

BrokerCheck Report

THOMAS E VELASQUEZ

CRD# 2770464

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When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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:
 - o 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
 - o 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.

www.finra.org/brokercheck
User Guidance

THOMAS E. VELASQUEZ

CRD# 2770464

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

WELLS FARGO ADVISORS
770 TAMALPAIS DR STE 220

[NN-RBO] CORTE MADERA, CA 94925 CRD# 19616

Registered with this firm since: 01/03/2011

B WELLS FARGO CLEARING SERVICES, LLC

770 TAMALPAIS DR STE 220 [NN-RBO] CORTE MADERA, CA 94925 CRD# 19616 Registered with this firm since: 01/03/2011

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
- 11 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):

- WELLS FARGO INVESTMENTS, LLC CRD# 10582 SAN FRANCISCO, CA 07/2001 - 01/2011
- B WELLS FARGO INVESTMENTS, LLC CRD# 10582 MILL VALLEY, CA 05/2001 - 01/2011
- B WELLS FARGO SECURITIES INC. CRD# 17438 SAN FRANCISCO, CA 09/1999 - 05/2001

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:

Туре	Count	
Customer Dispute	5	

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 11 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	12/01/2021
B	FINRA	General Securities Representative	Approved	01/03/2011
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	01/03/2011
B	New York Stock Exchange	General Securities Representative	Approved	01/24/2011
	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	03/29/2018
B B	Arizona California	Agent Agent	Approved Approved	03/29/2018 01/03/2011
			• •	
В	California	Agent	Approved	01/03/2011
B	California California	Agent Investment Adviser Representative	Approved Approved	01/03/2011
B A B	California California Delaware	Agent Investment Adviser Representative Agent	Approved Approved	01/03/2011 01/03/2011 08/01/2024
B B B	California California Delaware Florida	Agent Investment Adviser Representative Agent Agent	Approved Approved Approved Approved	01/03/2011 01/03/2011 08/01/2024 01/03/2011

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	11/02/2018
B	Mississippi	Agent	Approved	10/30/2018
B	Nevada	Agent	Approved	10/12/2023
B	New York	Agent	Approved	11/09/2021
B	Oregon	Agent	Approved	05/26/2021
B	Texas	Agent	Approved	02/09/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	02/10/2023

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC 770 TAMALPAIS DR STE 220 [NN-RBO] CORTE MADERA, CA 94925

WELLS FARGO CLEARING SERVICES, LLC PRINCEVILLE, HI

WELLS FARGO CLEARING SERVICES, LLC SAN RAFAEL, CA

www.finra.org/brokercheck

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	08/02/1996

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/23/1999
В	Uniform Securities Agent State Law Examination	Series 63	08/12/1996

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/.

www.finra.org/brokercheck
User Guidance

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:

Reg	istration Dates	Firm Name	CRD#	Branch Location
IA	07/2001 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MILL VALLEY, CA
B	05/2001 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	MILL VALLEY, CA
B	09/1999 - 05/2001	WELLS FARGO SECURITIES INC.	17438	SAN FRANCISCO, CA
B	08/1996 - 07/1999	DEAN WITTER REYNOLDS INC.	7556	PURCHASE, 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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Υ	CORTE MADERA, CA, United States
01/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Υ	CORTE MADERA, 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.

RENTAL PROPERTY; INVESTMENT RELATED; PRINCEVILLE, HI; VACATION RENTAL; 100% OWNERSHIP; START DATE 2005; 0 HRS PER MONTH.

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:

- o 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:
 - o 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.
 - o 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	5	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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: Broker

Employing firm when activities occurred which led

to the complaint:

Allegations:

WELLS FARGO INVESTMENTS, LLC

THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE

SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD

ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.

ACTIVITY DATE(S): 5/2/2006

Product Type: Other: AUCTION RATE SECURITIES

No

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?

Customer Complaint Information

Date Complaint Received: 05/20/2009

Complaint Pending? No

Status: Settled

02/25/2010 Status Date:

Settlement Amount: \$225,000.00



Individual Contribution

Amount:

\$0.00

Broker Statement

THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL

SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE

REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO,

AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

WELLS FARGO INVESTMENTS, LLC

Allegations:

THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008.

