1993 - 02/2000	SALOMON SMITH BARNEY INC.	7059	NEW YORK, NY
B 12/1991 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 06/1990 - 11/1991	BEAR, STEARNS & CO. INC.	79	NEW YORK, NY
B 04/1988 - 07/1990	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
B 01/1988 - 02/1988	BARABAN SECURITIES, INC.	7659	

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
06/2020 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BEVERLY HILLS, CA, United States
01/2009 - 06/2020	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	CENTURY CITY, CA, United States

Registration and Employment History



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.

CO-TRUSTEE OF MOTHER'S TRUST; INV. RELATED; FULLERTON, CA; START DATE 2/2022; 2 HRS PER MONTH; 0 HRS DURING TRADING.

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



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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL BACHE SECURITIES INC.
Allegations:	MISREPRESENTATION; ACCOUNT RELATED-ERRORS-CHARGES; ACCOUNT RELATED-NEGLIGENCE; OTHER
Product Type:	
Alleged Damages:	\$300,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #90-02276
Date Notice/Process Served:	10/08/1990
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	09/24/1991
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,611.00 JOINTLY AND SEVERALL



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES INC.

Allegations: MISREPRESENTATIONS AND UNAUTHORIZED PURCHASES OF BONDS.

Product Type:

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/24/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 90-02276](#)

Date Notice/Process Served: 10/08/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/24/1991

Monetary Compensation Amount: \$25,611.00

Individual Contribution Amount:

Firm Statement CLAIMANT AWARDED \$25,611.00 ON A CLAIM OF \$300,000.00. CLIENT ALLEGED MISREPRESENTATIONS AND UNAUTHORIZED PURCHASES OF BONDS; BOTH BROKER AND FIRM DENIED ALL ALLEGATIONS. CLIENT WAS AWARDED ONLY \$25,611.00 ON HIS



CLAIM OF \$300,000.00.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PRUDENTIAL BACHE SECURITIES INC.

Allegations: MISREPRESENTATION OF SECURITY BACKING SEVERAL BONDS

Product Type:

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/24/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD; 90-02276](#)

Date Notice/Process Served: 10/08/1990

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 09/24/1991

Monetary Compensation Amount: \$25,611.00

Individual Contribution Amount:

Broker Statement CLAIMANT AWARDED \$25,611.00 ON A CLAIM OF \$300,000.00.



Not Provided



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:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLAIMANT ALLEGES THAT MR. WYSE RECOMMENDED SEVERAL HIGH-RISK INVESTMENTS, WHICH WERE INAPPROPRIATE IN LIGHT OF CLAIMANT'S CONSERVATIVE INVESTMENT GOALS. CLAIMANT FURTHER ALLEGES THAT MR. WYSE FAILED TO ADEQUATELY EXPLAIN THE RISKS ASSOCIATED WITH THESE INVESTMENTS AND THAT MR. WYSE CAUSED CLAIMANT TO INCUR LARGE COMMISSIONS, MARGIN AND LOAN INTEREST CHARGES THAT WERE INCONSISTENT WITH CLAIMANT'S CONSERVATIVE GOALS. THE ACTIVITY PERIOD WAS FROM DECEMBER 2007 UNTIL FEBRUARY 2009. MR. WYSE AND DBSI DENY THE ALLEGATIONS OF WRONGDOING.
Product Type:	Equity Listed (Common & Preferred Stock) Options Other: CURRENCIES, REIT
Alleged Damages:	\$1,500,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT SEEKS IN EXCESS OF \$1.5 MILLION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	FINRA CASE NO. 09-07261
Date Notice/Process Served:	01/14/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/24/2011
Monetary Compensation Amount:	\$825,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DEUTSCHE BANK SECURITIES INC. ("DBSI")

Allegations: CLAIMANT ALLEGES THAT MR. WYSE RECOMMENDED SEVERAL HIGH-RISK INVESTMENTS, WHICH WERE INAPPROPRIATE IN LIGHT OF CLAIMANT'S CONSERVATIVE INVESTMENT GOALS. CLAIMANT FURTHER ALLEGES THAT MR. WYSE FAILED TO ADEQUATELY EXPLAIN THE RISKS ASSOCIATED WITH THESE INVESTMENTS AND THAT MR. WYSE CAUSED CLAIMANT TO INCUR LARGE COMMISSIONS, MARGIN AND LOAN INTEREST CHARGES THAT WERE INCONSISTENT WITH CLAIMANT'S CONSERVATIVE GOALS. THE ACTIVITY PERIOD WAS FROM DECEMBER 2007 UNTIL FEBRUARY 2009. MR. WYSE AND DBSI DENY THE ALLEGATIONS OF WRONGDOING.

