

BrokerCheck Report

MARK PIETY CATRON

CRD# 2123353

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

**MARK P. CATRON**

CRD# 2123353

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

IA WELLS FARGO ADVISORS
 901 EMMET ST N
 CHARLOTTESVILLE, VA 22903
 CRD# 19616
 Registered with this firm since: 11/30/2018

B WELLS FARGO CLEARING SERVICES, LLC
 123 E MAIN ST
 FLOORS 1,3,4 & 6
 CHARLOTTESVILLE, VA 22902
 CRD# 19616
 Registered with this firm since: 11/30/2018

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
- 10 U.S. states and territories

This broker has passed:

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

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

- IA SUNTRUST ADVISORY SERVICES, INC.**
 CRD# 283390
 ATLANTA, GA
 09/2016 - 12/2018
- B SUNTRUST INVESTMENT SERVICES, INC.**
 CRD# 17499
 HARRISONBURG, VA
 11/2010 - 12/2018
- IA SUNTRUST INVESTMENT SERVICES, INC.**
 CRD# 17499
 ATLANTA, GA
 11/2010 - 12/2016

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 10 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	11/30/2018
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/30/2018
B	FINRA	General Securities Representative	Approved	11/30/2018
B	NYSE American LLC	General Securities Representative	Approved	11/30/2018
B	NYSE Arca, Inc.	General Securities Representative	Approved	11/30/2018
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/30/2018
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq ISE, LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq PHLX LLC	General Securities Representative	Approved	11/30/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	11/30/2018
B	New York Stock Exchange	General Securities Representative	Approved	11/30/2018

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/19/2021
B	Georgia	Agent	Approved	11/30/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	05/02/2024
B	Mississippi	Agent	Approved	02/19/2021
B	New York	Agent	Approved	04/29/2019
B	North Carolina	Agent	Approved	11/30/2018
B	Ohio	Agent	Approved	04/30/2021
B	South Carolina	Agent	Approved	07/06/2022
B	Texas	Agent	Approved	11/30/2018
IA	Texas	Investment Adviser Representative	Restricted Approval	12/03/2018
B	Virginia	Agent	Approved	11/30/2018
IA	Virginia	Investment Adviser Representative	Approved	11/30/2018

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

123 E MAIN ST
FLOORS 1,3,4 & 6
CHARLOTTESVILLE, VA 22902

WELLS FARGO CLEARING SERVICES, LLC

901 EMMET ST N
CHARLOTTESVILLE, VA 22903

WELLS FARGO CLEARING SERVICES, LLC

SHIPMAN, VA



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/07/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/11/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/21/1996
B Uniform Securities Agent State Law Examination	Series 63	03/25/1991

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 09/2016 - 12/2018	SUNTRUST ADVISORY SERVICES, INC.	283390	HARRISONBURG, VA
B 11/2010 - 12/2018	SUNTRUST INVESTMENT SERVICES, INC.	17499	HARRISONBURG, VA
IA 11/2010 - 12/2016	SUNTRUST INVESTMENT SERVICES, INC.	17499	HARRISONBURG, VA
B 08/2007 - 11/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTESVILLE, VA
IA 08/2007 - 11/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	CHARLOTTESVILLE, VA
IA 06/2003 - 09/2007	WACHOVIA SECURITIES, LLC	19616	CHARLOTTESVILLE, VA
B 06/2003 - 09/2007	WACHOVIA SECURITIES, LLC	19616	CHARLOTTESVILLE, VA
IA 12/2001 - 06/2003	UBS FINANCIAL SERVICES INC.	8174	CHARLOTTE, NC
B 02/2001 - 06/2003	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
B 10/2000 - 02/2001	FIRST UNION SECURITIES, INC.	19616	ST. LOUIS, MO
B 04/1993 - 10/2000	FIRST UNION BROKERAGE SERVICES, INC.	8112	CHARLOTTE, NC
B 04/1993 - 04/1993	FIRST UNION BROKERAGE SERVICES, INC.	8112	
B 03/1991 - 04/1993	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

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
11/2018 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ROANOKE, VA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2016 - 11/2018	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
11/2010 - 11/2018	SUNTRUST INVESTMENT SERVICES, INC	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

SOUTHERN SULKY CART AND HARNESS; NOT INVESTMENT RELATED; SHIPMAN,VA; 100% OWNERSHIP; START DATE 01/01/2000; NUMBER OF HOURS PER MONTH 2; NUMBER OF HOURS DURING TRADING 0; OWNER.

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: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC.

