

## BrokerCheck Report

### ROGER LOWELL WILKIE

CRD# 467135

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7
Disclosure Events	8



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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.



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**

**ROGER L. WILKIE**

CRD# 467135

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

**IA STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
 40 CORPORATE WOODS BUILDING  
 9401 INDIAN CREEK PARKWAY, SUITE 1100  
 OVERLAND PARK, KS 66210  
 CRD# 793  
 Registered with this firm since: 04/20/2021

**B STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
 40 CORPORATE WOODS BUILDING  
 9401 INDIAN CREEK PARKWAY, SUITE 1100  
 OVERLAND PARK, KS 66210  
 CRD# 793  
 Registered with this firm since: 04/20/2021

**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
- 30 U.S. states and territories

**This broker has passed:**

- 3 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 WELLS FARGO CLEARING SERVICES, LLC**  
 CRD# 19616  
 ST. LOUIS, MO  
 03/2007 - 04/2021
- B WELLS FARGO CLEARING SERVICES, LLC**  
 CRD# 19616  
 OVERLAND PARK, KS  
 09/1990 - 04/2021
- B BLUNT ELLIS & LOEWI INCORPORATED**  
 CRD# 7580  
 10/1983 - 09/1990

**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
Regulatory Event	1
Customer Dispute	6
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 6 SROs and is licensed in 30 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Office Address: **501 NORTH BROADWAY  
ST. LOUIS, MO 63102**

Firm CRD#: **793**

SRO	Category	Status	Date
B Cboe BZX Exchange, Inc.	General Securities Representative	APPROVED	04/20/2021
B FINRA	General Securities Representative	APPROVED	04/21/2021
B NYSE American LLC	General Securities Representative	APPROVED	04/20/2021
B Nasdaq PHLX LLC	General Securities Representative	APPROVED	04/20/2021
B Nasdaq Stock Market	General Securities Representative	APPROVED	04/20/2021
B New York Stock Exchange	General Securities Representative	APPROVED	04/20/2021

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	APPROVED	04/21/2021
B Arkansas	Agent	APPROVED	05/14/2021
B California	Agent	APPROVED	04/21/2021
B Colorado	Agent	APPROVED	08/26/2021
B Connecticut	Agent	APPROVED	05/05/2021
B Delaware	Agent	APPROVED	05/05/2021
B District of Columbia	Agent	APPROVED	04/21/2021



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Florida	Agent	APPROVED	06/21/2021
<b>B</b> Georgia	Agent	APPROVED	05/20/2021
<b>B</b> Idaho	Agent	APPROVED	04/21/2021
<b>B</b> Indiana	Agent	APPROVED	04/21/2021
<b>B</b> Iowa	Agent	APPROVED	04/23/2021
<b>IA</b> Kansas	Investment Adviser Representative	APPROVED	04/20/2021
<b>B</b> Kansas	Agent	APPROVED	04/21/2021
<b>B</b> Kentucky	Agent	APPROVED	04/21/2021
<b>B</b> Louisiana	Agent	APPROVED	04/21/2021
<b>B</b> Maryland	Agent	APPROVED	04/21/2021
<b>B</b> Minnesota	Agent	APPROVED	05/05/2021
<b>B</b> Missouri	Agent	APPROVED	07/21/2021
<b>B</b> Montana	Agent	APPROVED	04/21/2021
<b>B</b> Nebraska	Agent	APPROVED	07/09/2021
<b>B</b> New Mexico	Agent	APPROVED	04/21/2021
<b>B</b> New York	Agent	APPROVED	04/21/2021
<b>B</b> North Carolina	Agent	APPROVED	04/21/2021
<b>B</b> Oklahoma	Agent	APPROVED	07/21/2021
<b>B</b> South Carolina	Agent	APPROVED	05/12/2021
<b>B</b> Tennessee	Agent	APPROVED	04/30/2021
<b>B</b> Texas	Agent	APPROVED	06/29/2021



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
<b>B</b> Utah	Agent	APPROVED	05/17/2021
<b>B</b> Virginia	Agent	APPROVED	07/30/2021
<b>B</b> Wisconsin	Agent	APPROVED	04/30/2021

### Branch Office Locations

**STIFEL, NICOLAUS & COMPANY, INCORPORATED**  
40 CORPORATE WOODS BUILDING  
9401 INDIAN CREEK PARKWAY, SUITE 1100  
OVERLAND PARK, KS 66210

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## 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.