Product Type: Equity Listed (Common & Preferred Stock)
Options
Other: CURRENCIES, REIT

Alleged Damages: \$1,500,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT SEEKS IN EXCESS OF \$1.5 MILLION.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: NO. 09-07261

Date Notice/Process Served: 01/14/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/24/2011

Monetary Compensation Amount: \$825,000.00



Individual Contribution Amount: \$0.00

Broker Statement UPON REVIEW THE LOSSES SUSTAINED WERE A RESULT OF TRADING FOLLOWING THE FINANCIAL ADVISOR'S DEPARTURE FROM DEUTSCHE BANK AND NOT A RESULT OF ADVICE PROMULGATED BY THE ADVISOR. THIS SETTLEMENT DOES NOT REFLECT ANY ACKNOWLEDGEMENT OR ADMISSION OF ANY LIABILITY OR MISCONDUCT ON THE PART OF THE ADVISOR. MR. WYSE WAS DISMISSED FROM THE CLAIM AND WAS NOT ASKED TO PERSONALLY CONTRIBUTE ANY AMOUNT TOWARDS THE SETTLEMENT OF THIS CASE. DEUTSCHE BANK RESOLVED THIS ISSUE SOLELY FOR BUSINESS REASONS TO AVOID POTENTIAL COST AND UNCERTAINTIES OF THE ARBITRATION FORUM. IT IS UNDERSTOOD THE REPORTING OF THIS MATTER IS REQUIRED BY FINRA RULES, THE ADVISOR HAD FILED FOR EXPUNGEMENT UNDER APPLICABLE FINRA RULES BASED UPON THE FACT HE WAS NOT INVOLVED IN THE ALLEGED VIOLATIONS. CLAIMANTS DID NOT OPPOSE THE REQUEST FOR EXPUNGEMENT AND THE PROCEEDING HAS COMMENCED WITH FINRA.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED MISREPRESENTATIONS REGARDING THE RISK AND YIELD ASSOCIATED WITH THE POLARIS AIRCRAFT INCOME FUND AND HIGH YIELD CORPORATE BOND FUND. ALLEGED DAMAGES, \$86,000.00.

Product Type:

Alleged Damages: \$86,000.00

Customer Complaint Information

Date Complaint Received: 07/12/1991

Complaint Pending? No

Status: Settled

Status Date: 04/14/1992

Settlement Amount: \$70,221.51

Individual Contribution Amount:

**Firm Statement**

CLIENT TO RESCIND POLARIS AIRCRAFT INCOME FUND SHARES. SETTLEMENT AMOUNT PAID TO CLIENTS \$70,221.51. CLIENT ALLEGED THAT F/A HAD MISREPRESENTED THE NATURE OF THE POLARIS AIRCRAFT INCOME FUND AND THE CORPORATE HIGH YIELD BOND FUND. ALTHOUGH FIRM AND F/A DENY ANY SUCH MISREPRESENTATION CLIENT WAS ALLOWED TO RESCIND HER POLARIS SHARES (LESS DISTRIBUTIONS EARNED).

Reporting Source:

Broker

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

NOT PROVIDED

Product Type:**Alleged Damages:**

\$86,000.00

Customer Complaint Information**Date Complaint Received:**

07/12/1991

Complaint Pending?

No

Status:

Settled

Status Date:

04/14/1992

Settlement Amount:

\$70,221.51

Individual Contribution Amount:**Broker Statement**

TRADE REVERSED. AMOUNT PAID TO CLIENT, \$70,221.51, REPRESENTED REFUND OF PURCHASE PRICE MINUS PARTNERSHIP DISTRIBUTIONS RECEIVED BY CLIENT SINCE PURCHASE. ZERO-BALANCE TRANSACTION. PLEASE ARCHIVE. SETTLED BY REVERSAL OF TRADE FOR NO DAMAGES, COMPLAINT MORE THAN 24 MONTHS OLD. NO LONGER REPORTABLE. SEQUENT DRP #13873.

Disclosure 3 of 3**Reporting Source:**

Firm



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

Allegations: BREACH OF FIDUCIARY DUTY, MISREPRESENTATION
ALLEGED DAMAGES OF \$138,000

Product Type:

Alleged Damages: \$138,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: US DISTRICT; CENTRAL DIST. OF CA; 910422RSWL

Date Notice/Process Served: 01/17/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/01/1992

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Firm Statement PAYMENT OF \$60,000 WITH NO CONTRIBUTION FROM
BROKER
Not Provided

Reporting Source: Broker



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

Allegations: UNSUITABLE INVESTMENTS ALLEGED LOSSES APPROXIMATELY \$70,000

Product Type:

Alleged Damages: \$138,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: US DISTRICT; CENTRAL DIST. OF CA; 910422RSWL

