

BrokerCheck Report

CAROLINE HANSEN

CRD# 732923

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary | 1 |
| Broker Qualifications | 2 - 5 |
| Registration and Employment History | 7 - 8 |
| Disclosure Events | 9 |



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.

**CAROLINE HANSEN**

CRD# 732923

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

IA RBC CAPITAL MARKETS, LLC
 5251 DTC PARKWAY
 SUITE 1200
 GREENWOOD VILLAGE, CO 80111
 CRD# 31194
 Registered with this firm since: 09/03/2014

B RBC CAPITAL MARKETS, LLC
 5251 DTC PARKWAY
 SUITE 1200
 GREENWOOD VILLAGE, CO 80111-2737
 CRD# 31194
 Registered with this firm since: 09/03/2014

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:**

- 22 Self-Regulatory Organizations
- 26 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 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 ADVISORS, LLC**
 CRD# 19616
 ST. LOUIS, MO
 06/2000 - 09/2014
- B WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 GREENWOOD VILLAGE, CO
 09/1990 - 09/2014
- B BOETTCHER & COMPANY, INC.**
 CRD# 101
 10/1989 - 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 |
|------------------|-------|
| Criminal | 1 |
| Customer Dispute | 2 |



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 22 SROs and is licensed in 26 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Office Address: **200 VESEY ST.
NEW YORK, NY 10281**

Firm CRD#: **31194**

| | SRO | Category | Status | Date |
|---|--------------------------------|-----------------------------------|----------|------------|
| B | BOX Exchange LLC | General Securities Representative | Approved | 09/03/2014 |
| B | Cboe BYX Exchange, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Cboe BZX Exchange, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Cboe C2 Exchange, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Cboe EDGA Exchange, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Cboe EDGX Exchange, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Cboe Exchange, Inc. | General Securities Representative | Approved | 09/03/2014 |
| B | FINRA | General Securities Representative | Approved | 09/03/2014 |
| B | Investors' Exchange LLC | General Securities Representative | Approved | 11/18/2020 |
| B | Long-Term Stock Exchange, Inc. | General Securities Representative | Approved | 11/01/2020 |
| B | MEMX LLC | General Securities Representative | Approved | 11/01/2020 |
| B | MIAX PEARL, LLC | General Securities Representative | Approved | 11/01/2020 |
| B | NYSE American LLC | General Securities Representative | Approved | 09/03/2014 |
| B | NYSE Arca, Inc. | General Securities Representative | Approved | 09/03/2014 |
| B | NYSE National, Inc. | General Securities Representative | Approved | 11/18/2020 |



Broker Qualifications

Employment 1 of 1, continued

| | SRO | Category | Status | Date |
|---|-------------------------|-----------------------------------|----------|------------|
| B | NYSE Texas, Inc. | General Securities Representative | Approved | 11/18/2020 |
| B | Nasdaq BX, Inc. | General Securities Representative | Approved | 09/03/2014 |
| B | Nasdaq GEMX, LLC | General Securities Representative | Approved | 11/18/2020 |
| B | Nasdaq ISE, LLC | General Securities Representative | Approved | 09/03/2014 |
| B | Nasdaq PHLX LLC | General Securities Representative | Approved | 09/03/2014 |
| B | Nasdaq Stock Market | General Securities Representative | Approved | 09/03/2014 |
| B | New York Stock Exchange | General Securities Representative | Approved | 09/03/2014 |

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|----------|------------|
| B | Alabama | Agent | Approved | 07/19/2017 |
| B | Alaska | Agent | Approved | 07/19/2017 |
| B | Arizona | Agent | Approved | 09/03/2014 |
| B | California | Agent | Approved | 09/03/2014 |
| B | Colorado | Agent | Approved | 09/03/2014 |
| IA | Colorado | Investment Adviser Representative | Approved | 09/03/2014 |
| B | Delaware | Agent | Approved | 07/28/2017 |
| B | Florida | Agent | Approved | 09/03/2014 |
| B | Idaho | Agent | Approved | 02/15/2019 |
| B | Kansas | Agent | Approved | 05/25/2021 |
| B | Massachusetts | Agent | Approved | 09/08/2023 |
| B | Michigan | Agent | Approved | 01/15/2016 |
| B | Minnesota | Agent | Approved | 11/23/2015 |