**This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Registered Options Principal Examination	Series 4	11/03/1983
<b>B</b> NYSE Branch Manager Examination	Series 12	10/26/1983
<b>B</b> General Securities Principal Examination	Series 24	01/19/1983

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> NYSE Allied Member Examination	Series 41	01/15/1983
<b>B</b> Registered Representative Examination	Series 1	04/18/1966

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/10/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	02/09/1981

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/](http://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
<b>IA</b> 03/2007 - 04/2021	WELLS FARGO CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS
<b>B</b> 09/1990 - 04/2021	WELLS FARGO CLEARING SERVICES, LLC	19616	OVERLAND PARK, KS
<b>B</b> 10/1983 - 09/1990	BLUNT ELLIS & LOEWI INCORPORATED	7580	
<b>B</b> 01/1973 - 11/1983	B.C. CHRISTOPHER SECURITIES CO.	60	
<b>B</b> 07/1970 - 02/1973	F I DUPONT GLORE FORGAN & CO	1000002	

### 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
04/2021 - Present	Stifel Nicolaus & Co Inc	Financial Advisor	Y	Overland Park, KS, United States
11/2016 - 04/2021	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	OVERLAND PARK, KS, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	OVERLAND PARK, KS, 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
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
Regulatory Event	0	1	0
Customer Dispute	0	6	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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	01/11/1990
<b>Docket/Case Number:</b>	KC-467
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BLUNT ELLIS & LOEWI, INC
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	10/10/1990
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$50,000.00



Suspension

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

[TOP] COMPLAINT NO. KC-467 FILED 1/11/90 BY DISTRICT NO. 4 AGAINST RESPONDENTS BLUNT ELLIS & LOEWI, INC., WILLIAM MILTON ROSENBERGER, ROGER LOWELL WILKIE, ET AL. ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2, 15(b), 18, 19(e) AND 27 OF THE RULES OF FAIR PRACTICE IN THAT ROSENBERGER MADE RECOMMENDATIONS TO A CUSTOMER WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT THE RECOMMENDATIONS WERE SUITABLE; EXERCISED DISCRETION OVER THE SECURITIES ACCOUNTS OF CUSTOMERS AND EXECUTED PURCHASE AND SALES TRANSACTIONS WITHOUT OBTAINING PRIOR WRITTEN DISCRETIONARY AUTHORITY FROM THE CUSTOMERS AND WITHOUT ACCEPTANCE OF THOSE SECURITIES ACCOUNTS AS DISCRETIONARY BY B.C. CHRISTOPHER AND BLUNT ELLIS; FAILED TO STATE MATERIAL FACTS TO A CUSTOMER WITH RESPECT TO CERTAIN SECURITIES TRANSACTIONS; EXECUTED TRANSACTIONS WHICH WERE NOT IN THE BEST INTERESTS OF THE CUSTOMER; RECOMMENDED AND INDUCED A CUSTOMER TO INCREASE HER MARGIN DEBIT BALANCE BY MAKING LOANS TO RESPONDENT ROSENBERGER FOR HIS OWN USE TO SUPPORT THE MARGIN DEBIT BALANCE IN HIS SECURITIES ACCOUNT; SIGNED CUSTOMER NAMES TO A MARGIN AGREEMENT WITHOUT THEIR KNOWLEDGE OR CONSENT; PURCHASED SHARES OF COMMON STOCK IN THE ACCOUNTS OF CUSTOMERS WITHOUT THEIR KNOWLEDGE AND CONSENT; GUARANTEED CUSTOMERS AGAINST LOSS IN CONNECTION WITH UNAUTHORIZED PURCHASES OF SECURITIES; BLUNT ELLIS, ACTING THROUGH HOFFMAN, SIMONO AND WILKIE, FAILED TO PROPERLY SUPERVISE ROSENBERGER; DECISION RENDERED 10/10/90, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY BLUNT ELLIS & LOEWI, INC., HOFFMAN, SIMONO AND WILKIE WAS ACCEPTED; THEREFORE, RESPONDENT MEMBER AND WILKIE ARE CENSURED AND FINED \$50,000, JOINTLY AND SEVERALLY, AND WILKIE IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD AS A REGISTERED PRINCIPAL FOR 30 DAYS. 12/3/90 PRESS RELEASE: THE SUSPENSION WILL BEGIN 12/3/90 AND WILL END 1/1/91.