Allegations: CLIENT CLAIMS THAT 24 CHECKS WERE HAND DELIVERED TO FA IN 3/06 FOR DEPOSIT INTO HIS TWO CHILDREN'S AMERICAN FUNDS 529 PLANS. THE CHECKS WERE NEVER CASHED. CLIENT BEGAN INQUIRY IN MARCH 2007 INTO THE ISSUE WITH THE FA. DEPOSITS WERE MADE INTO 529 PLANS AT THAT TIME WITH NEW CHECKS. FA AND SA BOTH LEFT THE FIRM WITH THE ISSUE UNRESOLVED AND UNREPORTED TO MANAGEMENT. CLIENT BROUGHT ISSUE TO MANAGER'S ATTENTION IN DECEMBER 2007. CLIENT WANTS TO BE COMPENSATED FOR LOST APPRECIATION FROM 3/06 TO 3/07 WHICH HAS BEEN CALCULATED BY AMERICAN FUNDS TO BE \$10,518.30.

Product Type: Other

Other Product Type(s): AMERICAN FUNDS-529 PLANS

Alleged Damages: \$10,518.30

Customer Complaint Information

Date Complaint Received: 01/29/2008

Complaint Pending? No

Status: Settled

Status Date: 03/12/2008



Settlement Amount: \$8,718.30

Individual Contribution Amount: \$8,718.30

Firm Statement A CHECK WAS SENT TO AMERICAN FUNDS AND THEY DISTRIBUTED THE FUNDS BETWEEN THE 24 ACCOUNTS. COST TO THE FIRM WAS \$8,718.30.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC

Allegations: CLIENT CLAIMS THAT 24 CHECKS WERE HAND DELIVERED TO FA IN 3/06 FOR DEPOSIT INTO HIS TWO CHILDREN'S AMERICAN FUNDS 529 PLANS. PLANS. THE CHECKS WERE NEVER CASHED. CLIENT BEGAN INQUIRY IN MARCH 2007 INTO THE ISSUE WITH THE FA. DEPOSITS WERE MADE INTO 529 PLANS AT THAT TIME WITH NEW CHECKS. FA AND SA BOTH LEFT THE FIRM WITH THE ISSUE UNRESOLVED AND UNREPORTED TO MANAGEMENT. CLIENT BROUGHT ISSUE TO MANAGER'S ATTENTION IN DECEMBER 2007. (ALLEGATIONS CONT) CLIENT WANTS TO BE COMPENSATED FOR LOST APPRECIATION FROM 3/06 TO 3/07 WHICH HAS BEEN CALCULATED BY AMERICAN FUNDS TO BE \$10,518.30.

Product Type: Other: 529 PLAN

Alleged Damages: \$10,518.30

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: 01/29/2008

Complaint Pending? No

Status: Settled

Status Date: 03/12/2008

Settlement Amount: \$8,718.30

Individual Contribution Amount: \$8,718.30



Arbitration Information

Disposition: Award to Customer

Disposition Date: 03/12/2008

Civil Litigation Information

Disposition:

Disposition Date: 03/12/2008

Broker Statement

A CHECK WAS SENT TO AMERICAN FUNDS AND THEY DISTRIBUTED THE FUNDS BETWEEN THE 24 ACCOUNTS. COST TO THE FIRM WAS \$8,718.30.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT THE ANNUITY THAT SHE PURCHASED HAS A LONGER SURRENDER PERIOD THAN THE 4 YEARS THAT WAS REPRESENTED BY THE FA. ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN \$5,000.00. (03/16/2006)
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN \$5,000.00.
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:	03/17/2011
Complaint Pending?	No
Status:	Settled
Status Date:	05/18/2011
Settlement Amount:	\$3,887.41
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT THE ANNUITY THAT SHE PURCHASED HAS A LONGER SURRENDER PERIOD THAN THE 4 YEARS THAT WAS REPRESENTED BY THE FA. ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN \$5,000.00 (03/16/2006)
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	ALLEGES UNSPECIFIED DAMAGES BUT DETERMINED TO BE GREATER THAN \$5,000.00
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:	03/17/2011
Complaint Pending?	No
Status:	Settled
Status Date:	05/18/2011
Settlement Amount:	\$3,887.41
Individual Contribution Amount:	\$0.00
Broker Statement	ALL WACHOVIA CLIENTS SIGN AND RECEIVE COPIES OF THE SURRENDER SCHEDULES, AND THEY ARE ALSO DISCLOSED TO THE CLIENT AT THE TIME OF SALE.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION BROKERAGE SERVICES, INC.



