

BrokerCheck Report

CARL MARTIN TREVISAN

CRD# 715623

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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.



CARL M. TREVISAN

CRD# 715623

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

IA WELLS FARGO ADVISORS
1900 DUKE ST STE 100
ALEXANDRIA, VA 22314
CRD# 19616
Registered with this firm since: 12/14/2015

B WELLS FARGO CLEARING SERVICES, LLC
1900 DUKE ST STE 100
ALEXANDRIA, VA 22314
CRD# 19616
Registered with this firm since: 12/11/2015

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
- 32 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 MCLAUGHLIN RYDER ADVISORY SERVICES, LLC

CRD# 153668
ALEXANDRIA, VA
05/2011 - 03/2016

B MCLAUGHLIN RYDER INVESTMENTS, INC.

CRD# 147529
ALEXANDRIA, VA
05/2011 - 01/2016

B COBURN & MEREDITH, INC.

CRD# 164
ALEXANDRIA, VA
05/2008 - 05/2011

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	2
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 32 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	12/02/2021
B FINRA	General Securities Representative	Approved	12/11/2015
B NYSE American LLC	General Securities Representative	Approved	12/11/2015
B Nasdaq PHLX LLC	General Securities Representative	Approved	12/11/2015
B Nasdaq Stock Market	General Securities Representative	Approved	12/11/2015
B New York Stock Exchange	General Securities Representative	Approved	12/11/2015

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	09/26/2016
B Arizona	Agent	Approved	07/12/2017
B California	Agent	Approved	12/14/2015
B Colorado	Agent	Approved	12/11/2015
B Connecticut	Agent	Approved	12/11/2015
B Delaware	Agent	Approved	01/05/2016
B District of Columbia	Agent	Approved	12/11/2015

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	12/28/2015
B	Georgia	Agent	Approved	12/11/2015
B	Illinois	Agent	Approved	12/14/2015
B	Iowa	Agent	Approved	08/26/2016
B	Maine	Agent	Approved	01/04/2016
B	Maryland	Agent	Approved	12/11/2015
B	Massachusetts	Agent	Approved	02/09/2016
B	Michigan	Agent	Approved	11/24/2020
B	Minnesota	Agent	Approved	01/05/2016
B	Mississippi	Agent	Approved	04/14/2022
B	Missouri	Agent	Approved	12/14/2015
B	Nevada	Agent	Approved	12/11/2015
B	New Hampshire	Agent	Approved	02/15/2019
B	New Jersey	Agent	Approved	10/30/2023
B	New York	Agent	Approved	12/11/2015
B	North Carolina	Agent	Approved	12/11/2015
B	Ohio	Agent	Approved	12/11/2015
B	Oregon	Agent	Approved	10/16/2023
B	Pennsylvania	Agent	Approved	12/11/2015
B	South Carolina	Agent	Approved	12/14/2015
B	Tennessee	Agent	Approved	08/16/2023



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	12/11/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	12/14/2015
B	Virginia	Agent	Approved	12/14/2015
IA	Virginia	Investment Adviser Representative	Approved	12/15/2015
B	Washington	Agent	Approved	06/14/2017
B	West Virginia	Agent	Approved	12/11/2015

Branch Office Locations

WELLS FARGO CLEARING SERVICES, LLC

1900 DUKE ST STE 100
ALEXANDRIA, VA 22314



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	10/15/1997
B General Securities Representative Examination	Series 7	09/20/1980

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/17/1992
B Uniform Securities Agent State Law Examination	Series 63	09/26/1980

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 05/2011 - 03/2016	MCLAUGHLIN RYDER ADVISORY SERVICES, LLC	153668	ALEXANDRIA, VA
B 05/2011 - 01/2016	MCLAUGHLIN RYDER INVESTMENTS, INC.	147529	ALEXANDRIA, VA
B 05/2008 - 05/2011	COBURN & MEREDITH, INC.	164	ALEXANDRIA, VA
IA 11/2007 - 05/2011	COBURN & MEREDITH, INC.	164	ALEXANDRIA, VA
B 07/1993 - 04/2007	CITIGROUP GLOBAL MARKETS INC.	7059	ALEXANDRIA, VA
IA 07/1993 - 04/2007	CITIGROUP GLOBAL MARKETS INC.	7059	ALEXANDRIA, VA
B 05/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 08/1987 - 05/1988	E. F. HUTTON & COMPANY INC	235	
B 03/1984 - 08/1987	PAINEWEBBER INCORPORATED	8174	
B 09/1980 - 03/1984	E. F. HUTTON & COMPANY INC	235	

