

BrokerCheck Report

WILLIAM LEE NOTRICA

CRD# 817537

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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:
 - 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.



WILLIAM L. NOTRICA
CRD# 817537

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

- IA AEGIS CAPITAL CORP.**
San Juan Capistrano, CA 92675
CRD# 15007
Registered with this firm since: 02/24/2022
- B AEGIS CAPITAL CORP.**
1000 SW BROADWAY
SUITE 1220
PORTLAND, OR 97205
CRD# 15007
Registered with this firm since: 02/24/2022

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:

- 3 Self-Regulatory Organizations
- 17 U.S. states and territories

This broker has passed:

- 4 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- IA RBC CAPITAL MARKETS, LLC**
CRD# 31194
NEW YORK, NY
02/2004 - 02/2022
- B RBC CAPITAL MARKETS, LLC**
CRD# 31194
NEWPORT BEACH, CA
02/2004 - 02/2022
- IA WACHOVIA SECURITIES, LLC**
CRD# 19616
ST. LOUIS, MO
05/2002 - 02/2004

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	9
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 3 SROs and is licensed in 17 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Office Address: **1345 AVENUE OF THE AMERICAS
27TH FLOOR
NEW YORK, NY 10105**

Firm CRD#: **15007**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/24/2022
B	FINRA	General Securities Sales Supervisor	Approved	02/24/2022
B	FINRA	Registered Options Principal	Approved	02/24/2022
B	NYSE Arca, Inc.	General Securities Representative	Approved	02/24/2022
B	NYSE Arca, Inc.	General Securities Sales Supervisor	Approved	02/24/2022
B	NYSE Arca, Inc.	Registered Options Principal	Approved	02/24/2022
B	Nasdaq Stock Market	General Securities Representative	Approved	02/24/2022
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	02/24/2022
B	Nasdaq Stock Market	Registered Options Principal	Approved	02/24/2022

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	05/05/2022
B	California	Agent	Approved	02/24/2022
IA	California	Investment Adviser Representative	Approved	02/24/2022
B	Colorado	Agent	Approved	04/19/2022



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	03/03/2022
B	Florida	Agent	Approved	05/19/2022
B	Georgia	Agent	Approved	03/07/2024
B	Idaho	Agent	Approved	03/16/2022
B	Illinois	Agent	Approved	11/29/2022
B	Nevada	Agent	Approved	05/11/2022
B	New Jersey	Agent	Approved	03/30/2022
B	New York	Agent	Approved	02/24/2022
B	Ohio	Agent	Approved	02/24/2022
B	Oklahoma	Agent	Approved	03/14/2022
B	Pennsylvania	Agent	Approved	03/10/2022
B	Texas	Agent	Approved	04/14/2022
B	Utah	Agent	Approved	03/03/2022
B	Washington	Agent	Approved	03/17/2022

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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 4 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Sales Supervisor - Options Module Examination	Series 9	01/02/2023
B General Securities Sales Supervisor - General Module Examination	Series 10	01/02/2023
B General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	05/31/1990
B Registered Options Principal Examination	Series 4	02/23/1981

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Interest Rate Options Examination	Series 5	10/12/1981
B AMEX Put and Call Exam	PC	08/29/1977
B General Securities Representative Examination	Series 7	01/17/1976

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/02/1999
B Uniform Securities Agent State Law Examination	Series 63	10/03/1983

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 02/2004 - 02/2022	RBC CAPITAL MARKETS, LLC	31194	NEWPORT BEACH, CA
B 02/2004 - 02/2022	RBC CAPITAL MARKETS, LLC	31194	NEWPORT BEACH, CA
IA 05/2002 - 02/2004	WACHOVIA SECURITIES, LLC	19616	NEWPORT BEACH, CA
B 09/1990 - 02/2004	WACHOVIA SECURITIES, LLC	19616	ST. LOUIS, MO
B 06/1981 - 09/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	76	
B 10/1980 - 06/1981	WAGENSELLER & DURST, INC.	867	
B 01/1980 - 10/1980	PAINE, WEBBER, JACKSON & CURTIS INC.	8174	
B 01/1976 - 01/1980	BLYTH EASTMAN DILLON & CO. INCORPORATED	6361	

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
02/2022 - Present	Aegis Capital Corp	Registered Representative	Y	New York, NY, United States
07/2018 - 01/2022	City National Bank	Employee of an affiliate	Y	Newport Beach, CA, United States
03/2008 - 01/2022	RBC CAPITAL MARKETS CORPORATION	FINANCIAL CONSULTANT	Y	NEWPORT BEACH, CA, 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.