Allegations: CLAIMANTS ALLEGE THAT THE BROKER MISREPRESENTED THE RISKS AND THE EXPENSES ASSOCIATED WITH CERTAIN BOND FUNDS THAT HE RECOMMENDED TO THE CLAIMANTS BETWEEN 02/97 THRU 12/99

Product Type: Other

Other Product Type(s): BOND FUNDS

Alleged Damages: \$39,000.00

Customer Complaint Information

Date Complaint Received: 02/21/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/21/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO.: 01-00583

Date Notice/Process Served: 02/21/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/29/2002

Monetary Compensation Amount: \$12,500.00

Individual Contribution Amount: \$0.00

Firm Statement FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON BEHALF OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$12,500.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	FIRST UNION BROKERAGE SERVICES
Allegations:	CLAIMANTS ALLEGE THAT THE BROKER MISREPRESENTED THE RISKS AND THE EXPENSES ASSOCIATED WITH CERTAIN BOND FUNDS THAT HE RECOMMENDED TO CLAIMANTS.
Product Type:	Mutual Fund
Alleged Damages:	\$39,000.00
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:	02/21/2001
Complaint Pending?	No
Status:	Settled
Status Date:	02/21/2001
Settlement Amount:	\$12,500.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Disposition:	Settled
Disposition Date:	01/29/2002
Broker Statement	FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON BEHALF OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$12,500.



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 ALLEGES THAT THE FA RECOMMENDED LIQUIDATING A MUTUAL FUND THAT WAS HELD BY THE CLIENT SHORT TERM TO PURCHASE A VARIABLE ANNUITY WHICH WAS INCONSISTENT WITH HIS INVESTMENT PROFILE. THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER THAN \$5,000. (04/03/2007)
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER 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:	02/16/2010
Complaint Pending?	No
Status:	Denied
Status Date:	03/30/2010
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	COMPLAINT DENIED BY FIRM.



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WELLS FARGO ADVISORS, LLC

Allegations: CLIENT ALLEGES THAT THE FA RECOMMENDED LIQUIDATING A MUTUAL FUND THAT WAS HELD BY THE CLIENT SHORT TERM TO PURCHASE A VARIABLE ANNUITY WHICH WAS INCONSISTENT WITH HIS INVESTMENT PROFILE. THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER THAN \$5,000. (04/03/2007)

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT ALLEGES UNSPECIFIED DAMAGES, BUT DETERMINED TO BE GREATER 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: 02/16/2010

Complaint Pending? No

Status: Denied

Status Date: 03/30/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement COMPLAINT DENIED BY FIRM.

Disclosure 2 of 3

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: MERRILL LYNCH PIERCE FENNER & SMITH, INC

Allegations: CLIENT ALLEGES THAT SHE WAS LED TO BELIEVE THAT HER ANNUITY WOULD NOT LOSE VALUE DUE TO MARKET FLUCTUATIONS.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 04/29/2008

Complaint Pending? No

Status: Withdrawn

Status Date: 04/30/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, INC.

Allegations: CLIENT ALLEGES THAT REP, MARK CATRON, ADVISED HER THE UIT'S SHE WAS PURCHASING WERE SAFER THAN CD'S. CLIENT ALSO ALLEGES WHEN SHE SOLD OPPENHEIMER FUNDS TO PURCHASE ALLIANCE AND AIM SHE WAS NOT ADVISED TO ANY COST

Product Type: Unit Investment Trust(s)

Alleged Damages: \$16,627.41

Customer Complaint Information



Date Complaint Received: 07/29/2002
Complaint Pending? No
Status: Denied
Status Date: 11/22/2002
Settlement Amount:
Individual Contribution Amount:
Firm Statement CLAIM DENIED

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES INC.

Allegations: CLIENT ALLEGED THAT SHE WAS ADVISED THAT THE UIT'S SHE WAS PURCHASING WERE SAFER THAN CD'S. CLIENT ALSO ALLEGED WHEN SHE SOLD OPPENHEIMER FUNDS TO PURCHASE ALLIANCE AND AIM SHE WAS NOT ADVISED OF ANY COST.

Product Type: Unit Investment Trust
Alleged Damages: \$16,627.41
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: 07/29/2002
Complaint Pending? No
Status: Denied
Status Date: 11/22/2002
Settlement Amount:
Individual Contribution Amount:



Broker Statement

COMPLAINT FROM CLIENT WAS DENIED.

End of Report



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