\*\*\*\$50,000.00 J&S PAID ON 11/2/90 INVOICE #90-04-1195\*\*\*

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 01/11/1990

**Docket/Case Number:** KC-467

**Employing firm when activity occurred which led to the regulatory action:** BLUNT ELLIS & LOEWI, INC

**Product Type:**

**Other Product Type(s):**

**Allegations:** THE COMPLAINT ALLEGES THAT MR. WILKIE, ACTING IN HIS CAPACITY AS BRANCH OFFICE MANAGER, FAILED TO ADEQUATELY AND PROPERLY SUPERVISE A FORMER REGISTERED REPRESENTATIVE OF BLUNT ELLIS & LOEWI INCORPORATED.

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 10/10/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$50,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** UNDER THE TERMS OF THE OFFER, MR. WILKIE HAS CONSENTED, WITHOUT ADMITTING OR DENYING THE ALLEGATIONS OF THE COMPLAINT, TO FINDINGS OF VIOLATIONS BY THE COMMITTEE, AS WELL AS THE IMPOSITION OF THE SANCTIONS. MR. WILKIE WAS FOUND TO HAVE VIOLATED ARTICLE III, SECTION 1 AND 27 OF THE ASSOCIATION'S RULES OF FAIR PRACTICE AS ALLEGED IN THE COMPLAINT. AS A RESULT, MR. WILKIE WAS CENSURED, FINED \$50,000,



JOINTLY AND SEVERALLY WITH BEL, AND WAS SUSPENDED FOR 30 DAYS AS A REGISTERED PRINCIPAL ONLY. THE \$50,000 WAS PAID BY BLUNT ELLIS & LOEWI.

**Broker Statement**

Not Provided



## 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

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	BLUNT ELLIS & LOEWI
<b>Allegations:</b>	SUITABILITY; UNAUTHORIZED TRADING; CHURNING
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$423,545.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	<a href="#">NASD - CASE #89-02372</a>
<b>Date Notice/Process Served:</b>	11/04/1988
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Other
<b>Disposition Date:</b>	07/31/1990
<b>Disposition Detail:</b>	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$25,000.0

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	BLUNT ELLIS & LOEWI
<b>Allegations:</b>	THE CUSTOMERS ALLEGE THAT I DID NOT ADEQUATELY SUPERVISE [BROKER], A REGISTERED REPRESENTATIVE IN THE OFFICE I MANAGE. ADDITIONALLY, THE CUSTOMERS ALLEGE SECTION 10(B) VIOLATIONS, MISSOURI SECURITIES ACT VIOLATION, FRAUD AND MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY. THEY SEEK \$432,545.00 IN COMPENSATORY DAMAGES AND UNSPECIFIED PUNITIVE



DAMAGES.

**Product Type:****Alleged Damages:** \$423,545.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:****Settlement Amount:****Individual Contribution  
Amount:****Arbitration Information****Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 89-02372](#)**Date Notice/Process Served:** 11/04/1988**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 07/31/1990**Monetary Compensation  
Amount:** \$25,000.00**Individual Contribution  
Amount:****Broker Statement** N/A





## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	<p>**LITIGATION ALLEGATIONS: PLAINTIFFS ALLEGE THAT FA MISREPRESENTED INVESTMENTS IN CERTIFICATES OF PARTICIPATION IN 1998. PLAINTIFFS ARE REQUESTING DAMAGES IN EXCESS OF \$25,000.00</p> <p>**ARBITRATION ALLEGATIONS: A COMMUNITY BANK ALLEGES THAT FA MISREPRESENTED INVESTMENTS IN CERTIFICATES OF PARTICIPATION IN 1998 AND, AS A RESULT, SUSTAINED PRINCIPAL AMOUNT LOSSES OF \$1,400,000 PLUS ADDITIONAL PRINCIPAL AND INTEREST LOSSES OF \$870,000.</p>
<b>Product Type:</b>	Debt-Municipal
<b>Alleged Damages:</b>	\$2,270,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	10-04358
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/05/2010

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/07/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/27/2011
<b>Settlement Amount:</b>	\$110,000.00



**Individual Contribution Amount:** \$0.00

**Broker Statement**

FA'S RESPONSE: I OFFERED THE BONDS TO THE TRUST OFFICER OF THE BANK BASED ON HIS PREVIOUS HIGH YIELD MUNI BOND PURCHASES. HE WAS SENT A PROSPECTUS ON THE BONDS. I DID NOT MISREPRESENT THE BOND OFFERING.  
 \*\*\*DISPOSITION: WITHOUT ADMITTING ANY LIABILITY, THE FIRM SETTLED THE MATTER ON 5/27/11 FOR \$110,000 TO AVOID THE EXPENSE AND UNCERTAINTY OF ARBITRATION.  
 CLIENT FELT THE BONDS HAD BEEN MISREPRESENTED. CLIENT DID NOT BELIEVE THE FAULT WAS WITH THE FA WHO SOLD THEM THE BOND, BUT WITH THE FIRM, EVEREN, WHO UNDERWROTE THE BOND. THE SETTLEMENT CLEARLY SHOWS THE ENGINEERING FIRM PAID 8 TIMES THE AMOUNT THAT EVEREN (WELLS FARGO) PAID. PROVING CLAIMANTS FELT THERE WAS MORE FAULT WITH THE ENGINEERING FIRM.

