

## BrokerCheck Report

**RACHEL ANN PAULIN**

CRD# 863055

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Events	10



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](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).

**RACHEL A. PAULIN**

CRD# 863055

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

**IA RBC CAPITAL MARKETS, LLC**  
 655 W. BROADWAY  
 STE 1000  
 SAN DIEGO, CA 92101  
 CRD# 31194  
 Registered with this firm since: 10/03/2014

**B RBC CAPITAL MARKETS, LLC**  
 655 W. BROADWAY  
 STE 1000  
 SAN DIEGO, CA 92101-8485  
 CRD# 31194  
 Registered with this firm since: 10/03/2014

**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
- 45 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 FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.**  
 CRD# 108559  
 SAN FRANCISCO, CA  
 07/2012 - 10/2014
- B FIRST REPUBLIC SECURITIES COMPANY, LLC**  
 CRD# 105108  
 SAN DIEGO, CA  
 07/2012 - 10/2014
- B WELLS FARGO ADVISORS, LLC**  
 CRD# 19616  
 SAN DIEGO, CA  
 01/2011 - 07/2012

**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	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 22 SROs and is licensed in 45 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	10/03/2014
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	10/03/2014
B	FINRA	General Securities Representative	Approved	10/03/2014
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	11/02/2020
B	NYSE American LLC	General Securities Representative	Approved	10/03/2014
B	NYSE Arca, Inc.	General Securities Representative	Approved	10/03/2014
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	10/03/2014
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Representative	Approved	10/03/2014
B	Nasdaq PHLX LLC	General Securities Representative	Approved	10/03/2014
B	Nasdaq Stock Market	General Securities Representative	Approved	10/03/2014
B	New York Stock Exchange	General Securities Representative	Approved	10/03/2014

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/24/2016
B	Alaska	Agent	Approved	09/16/2021
B	Arizona	Agent	Approved	01/02/2018
B	Arkansas	Agent	Approved	12/01/2022
B	California	Agent	Approved	10/03/2014
IA	California	Investment Adviser Representative	Approved	10/03/2014
B	Colorado	Agent	Approved	01/02/2018
B	Connecticut	Agent	Approved	01/02/2018
B	Delaware	Agent	Approved	09/21/2021
B	District of Columbia	Agent	Approved	12/21/2018
B	Florida	Agent	Approved	11/15/2016
B	Georgia	Agent	Approved	01/10/2019
B	Hawaii	Agent	Approved	09/17/2021

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Idaho	Agent	Approved	01/05/2018
B	Illinois	Agent	Approved	11/11/2016
B	Indiana	Agent	Approved	01/05/2018
B	Iowa	Agent	Approved	01/03/2018
B	Kansas	Agent	Approved	09/17/2021
B	Kentucky	Agent	Approved	09/23/2021
B	Louisiana	Agent	Approved	09/20/2021
B	Maine	Agent	Approved	07/31/2024
B	Maryland	Agent	Approved	10/03/2014
B	Massachusetts	Agent	Approved	01/02/2018
B	Michigan	Agent	Approved	09/20/2021
B	Minnesota	Agent	Approved	01/11/2018
B	Missouri	Agent	Approved	10/28/2021
B	Montana	Agent	Approved	01/02/2018
B	Nebraska	Agent	Approved	01/02/2018
B	Nevada	Agent	Approved	01/02/2018
B	New Jersey	Agent	Approved	01/02/2018
B	New Mexico	Agent	Approved	12/20/2018
B	New York	Agent	Approved	01/05/2018
B	North Carolina	Agent	Approved	12/19/2018
B	Ohio	Agent	Approved	09/15/2020