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	Y	Alexandria, VA, United States
12/2015 - 11/2016	Wells Fargo Advisors LLC	Registered Rep	Y	Alexandria, VA, United States
05/2011 - 12/2015	MCLAUGHLIN RYDER INVESTMENTS, INC.	VICE PRESIDENT	Y	ALEXANDRIA, VA, United States

Registration and Employment History



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.
 -
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
Regulatory Event	0	1	0
Customer Dispute	0	2	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD N/K/A FINRA
Sanction(s) Sought:	
Date Initiated:	02/14/2006
Docket/Case Number:	E9B2003026301
Employing firm when activity occurred which led to the regulatory action:	CITIGROUP GLOBAL MARKETS, INC.
Product Type:	Mutual Fund
Allegations:	NASD RULE 2110 AND 3110; MISREPRESENTATION AND CREATING FALSE BOOKS AND RECORDS. RESPONDENT OBTAINED IMPROPER CDSC WAIVERS FOR PUBLIC CUSTOMERS IN CONNECTION WITH MUTUAL FUND REDEMPTIONS BY FALSELY REPRESENTING, ON HIS MEMBER FIRM'S ELECTRONIC ORDER ENTRY SYSTEM, THAT THOSE CUSTOMERS WERE DISABLED, WHEN IN FACT, THEY WERE NOT. AS A RESULT, SEVERAL MUTUAL FUNDS COMPANIES WERE DEPRIVED OF FEES TO WHICH THEY WERE OTHERWISE ENTITLED. RESPONDENT'S ACTIONS CAUSED MEMBER FIRM'S BOOKS AND RECORDS RELATING TO REDEMPTIONS TO CONTAIN FALSE AND MISLEADING INFORMATION REGARDING DISABILITY STATUS



OF THE CUSTOMERS AND THEIR ENTITLEMENT TO A CDSC WAIVER.

Current Status:	Final
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/02/2008
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Regulator Statement	<p>HEARING PANEL DECISION RENDERED ON MARCH 20, 2007, WHEREIN TREVISAN WAS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR VIOLATING NASD RULES 2110 AND 3110. ON APRIL 5, 2007, DECISION APPEALED TO THE NATIONAL ADJUCIATORY COUNCIL.</p> <p>NAC DECISION RENDERED APRIL 30, 2008, WHEREIN HEARING PANEL'S CONCLUSION THAT TREVISAN VIOLATED NASD RULES 2110 AND 3110 IS AFFIRMED. NAC FIND INADEQUATE SUPPORT IN THE HEARING PANEL'S FINDING THAT TREVISAN DELIBERATELY ENTERED FALSE DISABILITY INFORMATION FOR THE CUSTOMERS AND LIED ABOUT IT UNDER OATH, THEREFORE IN ACCORDANCE WITH THIS FINDING, HEARING PANEL'S SANCTION IS MODIFIED, BAR IS ELIMINATED AND A \$5,000 FINE IS IMPOSED. DECISION BECAME FINAL JUNE 2, 2008. FINES PAID ON 05/07/2008.</p>
<hr/>	
Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Bar
Other Sanction(s) Sought:	N/A
Date Initiated:	02/14/2006
Docket/Case Number:	E9B2003026301



Employing firm when activity occurred which led to the regulatory action: CITIGROUP GLOBAL MARKETS INC.

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: THE NASD ALLEG THAT MR. TREVISAN IMPROPERLY OBTAINED CONTINGENT DEFERRED SALES CHARGE WAIVERS FOR 14 CUSTOMERS SELLING CLASS B MUTUAL FUND SHARES.

Current Status: Final

Appealed To and Date Appeal Filed: NASD NATIONAL ADJUDICATORY COUNCIL;
APPEAL FILED APRIL 5,2007.