**Disclosure 2 of 2**

**Reporting Source:** Broker

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

**Allegations:** NEGLIGENCE HIRING OF, AND FAILURE TO SUPERVISE, AND ACCOUNT EXECUTIVE ALLEGED TO HAVE ENGAGED IN EXCESSIVE, UNAUTHORIZED AND UNSUITABLE TRANSACTIONS. SOUGHT \$800,000.

**Product Type:**

**Alleged Damages:** \$800,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**



## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** National Association of Securities Dealers, Inc.; 92-00290

**Date Notice/Process Served:** 01/23/1992

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/24/1993

**Monetary Compensation Amount:** \$670,000.00

**Individual Contribution Amount:**

**Broker Statement**

MR. WILKIE'S FIRM AGREED TO PAY \$670,000 IN RETURN FOR CLAIMANTS' AGREEMENT TO TRANSFER \$230,000 IN SECURITIES TO THE FIRM. ALTHOUGH THE FIRM BELIEVED THAT THE CLAIMS LACKED MERIT, IN ORDER TO AVOID THE TIME, EXPENSE AND UNCERTAINTIES OF ARBITRATION, IT AGREED TO SETTLE THE MATTER ON HEHALF OF ITSELF AND MR. WILKIE.



### 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:** Broker

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

**Allegations:** CLIENT ALLEGES INVESTMENTS WEREN'T PRUDENT FOR CONSERVATIVE INVESTORS. DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO EXCEED \$5,000. (DATES OF ACTIVITY ARE NOT SPECIFIED.)

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 11/04/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 12/31/2008

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 2 of 3

**Reporting Source:** Broker

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

**Allegations:** KANSAS RESIDENTS, WHEN NOTIFIED OF COLLECTION ACTION TO PURSUE UNSECURED DEBIT, COMPLAIN THAT FA DID NOT PLACE STOP LOSS ORDERS AND DID NOT FOLLOW DIRECTIONS TO PLACE STOPS. ACCOUNT LOST \$90K AND UNSECURED DEBIT OF \$26K.

**Product Type:** Futures - Commodity



**Alleged Damages:** \$116,000.00

### Customer Complaint Information

**Date Complaint Received:** 12/23/2002

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/10/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** FIRM FILED COLLECTION ACTION ON 7/10/2003 WHICH, IN EFFECT, DENIES CLIENT'S CLAIMS.

### Disclosure 3 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FIRST UNION SECURITIES, INC.

**Allegations:** CLIENT ALLEGES THAT FINANCIAL ADVISOR RECOMMENDED INVESTMENTS THAT WERE UNSUITABLE FOR HIS INVESTMENT OBJECTIVES. NO SPECIFIC DAMAGES WERE ALLEGED, BUT THE FIRM PRESUMABLY CALCULATED THEM TO BE IN EXCESS OF \$5000.00

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$5,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/04/2001

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/09/2001

**Settlement Amount:**

**Individual Contribution Amount:**



## 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:** Firm

**Employer Name:** Wells Fargo Clearing Service, LLC.

**Termination Type:** Discharged

**Termination Date:** 03/17/2021

**Allegations:** Wells Fargo Clearing Services, LLC discharged RR after the Firm lost confidence in RR, with final action involving accepting orders from a bank trust officer to liquidate securities in the bank's omnibus account where the trust officer was not specifically identified in the account documents. No customer complaints were received arising from these activities and no customer harm was identified.

**Product Type:** No Product

**Reporting Source:** Broker

**Employer Name:** Wells Fargo Clearing Service, LLC.

**Termination Type:** Discharged

**Termination Date:** 03/17/2021

**Allegations:** Wells Fargo Clearing Services, LLC discharged RR after the Firm lost confidence in RR, with final action involving accepting orders from a bank trust officer to liquidate securities in the bank's omnibus account where the trust officer was not specifically identified in the account documents. No customer complaints were received arising from these activities and no customer harm was identified.

**Product Type:** No Product

## End of Report



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