BrokerCheck Report

JOHN ELI FRICK

CRD# 2967029

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.
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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.

JOHN E. FRICK

CRD# 2967029

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

IA **REALTA INVESTMENT ADVISORS, INC**
2350 FREEDOM WAY
SUITE 101
YORK, PA 17402
CRD# 134952
Registered with this firm since: 06/18/2018

B **REALTA EQUITIES, INC.**
1853 William Penn Way
Suite 19
Lancaster, PA 17601
CRD# 23769
Registered with this firm since: 06/14/2018

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:

- 1 Self-Regulatory Organization
- 3 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 **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**
CRD# 149018
SAINT PETERSBURG, FL
03/2009 - 06/2018

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
LANCASTER, PA
03/2009 - 06/2018

IA **WACHOVIA SECURITIES, LLC**
CRD# 19616
ST. LOUIS, MO
07/2003 - 03/2009

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	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 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**

Main Office Address: **12636 HIGH BLUFF DRIVE**
SUITE 300
SAN DIEGO, CA 92130

Firm CRD#: **23769**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2018

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	12/16/2024
B	Florida	Agent	Approved	06/14/2018
B	Pennsylvania	Agent	Approved	06/14/2018

Branch Office Locations

REALTA EQUITIES, INC.
1853 William Penn Way
Suite 19
Lancaster, PA 17601

Employment 2 of 2

Firm Name: **REALTA INVESTMENT ADVISORS, INC**

Main Office Address: **1201 N. ORANGE STREET**
SUITE 729
WILMINGTON, DE 19801

Broker Qualifications

Employment 2 of 2, continued

Firm CRD#: **134952**

	U.S. State/ Territory	Category	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	06/18/2018

Branch Office Locations

1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801

2350 FREEDOM WAY
SUITE 101
YORK, PA 17402

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	General Securities Representative Examination	Series 7	06/30/1999
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	11/28/1997

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	01/29/2003
B	Uniform Securities Agent State Law Examination	Series 63	03/21/1998

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	03/2009 - 06/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	LANCASTER, PA
B	03/2009 - 06/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	LANCASTER, PA
IA	07/2003 - 03/2009	WACHOVIA SECURITIES, LLC	19616	LANCASTER, PA
B	07/2003 - 03/2009	WACHOVIA SECURITIES, LLC	19616	LANCASTER, PA
IA	02/2003 - 07/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	YORK, PA
B	10/1999 - 07/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	11/2001 - 11/2001	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ
B	12/1997 - 10/1999	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	12/1997 - 10/1999	METROPOLITAN LIFE INSURANCE COMPANY	4095	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
06/2018 - Present	REALTA EQUITIES, INC.	REGISTERED REP	Y	WILMINGTON, DE, United States
06/2018 - Present	REALTA INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REP	Y	WILMINGTON, DE, United States
09/2017 - 06/2018	Fulton Financial Advisors	Investment Adviser	Y	Lancaster, PA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2012 - 06/2018	FAA CORE STRATEGIES	OWNER	N	LANCASTER, PA, United States
01/2012 - 06/2018	CORE STRATEGIES	SUPPORT COMPANY/DBA (OWNER)	N	LANCASTER, PA, United States
03/2009 - 06/2018	FULTON FINANCIAL CORPORATION	INVESTMENT ADVISER	Y	LANCASTER, PA, United States
03/2009 - 06/2018	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	LANCASTER, PA, United States
03/2009 - 06/2018	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	LANCASTER, PA, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1. REALTA INVESTMENT ADVISORS, INC.; WILMINGTON, DE; INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE; WWW.REALTAWEALTH.COM; COMPENSATION IN THE FOR OF FEES; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS.

2. DBA NAME OF NEW ERA WEALTH MANAGEMENT; OPERATOR OF MARKETING & OWNER; 10 HOURS PER WEEK, DURING TRADING HOURS. THIS IS MERELY BRANDING AND BUILDING A MARKETING PLATFORM.

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	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 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC
Allegations:	FAILURE TO FOLLOW INSTRUCTIONS
Product Type:	Other: MANAGED/WRAP ACCOUNTS (IN-HOUSE MONEY MANAGER
Alleged Damages:	$0.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	08/09/2011
Complaint Pending?	No
Status:	Settled
Status Date:	09/15/2011
Settlement Amount:	$16,720.07
Individual Contribution Amount:	$0.00

Disclosure 2 of 4

Reporting Source: Firm

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

Allegations: CLIENT STATES THAT HE WAS INFORMED THAT HIS FUNDS WOULD BE AVAILABLE ON A 7-DAY BASIS AND THAT HE RELIED ON THIS INFORMATION. HE REQUESTS THAT WACHOVIA TAKE RESPONSIBILITY FOR NOT WARNING HIM OF THE RISK OF LACK OF LIQUIDITY IN HIS INVESTMENT. (5/15/2007)

