

BrokerCheck Report

MARK GEORGE SCHLIG

CRD# 2975568

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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.

**MARK G. SCHLIG**

CRD# 2975568

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

IA WELLS FARGO ADVISORS
 500 SILVER SPUR RD
 3RD FL STE 300
 ROLLING HILLS ESTATES, CA 90275
 CRD# 19616
 Registered with this firm since: 05/29/2020

B WELLS FARGO CLEARING SERVICES, LLC
 500 SILVER SPUR RD
 3RD FL STE 300
 ROLLING HILLS ESTATES, CA 90275
 CRD# 19616
 Registered with this firm since: 05/29/2020

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
- 10 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 & ASSOCIATES, INC.**
 CRD# 705
 ST. PETERSBURG, FL
 01/2008 - 06/2020
- B RAYMOND JAMES & ASSOCIATES, INC.**
 CRD# 705
 ROLLING HILLS ESTATES, CA
 01/2008 - 06/2020
- B WACHOVIA SECURITIES, LLC**
 CRD# 19616
 TORRANCE, CA
 01/2008 - 01/2008

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
Criminal	1
Customer Dispute	7
Termination	1



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	05/29/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/29/2020
B	FINRA	General Securities Representative	Approved	05/29/2020
B	NYSE American LLC	General Securities Representative	Approved	05/29/2020
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/29/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	05/29/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	05/29/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/29/2020
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/29/2020
B	Nasdaq Stock Market	General Securities Representative	Approved	05/29/2020
B	New York Stock Exchange	General Securities Representative	Approved	05/29/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	05/29/2020
IA	California	Investment Adviser Representative	Approved	05/29/2020



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	02/17/2022
B	Connecticut	Agent	Approved	05/29/2020
B	Florida	Agent	Approved	06/01/2020
B	Missouri	Agent	Approved	01/14/2021
B	Nevada	Agent	Approved	06/11/2020
B	New York	Agent	Approved	05/29/2020
B	North Carolina	Agent	Approved	06/09/2020
B	Tennessee	Agent	Approved	05/09/2025
B	Texas	Agent	Approved	05/29/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	05/29/2020

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

500 SILVER SPUR RD
3RD FL STE 300
ROLLING HILLS ESTATES, CA 90275

WELLS FARGO CLEARING SERVICES, LLC

REDONDO BEACH, CA



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 Futures Managed Funds Examination	Series 31	06/04/2008
B General Securities Representative Examination	Series 7	12/10/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	01/14/1998
B Uniform Securities Agent State Law Examination	Series 63	12/30/1997

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 01/2008 - 06/2020	RAYMOND JAMES & ASSOCIATES, INC.	705	ROLLING HILLS ESTATES, CA
B 01/2008 - 06/2020	RAYMOND JAMES & ASSOCIATES, INC.	705	ROLLING HILLS ESTATES, CA
B 01/2008 - 01/2008	WACHOVIA SECURITIES, LLC	19616	TORRANCE, CA
IA 12/2001 - 01/2008	A. G. EDWARDS & SONS, INC.	4	TORRANCE, CA
B 12/2001 - 01/2008	A. G. EDWARDS & SONS, INC.	4	TORRANCE, CA
B 11/1999 - 11/2001	UBS PAINEWEBBER INC.	8174	WEEHAWKEN, NJ
B 12/1997 - 12/1999	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
05/2020 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	ROLLING HILLS ESTATES, CA, United States
01/2008 - 05/2020	RAYMOND JAMES & ASSOCIATES, INC.	FINANCIAL ADVISOR	Y	ROLLING HILLS ESTATES, 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.

No information reported.

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
Criminal	0	1	0
Customer Dispute	0	7	N/A
Termination	N/A	1	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	LOS ANGELES COUNTY ORANGE COUNTY
Charge Date:	09/09/1981
Charge Details:	CHARGED WRONGLY WITH ASSAULT WITH A DEADLY WEAPON - LATER DISMISSED DUE TO MISTAKEN IDENTITY NO COMPLAINT FILED
Felony?	Yes
Current Status:	Final
Status Date:	09/09/1981
Disposition Details:	DISMISSED BEFORE TRIAL OR HEARING NO COMPLAINT FILED
Broker Statement	MISTAKEN IDENTITY



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 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION, UNAUTHORIZED TRADING, EXCESSIVE TRADING AND SUITABILITY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$129,315.00

Customer Complaint Information

Date Complaint Received: 07/31/2002

Complaint Pending? No

Status: Settled

Status Date: 01/17/2003

Settlement Amount: \$49,999.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER

Allegations: CLIENT ALLEGES MISREPRESENTATION, UNAUTHORIZED TRADING, EXCESSIVE TRADING AND SUITABILITY

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$129,315.00

Customer Complaint Information

Date Complaint Received: 07/31/2002

Complaint Pending? No



Status:	Settled
Status Date:	01/17/2003
Settlement Amount:	\$49,999.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CLAIMANTS ALLEGE OVER-CONCENTRATION AND UNAUTHORIZED TRADES IN A SPECULATIVE STOCK.
Product Type:	Equity - OTC
Alleged Damages:	\$500,000.00

Customer Complaint Information

Date Complaint Received:	02/14/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/02/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 02-01475
Date Notice/Process Served:	05/02/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2002



Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	ORIGINAL CLAIM CAME IN AS TWO SEPARATE COMPLAINTS. CLAIMANTS FORMULA ONE & ALEX PRODUCTION FILED A JOINT ARBITRATION.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER
Allegations:	CLAIMANTS ALLEGE OVER-CONCENTRATION AND UNAUTHORIZED TRADES IN A SPECULATIVE STOCK
Product Type:	Equity - OTC
Alleged Damages:	\$500,000.00

Customer Complaint Information

Date Complaint Received:	05/02/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/02/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET #02-01475
Date Notice/Process Served:	05/02/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2002



Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	ORIGINAL CLAIM CAME IN AS TWO SEPARATE COMPLAINTS. CLAIMANTS FORMULA ONE AND ALEX PRODUCTION FILED A JOINT ARBITRATION.

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CLAIMANTS ALLEGE OVER-CONCENTRATION AND UNAUTHORIZED TRADES IN A SPECULATIVE STOCK.
Product Type:	Equity - OTC
Alleged Damages:	\$500,000.00

Customer Complaint Information

Date Complaint Received:	02/14/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/02/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 02-01475
Date Notice/Process Served:	05/02/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2002



Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	ORIGINAL CLAIM CAME IN AS TWO SEPARATE COMPLAINTS. CLAIMANTS FORMULA ONE & ALEX PRODUCTION FILED A JOINT ARBITRATION.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER
Allegations:	CLAIMANTS ALLEGE OVER-CONCENTRATION AND UNAUTHORIZED TRADES IN A SPECULATIVE STOCK
Product Type:	Equity - OTC
Alleged Damages:	\$500,000.00

Customer Complaint Information

Date Complaint Received:	05/02/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	05/02/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET #02-01475
Date Notice/Process Served:	05/02/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/20/2002



Monetary Compensation Amount:	\$100,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	ORIGINAL CLAIM CAME IN AS TWO SEPARATE COMPLAINTS. CLAIMANTS FORMULA ONE AND ALEX PRODUCTION FILED A JOINT ARBITRATION

Disclosure 4 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINWEBBER INC.
Allegations:	CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, MISREPRESENTATION, FRAUD, UNSUITABLE AND UNAUTHORIZED TRADES RESULTING IN OVERCONCENTRATION OF SPECULATIVE TECHNOLOGY STOCKS.
Product Type:	Equity - OTC
Alleged Damages:	\$101,421.00

Customer Complaint Information

Date Complaint Received:	10/01/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	10/01/2001
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - DOCKET # 01-04814
Date Notice/Process Served:	10/01/2001
Arbitration Pending?	No
Disposition:	Settled



Disposition Date: 12/26/2001

Monetary Compensation Amount: \$65,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY, NEGLIGENCE, MISREPRESENTATION, FRAUD, UNSUITABLE AND UNAUTHORIZED TRADES RESULTING IN OVERCONCENTRATION OF SPECULATIVE TECHNOLOGY STOCKS.

Product Type: Equity - OTC

Alleged Damages: \$101,421.00

Customer Complaint Information

Date Complaint Received: 10/01/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - DOCKET # 01-04814

Date Notice/Process Served: 10/01/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/26/2001

Monetary Compensation \$65,000.00

**Amount:****Individual Contribution** \$0.00**Amount:****Broker Statement**

[CUSTOMERS]'S CLAIMS ARE WITHOUT MERIT. THE INVESTMENTS IN THE ACCOUNT MET [CUSTOMER] CLEARLY STATED OBJECTIVES INCLUDING RISK TOLERANCE AND TIME FRAME. ALL INVESTMENTS WERE DISCUSSED PRIOR TO TRANSACTION. I CONDUCTED ON GOING CONSULTATIONS WITH [CUSTOMERS] ON A REGULAR BASIS. AS STATED IN SETTLEMENT AGREEMENT:

"IT IS FURTHER UNDERSTOOD AND AGREED THAT THIS SETTLEMENT IS THE COMPROMISE OF DOUBTFUL AND DISPUTED CLAIMS AND THAT THE PAYMENT IS NOT TO BE CONSTRUED AS AN ADMISSION OF LIABILITY ON THE PART OF RESPONDENTS NAMED IN THE ACTION, WHICH LIABILITY IS EXPRESSLY DENIED."