Resolution: Decision

Resolution Date: 04/30/2008

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: THE HEARING PANEL DECISION, WHICH IS STAYED PENDING APPEAL, WAS THAT TREVISAN BE BARRED FROM ASSOCIATION WITH ANY NASD MEMBER FOR VIOLATING NASD CONDUCT RULES 2110 AND 3110. THE HEARING PANEL STATED THAT "IF THIS DECISION BECOMES [THE] NASD'S FINAL DISCIPLINARY ACTION,... TREVISAN'S BAR SHALL BECOME EFFECTIVE IMMEDIATELY.
4/30/08 NAC MODIFIED THE SANCTION TO ELIMINATE THE BAR AND IMPOSE A \$5000 FINE ON CARL TREVISAN. IN ADDITION, THE NAC FOUND THAT MR. TREVISAN HAD NOT ACTED INTENTIONALLY.

Reporting Source: Broker

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/14/2006

Docket/Case Number: [E9B2003026301](#)



Employing firm when activity occurred which led to the regulatory action: CITIGROUP GLOBAL MARKETS INC.

Product Type: Mutual Fund(s)

Other Product Type(s):

Allegations: MR. TREVISAN IS ALLEGED TO HAVE VIOLATED NASD CONDUCT RULES 2110 AND 3110 BY IMPROPERLY WAIVING MUTUAL FUND CONTINGENT DEFERRED SALES CHARGES BASED ON CUSTOMER DISABILITY.

Current Status: Final

Appealed To and Date Appeal Filed: ON APRIL 5, 2007, DECISION APPEALED TO THE NATIONAL ADJUCIATORY COUNCIL.

Resolution: Decision

Resolution Date: 04/30/2008

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: HEARING PANEL DECISION RENDERED ON MARCH 20, 2007, WHEREIN TREVISAN WAS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR VIOLATING NASD RULES 2110 AND 3110.

4/30/2008: NAC MODIFIED THE SANCTION TO ELIMINATE THE BAR AND IMPOSE A \$5000.00 FINE ON CARL TREVISAN. IN ADDITION, THE NAC FOUND THAT MR. TREVISAN HAD NOT ACTED INTENTIONALLY.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CITIGROUP GMI
Allegations:	CLIENTS VERBALLY ALLEGED MISREPRESENTATION OF MANAGED ACCOUNT FEES SINCE 1992.
Product Type:	No Product
Alleged Damages:	\$36,000.00

Customer Complaint Information

Date Complaint Received:	03/05/2008
Complaint Pending?	No
Status:	Settled
Status Date:	03/05/2008
Settlement Amount:	\$35,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	CLAIM WAS SETTLED FOR \$35,000.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CITIGROUP GMI
Allegations:	CLIENTS VERBALLY ALLEGED MISREPRESENTATIONS OF MANAGED ACCOUNTS FEES SINCE 1992.
Product Type:	No Product
Alleged Damages:	\$36,000.00
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: 03/05/2008

Complaint Pending? No

Status: Settled

Status Date: 03/05/2008

Settlement Amount: \$35,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

COMMENT FROM MR. TREVISAN; AS IT PERTAINS TO THIS SETTLEMENT BY SMITH BARNEY (CITIGROUP), I MAINTAIN THAT I WAS NOT PART OF OR LIABLE FOR THE SETTLEMENT AND DENY ANY WRONG DOING IN THIS MATTER. I WAS NO LONGER EMPLOYED BY THE AFOREMENTIONED FIRM AT THE TIME OF SETTLEMENT NOR WAS I REQUIRED TO MAKE ANY PAYMENT RELATED TO THE MATTER.



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: SALOMON SMITH BARNEY INC.

Allegations: CLIENTS ALLEGE THEY SUFFERED ADDITIONAL LOSSES IN ACCOUNT DUE TO MISSTATEMENT BY FC THAT DELAYED THE TRANSFER OF THEIR ACCOUNT AND THAT THEY CONTINUED TO HOLD THEIR FUNDS AND PAY INVESTMENT ADVISORY FEES BASED ON THE RECOMMENDATION OF FC WHILE FUNDS LOST VALUE.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 09/16/2002

Complaint Pending? No

Status: Denied

Status Date: 01/07/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THOMAS MIERSWA IS HANDLING THIS MATTER.



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:	CITIGROUP GLOBAL MARKETS
Termination Type:	Discharged
Termination Date:	04/11/2007
Allegations:	NASD ALLEG THAT MR. TREVISAN IMPROPERLY OBTAINED CONTINGENT DEFERRED SALES CHARGE WAIVERS FOR 14 CUSTOMERS SELLING CLASS B MUTUAL FUND SHARES.
Product Type:	Mutual Fund(s)
Other Product Types:	
Broker Statement	PENDING APPEAL

End of Report



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