1. NAME OF ENTITY: RE Pro Management.
ADDRESS OF BUSINESS: 17000 Yukon Ave #A Torrance, CA 90504.
BUSINESS DESCRIPTIONS: Apartments.
BUSINESS IS/IS NOT INVESTMENT RELATED: Yes.
PROJECTED START DATE: - 01/01/2014
PROJECTED END DATE: - No Anticipated End Date.
CAPACITY: Owner - Passive.
DUTIES PERFORMED: None (Owner).
HOURS DEVOTED TO THIS OBA PER MONTH: 00.
HOURS DEVOTED DURING SECURITY TRADING HOURS PER MONTH: 00.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	9	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.

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

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGED UNSUITABLE RECOMMENDATION; MISREPRESENTATION; OMISSION, SOUGHT APPROXIMATELY \$39,000.00 IN ALLEGED LOSSES, PLUS \$14,000.00 IN COMMISSIONS.

Product Type:

Alleged Damages: \$53,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/17/1993

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: AAA; 80 136 0311 92



Date Notice/Process Served:	09/29/1992
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/17/1993
Monetary Compensation Amount:	\$3,600.00
Individual Contribution Amount:	\$0.00
Broker Statement	ARBITRATORS AWARDED \$3,600.00 TO CUSTOMER, A LAW CORP. AND CUSTOMER AND CUSTOMER AS COMPENSATORY DAMAGES AGAINST MR. NOTRICA AND THE FIRM. MR. NOTRICA DID NOT CONTRIBUTE TO THE SETTLEMENT. NOT PROVIDED



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RBC CAPITAL MARKETS, LLC
Allegations:	Customer alleges unsuitable investments and unreasonably high commissions and fees
Product Type:	Equity-OTC Unit Investment Trust
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damage amount listed, but believed to be above \$5,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-00250
Date Notice/Process Served:	04/11/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/13/2024
Monetary Compensation Amount:	\$130,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	RBC CAPITAL MARKETS, LLC
Allegations:	Customer alleges unsuitable investments and unreasonably high commissions and fees
Product Type:	Equity-OTC Unit Investment Trust
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damage amount listed, but believed to be above \$5,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-00250
Date Notice/Process Served:	04/11/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/13/2024
Monetary Compensation Amount:	\$130,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC
Allegations:	CLIENTS ALLEGES BREACH OF FIDUCIARY DUTY AS A RESULT OF ALLEGED FAILURE TO RECOMMEND SALE OF CISCO AND BROADCOM SHARES HELD ON MARGIN BETWEEN APRIL AND DECEMBER OF 2000. CLAIMED DAMAGES OF \$200,000.



Product Type: Equity - OTC

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 11/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/25/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 02-06661

Date Notice/Process Served: 11/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: \$87,500.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED FOR \$87,500.00 TO AVOID COSTS AND UNCERTAINTIES OF LITIGATION.

Reporting Source: Broker

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

Allegations: CLIENTS ALLEGES BREACH OF FIDUCIARY DUTY AS A RESULT OF ALLEGED FAILURE TO RECOMMEND SALE OF CISCO AND BROADCOM SHARES HELD ON MARGIN BETWEEN APRIL AND DECEMBER OF 2000. CLAIMED DAMAGES OF \$200,000.



Product Type: Equity - OTC

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 11/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/25/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE # 02-06661

Date Notice/Process Served: 11/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2006

Monetary Compensation Amount: \$87,500.00

Individual Contribution Amount: \$0.00

Broker Statement SETTLED FOR \$87,500.00 TO AVOID COSTS AND UNCERTAINTIES OF LITIGATION. SECURITIES IN QUESTION WERE PLACED IN A COLLATERAL ACCOUNT AND WERE THEREFORE NOT ELIGIBLE FOR SALE.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC. N/K/A WACHOVIA SECURITIES, LLC

Allegations: CLIENTS ALLEGE UNSUITABLE AND UNAUTHORIZED PURCHASES OF VARIOUS SECURITIES. ALLEGE COMPENSATORY DAMAGES OF



APPROXIMATELY \$25,000.00.

Product Type: Mutual Fund(s)
Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 03/20/2001
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 07/03/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 02-02383
Date Notice/Process Served: 07/03/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/29/2004
Monetary Compensation Amount: \$12,000.00
Individual Contribution Amount: \$0.00
Firm Statement SETTLED FOR \$12,000 TO AVOID THE COSTS AND UNCERTAINTY OF LITIGATION.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES, INC

Allegations: UNSUITABLE SECURITIES AND PURCHASED THREE MUTUAL FUNDS AND ONE OTC STOCK WITHOUT PRIOR AUTHORIZATION. DAMAGE



UNSPECIFIED BUT APPEARS TO SEEK MORE THAN \$5,000.00

Product Type: Mutual Fund(s)**Alleged Damages:** \$5,000.00**Customer Complaint Information****Date Complaint Received:** 03/20/2001**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 05/23/2001**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD-DR CASE NO: 02-02383**Date Notice/Process Served:** 07/03/2002**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 12/29/2004**Monetary Compensation Amount:** \$12,000.00**Individual Contribution Amount:** \$0.00**Broker Statement** CLIENTS ALLEGE UNSUITABLE AND UNAUTHORIZED PURCHASES OF VARIOUS SECURITIES. ALLEGE COMPENSATORY DAMAGES OF APPROXIMATELY \$25,000.**Disclosure 4 of 4****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** FIRST UNION SECURITIES, INC.