ACTIVITY DATE(S): 12/19/2006

Product Type: Other: AUCTION RATE SECURITIES, LLC

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact):

GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE

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: 04/02/2008

Complaint Pending? No



Status: Settled

Status Date: 02/25/2010

Settlement Amount: \$50,000.00

Individual Contribution

Amount:

\$0.00

Broker Statement THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE

CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL

SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE

REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO,

AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF

FINRA REGULATORY NOTICE 09-12.

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when

activities occurred which led

to the complaint:

WELLS FARGO INVESTMENTS, LLC

Allegations: CLIENT CLAIMS SHE DID NOT APPROVE PURCHASE OF DWS DREMAN

VALUE FUND IN 11/06. CURRENT UNREALIZED LOSSES FOR THE POSITION

EXCEED \$5,000.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 12/19/2007

Complaint Pending? No

Status: Settled

Status Date: 04/24/2008

Settlement Amount: \$12,500.00



Individual Contribution Amount:

\$5,000,00

Broker Statement

IN JUNE 2006, I INITIALLY MET THIS CLIENT TO DISCUSS HER ASSETS WITH ANOTHER BROKER-DEALER SHE WAS CONSIDERING TRANSFERRING. HER PORTFOLIO WAS HEAVILY INVESTED IN INHERITED OIL STOCKS. SHE HAD SMALLER HOLDINGS IN BONDS/PREFERRED STOCK & TRUST ACCOUNT, PAYING A MONTHLY INCOME. HER STATED GOAL WAS INCOME & HER IMMEDIATE NEED WAS A SHORT TERM RATE FOR PROCEEDS FROM A REAL ESTATE SALE. CLIENT AGREED TO INVEST WITH ME & NEEDED TO DECIDE HOW TO BEST INVEST THIS MONEY ALONG WITH THE MONEY FROM A POSSIBLE TRANSFER. I SHOWED THE CLIENT VARIOUS SHORT TERM INVESTMENT OPTIONS & AGREED TO OPEN A WELLS FARGO BROKERAGE ACCOUNT. ADDITIONAL MONEY WAS DEPOSITED IN ACCOUNT IN JULY. IN SEPT 2006, WE MET & MATURED CD PROCEEDS WERE INVESTED IN MONEY MARKET, PENDING PURCHASE OF HOME. CLIENT ASKED ABOUT ANNUITIES & OTHER INVESTMENTS THAT PROVIDE INCOME. I RESEARCHED & ON 11/10/06 WE DISCUSSED A CLOSED-END INCOME MUTUAL FUND, A COMPLIMENT TO CURRENT HOLDINGS. DURING MEETING, WE REVIEWED LITERATURE/PROSPECTUS. WE DISCUSSED: PORTFOLIO'S LEAD MANAGER; HIS INVESTMENT STRATEGY; CONTRARIAN VALUE STRATEGIES VS. GROWTH STRATEGIES; ASPECTS OF CLOSED-END FUNDS; & FUNDS TOTAL RETURN STRATEGY, INCOME GOAL, & ANNUAL DIVIDEND PAID MONTHLY. I EXPLAINED & CLIENT UNDERSTOOD THAT MUTUAL FUNDS INVOLVE RISKS & THAT SHE WILL PAY A COMMISSION FOR NEW OFFERING. ON 11/13/06 I FOLLOWED-UP WITH THE CLIENT & RECOMMENDED THE SALE OF STOCK TO FUND PURCHASE. CLIENT AGREED TO THE SALE. USING AVAILABLE CASH. INVESTMENT REPRESENTED ROUGHLY 8% OF LIQUID ASSETS. IN FEB 2007, CLIENT WAS CONCERNED ABOUT FUNDS DECREASED VALUE. I REMINDED CLIENT HER PRIMARY GOAL WAS INCOME & FUND'S PRICE FLUCTUATIONS DON'T EFFECT INCOME DISTRIBUTION. I TOLD THE CLIENT TO STICK WITH IT TO CONTINUE TO TAKE THE INCOME SHE NEEDED OR WE COULD SELL IF SHE WAS NOT COMFORTABLE WITH FURTHER PRICE DECLINES. CLIENT AGREED TO GIVE THE FUND MORE TIME. THE CLIENT DIDN'T RAISE AN ISSUE OF UNAUTHORIZED TRADES, UNTIL AFTER THE FUND BEGAN TO LOSE VALUE.