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Oklahoma	Agent	Approved	09/17/2021
B	Oregon	Agent	Approved	01/11/2018
B	Pennsylvania	Agent	Approved	01/03/2018
B	Rhode Island	Agent	Approved	01/03/2019
B	South Carolina	Agent	Approved	03/26/2020
B	South Dakota	Agent	Approved	01/08/2018
B	Tennessee	Agent	Approved	01/04/2018
B	Texas	Agent	Approved	10/03/2014
IA	Texas	Investment Adviser Representative	Restricted Approval	10/03/2014
B	Utah	Agent	Approved	12/20/2018
B	Virginia	Agent	Approved	01/03/2018
B	Washington	Agent	Approved	01/05/2018
B	Wisconsin	Agent	Approved	12/20/2018

### Branch Office Locations

#### RBC CAPITAL MARKETS, LLC

655 W. BROADWAY

STE 1000

SAN DIEGO, CA 92101-8485

#### RBC CAPITAL MARKETS, LLC

La Jolla, CA



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Securities Principal Examination	Series 53	08/25/1986

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Interest Rate Options Examination	Series 5	10/17/1981
<b>B</b> General Securities Representative Examination	Series 7	02/17/1979

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	10/02/1997
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/20/1990

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> 07/2012 - 10/2014	FIRST REPUBLIC INVESTMENT MANAGEMENT, INC.	108559	SAN FRANCISCO, CA
<b>B</b> 07/2012 - 10/2014	FIRST REPUBLIC SECURITIES COMPANY, LLC	105108	SAN DIEGO, CA
<b>B</b> 01/2011 - 07/2012	WELLS FARGO ADVISORS, LLC	19616	SAN DIEGO, CA
<b>IA</b> 01/2011 - 07/2012	WELLS FARGO ADVISORS, LLC	19616	SAN DIEGO, CA
<b>B</b> 06/2007 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA
<b>IA</b> 06/2007 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	SAN DIEGO, CA
<b>B</b> 09/2002 - 06/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN DIEGO, CA
<b>IA</b> 09/2002 - 06/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	SAN DIEGO, CA
<b>IA</b> 08/2000 - 09/2002	WACHOVIA SECURITIES, INC.	19616	SAN DIEGO, CA
<b>B</b> 07/2000 - 09/2002	WACHOVIA SECURITIES, INC.	19616	ST. LOUIS, MO
<b>B</b> 07/1999 - 08/2000	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	BOSTON, MA
<b>B</b> 09/1992 - 07/1999	BA INVESTMENT SERVICES, INC.	12965	OAKLAND, CA
<b>B</b> 03/1991 - 09/1992	FIRST INTERSTATE INVESTMENTS, INC.	17101	
<b>B</b> 05/1989 - 03/1991	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
<b>B</b> 05/1987 - 06/1989	DREXEL BURNHAM LAMBERT INCORPORATED	7323	
<b>B</b> 10/1975 - 07/1982	SHEARSON LOEB RHOADES INC.	7506	
<b>B</b> 03/1979 - 10/1979	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	

### Employment History



# Registration and Employment History

## Employment History, continued

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
10/2014 - Present	RBC Capital Markets, LLC	Registered Representative	Y	San Diego, CA, United States

## Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

No information reported.

## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
  -
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
  -
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	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 - 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	BANC OF AMERICA INVESTMENT SERVICES, INC
<b>Allegations:</b>	FAILURE TO FOLLOW INSTRUCTIONS
<b>Product Type:</b>	Other: AUCTION RATE SECURITIES - MUNICIPAL DEBT
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	UNSPECIFIED
<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>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/09/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/09/2009



**Settlement Amount:** \$25,700,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement**

THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENT, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** BANC OF AMERICA INVESTMENT SERVICES, INC.