Date Notice/Process Served: 01/17/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/01/1992

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLEMENT \$60,000 WHICH WAS PAID BY PRUDENTIAL. THE BROKER WAS NOT ASKED TO CONTRIBUTE TOWARDS THIS SETTLEMENT.
Not Provided



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:	Firm
Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLIENT ALLEGES CLIENT ADVISOR MADE MISREPRESENTATIONS AND OMISSIONS OF FACTS RELATING TO HIS INVESTMENTS, WHICH CAUSED LOSSES. ACTIVITY PERIOD IS JANUARY, 2003 TO MARCH, 2009.
Product Type:	Debt-Municipal Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT REQUESTED TO BE REIMBURSED FOR LOSSES, WHICH THE FIRM MADE A GOOD FAITH DETERMINATION THAT LOSSES EXCEEDED \$5000.
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:	05/27/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2009
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	DEUTSCHE BANK SECURITIES INC. ("DBSI")
Allegations:	CLIENT ALLEGES CLIENT ADVISOR MADE MISREPRESENTATIONS AND OMISSIONS OF FACTS RELATING TO HIS INVESTMENTS, WHICH CAUSED LOSSES. ACTIVITY PERIOD IS JANUARY, 2003 TO MARCH, 2009.
Product Type:	Debt-Municipal Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT REQUESTED TO BE REIMBURSED FOR LOSSES, WHICH THE FIRM MADE A GOOD FAITH DETERMINATION THAT LOSSES EXCEEDED \$5000.
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:	05/27/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2009
Settlement Amount:	

Individual Contribution Amount:

Broker Statement	I HAVE BEEN INVOLVED IN DIVORCE LITIGATION FOR THE LAST SEVEN YEARS AND IN THE COURSE OF THAT LITIGATION I UNCOVERED ERRORS IN CREDITS TO MY ACCOUNT WITH MY DIVORCE COUNSEL [CUSTOMER]. SPECIFICALLY, IN 2004, [CUSTOMER] FAILED TO POST PAYMENTS THAT I HAD MADE TO HIM FOR HIS LEGAL SERVICES IN THE AMOUNT(S) OF \$19,998.00. FINALLY IN SEPTEMBER OF 2008, [CUSTOMER], GRUDGINGLY, ADMITTED TO RECEIPT OF SAID PAYMENTS AND AGREED TO CREDIT THEM TO MY LEDGER.
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IN JANUARY 2009 I MOVED MY PRACTICE FROM DEUTSCHE BANK TO UBS. MY EX-WIFE MADE A REQUEST FOR ATTORNEYS FEES BASED ON A CLAIM THAT I HAD RECEIVED COMPENSATION FROM UBS AND THE FACT THAT SHE WAS NO LONGER EMPLOYED.

[CUSTOMER] ATTEMPTED TO EXTORT A PAYMENT FOR LOSSES IN OPTIONS AND DEBT INCURRED IN Q4, 2008. [CUSTOMER] EXPRESSED A VIEW THAT SINCE I HAD BEEN PAID BY UBS, I SHOULD QUIETLY PAY HIM OR HE WOULD LODGE A COMPLAINT WITH DEUTSCHE BANK. DEUTSCHE BANK HAS DENIED THE CLAIM AND BASED ON THEIR INTERNAL REVIEW, HAVE CONCLUDED THERE WAS NO ERROR OR CULPABILITY ON MY PART.

ADDITIONALLY, THE INFORMATION REPORTED ON FORM U-4 DRP SEC. 5 IS INCORRECT. THE PRODUCTS INVOLVED WERE NOT LISTED EQUITIES AND MUNICIPALS AS CHECKED. THEY WERE DEBT-CORPORATE AND INDEX OPTIONS.

Disclosure 2 of 2

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$145,000.00

Customer Complaint Information

Date Complaint Received: 05/19/2000

Complaint Pending? No

Status: Withdrawn

Status Date: 07/18/2000

Settlement Amount:

Individual Contribution Amount:



Firm Statement ATTORNEY - JOHN DOUGHERTY - 212-783-7822

Reporting Source: Broker

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

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS. CUSTOMER IS THE CLIENT OF AN R.I.A. HIS COMPLAINT IS NOT WITH MR. WYSE, BUT WITH HIS R.I.A. MR. WYSE HAS NEVER SPOKEN WITH OR CONTACTED CUSTOMER. CUSTOMER HAS BEEN INFORMED OF HIS MISTAKE, AND AS SUCH, HAS WITHDRAWN HIS COMPLAINT.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$145,000.00

Customer Complaint Information

Date Complaint Received: 05/19/2000

Complaint Pending? No

Status: Withdrawn

Status Date: 07/14/2000

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

End of Report



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