UBS / PAINWEBBER SOLEY MADE SETTLEMENT WITH THE CLAIMANTS AND MARK SCHLIG DID NOT PARTICIPATE IN ANY MONETARY COMPENSATION TO CLAIMANTS. HE ALSO DENIES ANY AND ALL ALLEGATIONS AGAINST HIM IN THIS MATTER.

Disclosure 5 of 6**Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** UBS PAINWEBBER INC.**Allegations:** CLIENT VERBALLY COMPLAINS THAT THE EXTENT OF MARGIN AND THE EQUITIES TRANSACTIONS IN HIS ACCOUNT WERE UNSUITABLE FOR HIS PROFILE. HE DEMANDS RETURN OF COMMISSIONS FOR TRADES INVOLVING MICRON STOCK.**Product Type:** Equity - OTC**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 06/14/2000**Complaint Pending?** No**Status:** Settled**Status Date:** 08/07/2000**Settlement Amount:** \$12,000.00



Individual Contribution Amount: \$7,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: PAINWEBBER INC

Allegations: CLIENT VERBALLY COMPLAINS THAT THE EXTENT OF MARGIN AND THE EQUITIES TRANSACTIONS IN HIS ACCOUNT WERE UNSUITABLE FOR HIS PROFILE. HE DEMANDS RETURN OF COMMISSIONS FOR TRADES INVOLVING MICRON STOCK.

Product Type: Equity - OTC

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 06/14/2000

Complaint Pending? No

Status: Settled

Status Date: 08/07/2000

Settlement Amount: \$12,000.00

Individual Contribution Amount: \$7,000.00

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC.

Allegations: CLIENT ALLEGED THAT CITREX SYSTEMS, INC. STOCK WAS UNSUITABLE AND THAT IT WAS TOO HIGHLY CONCENTRATED IN HIS ACCOUNT BY FA.

Product Type: Equity - OTC

Alleged Damages: \$18,000.00

Customer Complaint Information

Date Complaint Received: 06/30/2000



Complaint Pending?	No
Status:	Settled
Status Date:	08/09/2000
Settlement Amount:	\$7,000.00
Individual Contribution Amount:	\$3,500.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PAINWEBBER INC

Allegations:	CLIENT ALLEGED THAT CITREX SYSTEMS, INC. STOCK WAS UNSUITABLE AND THAT IT WAS TOO HIGHLY CONCENTRATED IN HIS ACCOUNT BY FA.
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Product Type:	Equity - OTC
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Alleged Damages:	\$18,000.00
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Customer Complaint Information

Date Complaint Received:	06/30/2000
Complaint Pending?	No
Status:	Settled
Status Date:	08/09/2000
Settlement Amount:	\$7,000.00
Individual Contribution Amount:	\$3,500.00



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:	Broker
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND DID NOT SETTLE FOR \$15,000 OR MORE** CLIENT ALLEGES SUITABILITY - ACTIVITY DATES ARE FROM 1/25/09 THRU 5/26/09
Product Type:	Debt-Corporate
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DOLLAR AMOUNT ALLEGED - FIRM ESTIMATES IN EXCESS OF \$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:	06/12/2009
Complaint Pending?	No
Status:	Denied
Status Date:	07/16/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	**UPDATE - THIS DISCLOSURE IS NO LONGER REPORTABLE ON THE CURRENT U4 BECAUSE IT WAS FILED MORE THAN 24 MONTHS AGO AND



DID NOT SETTLE FOR \$15,000 OR MORE**



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	PAINEWEBBER
Termination Type:	Discharged
Termination Date:	11/09/2001
Allegations:	MR. SCHLIG WAS DISCHARGED DUE TO CONCERNS REGARDING A RECENT UNRESOLVED CUSTOMER COMPLAINT AND FAILURE TO FULLY MEET THE TERMS OF A BUSINESS PLAN.
Product Type:	Other
Other Product Types:	
Broker Statement	MR. SCHLIG WAS DISCHARGED ON 11/9/01.

End of Report



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