Broker Qualifications

Employment 1 of 1, continued

| | U.S. State/ Territory | Category | Status | Date |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B | Missouri | Agent | Approved | 07/19/2023 |
| B | Montana | Agent | Approved | 09/09/2014 |
| B | Nebraska | Agent | Approved | 07/07/2016 |
| B | Nevada | Agent | Approved | 10/22/2019 |
| B | New Hampshire | Agent | Approved | 07/19/2023 |
| B | New Mexico | Agent | Approved | 07/02/2025 |
| B | New York | Agent | Approved | 09/03/2014 |
| B | North Carolina | Agent | Approved | 10/27/2023 |
| B | Oklahoma | Agent | Approved | 09/17/2014 |
| B | Oregon | Agent | Approved | 09/03/2014 |
| B | Pennsylvania | Agent | Approved | 10/30/2024 |
| B | Texas | Agent | Approved | 09/03/2014 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 03/30/2017 |
| B | Washington | Agent | Approved | 09/03/2014 |
| B | Wyoming | Agent | Approved | 09/03/2014 |

Branch Office Locations

RBC CAPITAL MARKETS, LLC
 5251 DTC PARKWAY
 SUITE 1200
 GREENWOOD VILLAGE, CO 80111-2737

RBC CAPITAL MARKETS, LLC
 LONE TREE, CO



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|---|-----------|------------|
| B General Securities Principal Examination | Series 24 | 11/28/1983 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B Securities Industry Essentials Examination | SIE | 10/01/2018 |
| B Interest Rate Options Examination | Series 5 | 11/21/1981 |
| B General Securities Representative Examination | Series 7 | 06/10/1981 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 04/02/1999 |
| B Uniform Securities Agent State Law Examination | Series 63 | 08/10/1981 |

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/.



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 06/2000 - 09/2014 | WELLS FARGO ADVISORS, LLC | 19616 | GREENWOOD VILLAGE, CO |
| B 09/1990 - 09/2014 | WELLS FARGO ADVISORS, LLC | 19616 | GREENWOOD VILLAGE, CO |
| B 10/1989 - 09/1990 | BOETTCHE & COMPANY, INC. | 101 | |
| B 10/1988 - 05/1989 | HANIFEN, IMHOFF SECURITIES CORP. | 10620 | |
| B 09/1988 - 05/1989 | HANIFEN, IMHOFF SECURITIES CORP. | 10620 | |
| B 06/1981 - 10/1988 | HANIFEN, IMHOFF INC. | 2126 | |

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 |
|-------------------|--------------------------|---------------------------|--------------------|--------------------------------------|
| 09/2014 - Present | RBC CAPITAL MARKETS, LLC | Registered Representative | Y | GREENWOOD VILLAGE, CO, 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.

Name of Entity: Heritage Enclave Homeowners Association

Address of Business: C/O CHerry Creek HOA Pros 14901 E. Hampden Ave #320 Aurora, CO 80014-5055

Business Description: Homeowners Association

Business is not investment related

Projected Start Date - 06/17/2015

Projected End Date - 06/01/2017

Capacity - Board of Directors

Duties Performed - Assist in the approval of landscape approval, expense approve, homeowner complaints and HOA contracts for miscellaneous upkeep and improvements of the 122 home gated community.