**Allegations:** FAILURE TO FOLLOW INSTRUCTIONS.

**Product Type:** Other: AUCTION RATE SECURITIES - MUNICIPAL DEBT

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** UNSPECIFIED

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 06/09/2009

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 06/09/2009

**Settlement Amount:** \$25,700,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement**

PER BOA: THIS MATTER INVOLVES THE SALE OF AUCTION RATE SECURITIES (ARS). THE TRANSACTION(S) AT ISSUE TOOK PLACE BEFORE MID-FEBRUARY 2008, WHEN THE ARS MARKET SUFFERED WIDESPREAD AUCTION FAILURES AND ILLIQUIDITY. THE FINANCIAL ADVISOR DID NOT CAUSE, CONTRIBUTE OR HAVE ANY CONTROL WHATSOEVER OVER THESE MARKET EVENTS. THE FIRM REACHED AGREEMENT WITH CERTAIN OF ITS REGULATORS, PURSUANT TO WHICH IT REPURCHASED ARS FOR THEIR FULL PAR VALUE FROM CERTAIN CLIENTS, INCLUDING THE INSTANT CLIENT, WHERE THEY COMPLAINED OR NOT. THE FINANCIAL ADVISOR WAS NOT A PARTY TO THAT AGREEMENTS, DID NOT MAKE ANY PAYMENT TO THE CLIENT, AND WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THE SETTLEMENT AMOUNT IN ITEM 11 ABOVE REFLECTS THE PAR VALUE OF THE REPURCHASED ARS, AS REQUIRED BY FINRA REGULATORY NOTICE 09-12.

PER REP: THE CUSTOMER COMPLAINT CONCERNS EVENTS THAT OCCURRED AFTER I LEFT BANC OF AMERICA (BOA). THE CLAIM NAMED BOA & ANOTHER BROKER WHO TOOK OVER THE ACCOUNT, AND THERE WERE NEVER ANY ALLEGATIONS AGAINST ME. THE CLIENT STATED I WAS NOT RESPONSIBLE FOR HIS LOSSES, AND LATER MOVED HIS PORTFOLIO TO MY NEW FIRM. BECAUSE I WAS NOT NAMED IN THE CLAIM, I WASN'T ASKED TO CONTRIBUTE TO ANY SETTLEMENT. BOA IS CORRECT WHEN IT SAYS THAT I "DID NOT CAUSE, CONTRIBUTE, OR HAVE ANY CONTROL WHATSOEVER" OVER THE EVENTS THAT CAUSED MY CLIENT'S INVESTMENTS TO FAIL. THE CLIENT WAS SEEKING CASH-LIKE TAX EXEMPT INVESTMENTS WITH HIGH RATES. HIS PREFERRED VARIABLE RATE DEMAND NOTES WERE UNAVAILABLE. I WAS ASKED BY BOA TO OFFER ARS AS ALTERNATIVE. THE CLIENT EXPRESSED CONCERN ABOUT LIQUIDITY. I EXPLAINED TO BOA THAT CLIENT NEEDED DAILY LIQUIDITY WHICH MEANT THE ARS WERE NOT SUITABLE. IN RESPONSE THE BOA TRADING DESK ASSURED ME THAT DUE TO THE SIZE OF THE CLIENT'S PORTFOLIO, THEY WOULD GUARANTEE LIQUIDITY. HE PURCHASED SOME ARS, AND I THEN LEFT BOA. I DO NOT KNOW WHAT THE SUCCESSOR BROKER DID WITH THE ACCOUNT AFTER I LEFT. IN 9/2008, AS A RESULT OF A REGULATORY SETTLEMENT, BOA UNCONDITIONALLY OFFERED TO REPURCHASE ALL AUCTION RATE SECURITIES SOLD TO INDIVIDUALS. IN RESPONSE, THE CUSTOMER TENDERED HIS ARS TO BOA. LATER, BOA SETTLED THE CUSTOMER'S CLAIM. THE ORIGINAL BROKER CHECK



REPORT FOR THE OTHER BROKER NAMED IN THE CLAIM STATED THE SETTLEMENT WAS \$65,000. BOA INCORRECTLY REPRESENTS THAT THE CLAIM WAS SETTLED ON 6/9/09. I AM ADVISED THAT IT WAS SETTLED ON 2/27/09. I DO NOT UNDERSTAND WHY IT REPORTED A CUSTOMER CLAIM THAT WAS NOT DIRECTED AT ME, AND THAT CONTAINS VERIFIABLY INCORRECT INFORMATION.



## End of Report



**This page is intentionally left blank.**