Product Type: Other: ARS CLOSED FUNDS

Alleged Damages: $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: 05/05/2008

Complaint Pending? No

Status: Settled

Status Date: 08/15/2008

Settlement Amount: $150,000.00

Individual Contribution Amount: $0.00

Firm Statement THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS

TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	CLIENT STATES THAT HE WAS INFORMED THAT HIS FUNDS WOULD BE AVAILABLE ON A 7-DAY BASIS AND THAT HE RELIED ON THIS INFORMATION. HE REQUESTS THAT WACHOVIA TAKE RESPONSIBILITY FOR NOT WARNING HIM OF THE RISK OF LACK OF LIQUIDITY IN HIS INVESTMENT. (5/15/2007)
Product Type:	Other: ARS CLOSED FUNDS
Alleged Damages:	$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:	05/05/2009
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2008
Settlement Amount:	$150,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR

FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

THIS COMPLAINT AROSE OUT OF THE UNPRECEDENTED ILLIQUIDITY IN THE AUCTION RATE SECURITIES MARKET, A SITUATION THE FA DID NOT CAUSE AND OVER WHICH THE FA HAD NO CONTROL.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ATTORNEY FOR PA CLIENT WRITES THAT FA REPRESENTED ARPS AS SAFE AND LIQUID. CLIENT HAS $400,000 IN ARPS. (12/5/07)
Product Type:	Other: ARS CLOSED END FUNDS
Alleged Damages:	$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:	04/25/2008
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2008
Settlement Amount:	$150,000.00
Individual Contribution Amount:	$0.00
Firm Statement	"THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS).

THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12."

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	ATTORNEY FOR PA CLIENT WRITES THAT FA REPRESENTED ARPS AS SAFE AND LIQUID. CLIENT HAS $400,000 IN ARPS. (12/5/07)
Product Type:	Other: ARS CLOSED END FUNDS
Alleged Damages:	$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:	04/25/2008
Complaint Pending?	No
Status:	Settled
Status Date:	08/15/2008
Settlement Amount:	$150,000.00
Individual Contribution Amount:	$0.00

Broker Statement	"THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHETHER THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENTS TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12." THIS COMPLAINT AROSE OUT OF THE UNPRECEDENTED ILLIQUIDITY IN THE AUCTION RATE SECURITIES MARKET, A SITUATION THE FA DID NOT CAUSE AND OVER WHICH THE FA HAD NO CONTROL.

Disclosure 4 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, LLC
Allegations:	THE CLIENT CLAIMS THAT HIS FINANCIAL ADVISOR DID NOT PROMPTLY INVEST THE FUNDS RECEIVED INTO HIS CHILDREN'S ACCOUNTS. THE CLIENT CLAIMS THAT THE DELAY COST HIM LOST OPPORTUNITY OF APPROXIMATELY $11,000.
Product Type:	Mutual Fund(s)
Alleged Damages:	$11,000.00

Customer Complaint Information

Date Complaint Received:	02/11/2005
Complaint Pending?	No
Status:	Settled
Status Date:	04/26/2005
Settlement Amount:	$8,670.02

Individual Contribution Amount:	$5,808.91
Broker Statement	AS A BUSINESS DECISION AND WITHOUT ADMITTING ANY LIABILITY ON THE PART OF THE FIRM OR THE FINANCIAL ADVISOR, THE FIRM SETTLED THE MATTER FOR $8,670.02.

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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS, LLC
Allegations:	CLIENT ALLEGES THAT HE PROVIDED THE FA INSTRUCTIONS TO LIQUIDATE SECURITIES WHEN THE S&P HIT A SPECIFIC TARGET. THE SALE DID NOT TAKE PLACE AS PROMISED AND THE PORTFOLIO DROPPED ANOTHER $12,000. (02/19/2009)
Product Type:	Other: EXCHANGE TRADED FUNDS
Alleged Damages:	$12,000.00
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:	09/11/2009
Complaint Pending?	No
Status:	Denied
Status Date:	10/23/2009
Settlement Amount:	
Individual Contribution Amount:	

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

Allegations:	CLIENT ALLEGES THAT HE PROVIDED THE FA INSTRUCTIONS TO LIQUIDATE SECURITIES WHEN THE S&P HIT A SPECIFIC TARGET. THE SALE DID NOT TAKE PLACE AS PROMISED AND THE PORTFOLIO DROPPED ANOTHER $12,000. (02/19/2009)
Product Type:	Other: EXCHANGE TRADED FUNDS
Alleged Damages:	$12,000.00
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:	09/11/2009
Complaint Pending?	No
Status:	Denied
Status Date:	10/23/2009
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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