Registration and Employment History



Other Business Activities, continued

2 hours devoted to this OBA per month

0 hours devoted during security trading hours per month

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - 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 |
|------------------|---------|-------|-----------|
| Criminal | 0 | 1 | 0 |
| Customer Dispute | 0 | 2 | 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: | TARGET DEPARTMENT STORE GLENDALE (DENVER) COLORADO |
| Charge Date: | 12/22/1971 |
| Charge Details: | SHOPLIFTING - \$6.00 |
| Felony? | |
| Current Status: | Final |
| Status Date: | 12/22/1971 |
| Disposition Details: | COURT FILES AND ARRESTING JURISDICTION FILES HAVE NOT BEEN RETAINED AND ARE NO LONGER AVAILABLE. |
| Broker Statement | AT THE APPROXIMATE AGE OF 19 WHILE PURCHASING A NUMBER OF ITEMS FROM A TARGET STORE IN DENVER, I CARRIED A VERY SMALL ITEM IN MY HAND TO KEEP IT FROM FALLING THROUGH THE SHOPPING CART. UNFORTUNATELY WITH THE CHRISTMAS CROWDS AND CHAOS, I NEGLECTED TO LAY THE ITEM ON THE COUNTER TO BE INCLUDED IN MY TOTAL PURCHASE. BEING EXTREMELY FRIGHTENED BY THE INTIMIDATING SECURITY, I WAS UNABLE TO CONVINCE THEM IT WAS NOT INTENTIONAL & ABSOLUTELY N OVERSIGHT. |



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: Broker

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

Allegations: CLIENT HAS ALLEGED THAT HIS FINANCIAL ADVISOR SOLD HIM A VARIABLE ANNUITY IN 1999 AND REPRESENTED THAT THIS INVESTMENT WOULD YIELD HIM APPROXIMATELY 9%. THE CLIENT'S WITHDRAWALS AND MARKET CONDITIONS HAVE REDUCED THE CLIENT'S PRINCIPAL. WHILE THE CLIENT HAS OUT OF POCKET DAMAGES OF APPROXIMATELY \$14,000, HIS DEMAND INCLUDES MONTHLY COMPENSATION OF \$3,500 FOR THE REST OF HIS LIFE, ATTORNEY'S FEES AND OTHER EXPENSES. ARBITRATION FILED ON 01/11/05. ALLEGATIONS: WYOMING RESIDENT ALLEGES THAT THE PURCHASE OF A VARIABLE ANNUITY IN HIS ACCOUNT WAS UNSUITABLE AND THAT WACHOVIA SECURITIES FAILED TO SUPERVISE FA CAROLINE HANSEN. CLAIMED DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE IN EXCESS OF \$5,000.00.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/09/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/11/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 04-08805

Date Notice/Process Served: 01/11/2005



| | |
|--|--|
| Arbitration Pending? | No |
| Disposition: | Settled |
| Disposition Date: | 01/19/2006 |
| Monetary Compensation Amount: | \$75,000.00 |
| Individual Contribution Amount: | \$0.00 |
| Broker Statement | THE FIRM HAS DENIED THE ALLEGATIONS OF WRONGDOING IN THEIR ENTIRETY. THE VARIABLE ANNUITY WAS A SUITABLE RECOMMENDATION TO MEET THE CLIENT'S INVESTMENT OBJECTIVES AND THE CLIENT WAS FULLY INFORMED OF THE RISKS THAT HIS PERFORMANCE EXPECTATIONS WOULD NOT BE MET. ARBITRATION FILED ON 01/11/2005. THE CLAIM SETTLED FOR \$75,000. |



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: | WELLS FARGO ADVISORS, LLC |
| Allegations: | THE CLIENT ALLEGED THAT HER FINANCIAL ADVISOR FAILED TO FOLLOW INSTRUCTIONS. (09/01/2008-10/31/2008) |
| Product Type: | CD |
| Alleged Damages: | \$0.00 |
| Alleged Damages Amount Explanation (if amount not exact): | THE CLIENT ALLEGED THE FAILURE TO FOLLOW INSTRUCTIONS CAUSED A LOSS OF APPROXIMATELY \$50,000. |
| 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: | 03/03/2014 |
| Complaint Pending? | No |
| Status: | Denied |
| Status Date: | 03/25/2014 |
| Settlement Amount: | |
| Individual Contribution Amount: | |
| Broker Statement | CLAIM DENIED FOLLOWING REVIEW OF FIRM RECORDS WHICH DEMONSTRATED CLIENT AS MISTAKEN IN ALLEGING SALES PRACTICE VIOLATIONS. |

End of Report



This page is intentionally left blank.