Allegations: ALLEGES BROKER FAILED TO FOLLOW INSTRUCTIONS TO SELL ALL OF HIS EXCHANGE AND OTC COMMON STOCKS BEFORE THE MARKET DROPPED IN EARLY 2000. ALSO QUESTIONS SOME OPERATIONAL MATTERS AND THE ACCURACY OF INFORMATION RECEIVED IN RESPONSE TO QUESTIONS. APPEARS TO SEEK MORE THAN \$5000.00

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EXCHANGE LISTED COMMON STOCK

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/15/2000

Complaint Pending? No

Status: Arbitration/Reparation
Denied

Status Date: 01/16/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE #01-03764

Date Notice/Process Served: 09/25/2001

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/27/2002

Monetary Compensation Amount: \$42,500.00

Individual Contribution Amount: \$0.00

Broker Statement FOR BUSINESS REASONS AND WITHOUT ADMITTING ANY LIABILITY ON PART OF THE FIRM, THIS MATTER WAS SETTLED IN THE AMOUNT OF \$42,500.



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 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: RBC DAIN RAUSCHER INC.

Allegations: CLIENTS REQUEST AN UNSPECIFIED AMOUNT, BUT BELIEVED TO BE IN EXCESS OF \$5,000.00, OF REIMBURSEMENT RELATING TO THEIR ALLEGED UNAUTHORIZED PURCHASE OF NEWCQ ON 08/05/2005 AND ALLEGED UNAUTHORIZED USE OF MARGIN UPON THEIR AUTHORIZED PURCHASE OF TYN ON 10/26/2005.

Product Type: Equity - OTC

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/09/2007

Complaint Pending? No

Status: Denied

Status Date: 01/03/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Broker

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

Allegations: FINANCIAL ADVISOR ADVISOR FAILED TO MAKE SENSE IN AUGUST AS CLIENT ALLEGEDLY REQUESTED HIM TO DO. THIS ALLEGEDLY COST THE CLIENT \$7,374.00



Product Type: Equity - OTC

Alleged Damages: \$7,374.00

Customer Complaint Information

Date Complaint Received: 09/25/2001

Complaint Pending? No

Status: Denied

Status Date: 11/07/2001

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIMS WERE DENIED BY FA'S FIRM IN A LETTER TO THE CLIENT'S ATTORNEY.

Disclosure 3 of 4

Reporting Source: Broker

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

Allegations: CALIFORNIA RESIDENTS ALLEGES UNAUTHORIZED TRADES IN EARLY TO MID 2000 IN SCON, STGC, CPTH, AND TERA; AND A FAILURE TO FOLLOW INSTRUCTIONS IN JANUARY 2000 TO SELL LU IN ONE OF THEIR ACCOUNTS.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 08/14/2001

Complaint Pending? No

Status: Denied

Status Date: 10/26/2001

Settlement Amount:

Individual Contribution Amount:



Broker Statement CLAIM DENIED

Disclosure 4 of 4

Reporting Source: Broker

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

Allegations: UNDER THE AUTHORITY OF A POWER OF ATTORNEY, THE CLIENT'S CHILDREN HAVE ALLEGED THAT THEIR MOTHER'S PURCHASE OF THE FRANKLIN TAX FREE FUND WAS MISREPRESENTED TO THEM. THEY SAY THE YIELD WAS OVERESTIMATED AND THE NUMBER OF YEARS ASSOCIATED WITH THE CDSC WAS MISSTATED.

Product Type: Mutual Fund(s)

Alleged Damages: \$26,441.48

Customer Complaint Information

Date Complaint Received: 01/21/2000

Complaint Pending? No

Status: Denied

Status Date: 03/14/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND NO MERIT TO THE ALLEGATIONS AND DENIED THE REQUEST TO CANCEL THE MUTUAL FUND PURCHASE.



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: RBC CAPITAL MARKETS, LLC
Termination Type: Discharged
Termination Date: 01/20/2022
Allegations: Individual was found to be in violation of the Firm's Time and Price Discretion Policy and Order Execution Policy.
Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Broker
Employer Name: RBC CAPITAL MARKETS, LLC
Termination Type: Discharged
Termination Date: 01/20/2022
Allegations: Individual was found to be in violation of the Firm's Time and Price Discretion Policy and Order Execution Policy.
Product Type: Equity Listed (Common & Preferred Stock)

End of Report



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