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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:

Allegations:

ALLEGES SHE CONSENTED TO PURCHASE THE SECURITY BASED ON

NUMEROUS MISREPRESENTATIONS AND MATERIAL OMISSIONS OF FACTS

CONCERNING THE INVESTMENT BY MR. VELASQUEZ.

WELLS FARGO INVESTMENTS, LLC.

Product Type: Mutual Fund(s)

Alleged Damages: \$15,826.46

Customer Complaint Information

Date Complaint Received: 08/17/2006

Complaint Pending? No

Status: Denied

Status Date: 09/18/2006

Settlement Amount:

Individual Contribution

Amount:

Broker Statement ON 3/3/06, THE CLIENT WAS REFERRED TO ME BY HER PERSONAL BANKER

IN TIBURON. THE CLIENT HAD \$1.5MM TO INVEST AND WAS LOOKING FOR IDEAS OTHER THAN THE PRODUCTS OFFERED BY THE RETAIL BANK. ON 4/4/06, I MET WITH THE CLIENT. SHE CONFIRMED THAT SHE COULD

INVEST \$1.5MM FOR WELL OVER 12 MONTHS. THE CLIENT DID NOT WANT ANY MORE EQUITY INVESTMENTS, AS THOSE WERE BEING HANDLED BY

HER HUSBAND, WHO RUNS AN EQUITY MANAGEMENT FIRM IN SAN FRANCISCO. THE CLIENT DID WANT TO LEARN ABOUT INCOME IDEAS THAT HER PERSONAL BANKER MENTIONED I USE WITH MY CLIENTS. I THEN DESCRIBED IN DETAIL THE FEATURES, BENEFITS, COSTS AND RISKS OF BOTH THE 7 DAY AUCTION RATE PREFERRED AND THE ING SENIOR INCOME FLOATING RATE MUTUAL FUNDS. MY RECOMMENDATION WAS TO INVEST \$500K IN 7 DAY AUCTION AND \$1MM IN THE ING SENIOR INCOME



FUND. I TOLD THE CLIENT THAT A \$1MM OR MORE INVESTMENT IN THE ING SENIOR INCOME FUND DOES NOT HAVE UPFRONT SALES CHARGES, BUT DOES HAVE A 1% CDSC WITHIN THE FIRST 12 MONTHS. I THEN TOLD THE CLIENT THAT THE 7 DAY AUCTION PREFERRED DOES NOT HAVE A FEE TO PURCHASE. I GAVE THE CLIENT COPIES OF THE SALES LITERATURE AND PROSPECTUS FOR THE ING SENIOR INCOME FUND THAT WE REVIEWED. THE CLIENT SAID SHE WOULD TAKE THEM HOME AND REVIEW MY IDEAS WITH HER HUSBAND. ON 4/5, MY ASSISTANT SENT NEW ACCOUNT PAPERWORK TO THE CLIENTS. ON 5/2, A NEW TRUST ACCOUNT WAS OPENED FOR THE CLIENTS. THE CLIENT CONFIRMED TO ME THAT SHE WANTED TO INVEST THE ENTIRE AMOUNT IN THE ING SENIOR INCOME FUND.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

WELLS FARGO SECURITIES INC

Allegations: UNAUTHORIZED TRADE

Product Type: Unit Investment Trust(s)

Alleged Damages: \$7,337.00

Customer Complaint Information

Date Complaint Received: 03/14/2002

Complaint Pending? No

Status: Denied

Status Date: 04/26/2002

Settlement Amount:

Individual Contribution

Amount:

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End of Report



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