

## Special Report: January 2023

# Predictive AI Identifies Wells Fargo Brokers Who are Statistically More Likely to be Involved in Future Customer Disputes



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[www.mdf-law.com](http://www.mdf-law.com)

## Introduction

FINRA is a self-regulating organization that is responsible for regulating licensed broker-dealers. It maintains a database of over 1 million current and former members and publishes portions of that database on its BrokerCheck website. The purpose of BrokerCheck is to provide the investing public with valuable information about financial professionals. For example, brokers and investment advisers are required to disclose all customer complaints, judgments and liens, personal bankruptcies, as well as actions by securities regulators.

To compile this report, MDF Law used a proprietary artificial intelligence algorithm to analyze the securities licenses of over 1 million current and former individuals licensed with FINRA. The firm's goal is to prevent future investor harm by identifying individuals who are statistically more likely to be involved in a customer dispute. The individuals identified in the report were selected based on several factors, including, but not limited to: (1) the type and frequency of disclosures; (2) the number of years the individual is licensed; (3) the number of individual state licenses the individual holds; and (4) the frequency of disclosures at the same branch location.

In most instances, the individuals identified by the algorithm have multiple customer complaints, including settlements. In other instances, the report identified individuals who were discharged or departed Wells Fargo after allegations of wrongdoing. The financial professionals identified by the report are statistically more likely than their cohorts to be involved in a future investor dispute. Similar conclusions have been made by other professions based on similar analytics. See "How Widespread and Predictable is Stock Broker Misconduct?" by Craig McCann (2016).

MDF Law's report was gathered using publicly available data that can be accessed through FINRA's BrokerCheck tool. The report analyzed data as of January 3, 2023. The contents of the report are subject to BrokerCheck's terms and services as well as the MDF Law's disclaimer. The report is intended to be educational in nature and is designed to educate the investing public as well as state securities regulators. The report is being provided "as is" and without any warranties. All errors in the report should be reported to MDF Law by emailing [info@mdf-law.com](mailto:info@mdf-law.com).

## Disclaimer

BrokerCheck data was analyzed using proprietary data analytics and an artificial intelligence algorithm. This report is being provided for educational purposes only and is subject to BrokerChecks terms and conditions, which can be accessed here: <https://brokercheck.finra.org/terms>

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Individuals who are included in this report are statistically more likely to be involved in a new customer complaint. The report should not be misconstrued as a rating or grading system, nor should the reader draw any other conclusions from this report. ***Specifically, readers should be aware that individuals listed in this report may never be involved in a future customer dispute or other disclosure event.***

## About Marc Fitapelli



Marc Fitapelli, Esq.  
Phone: 212-203-9300  
Email: [marc@mdf-law.com](mailto:marc@mdf-law.com)  
[www.mdf-law.com](http://www.mdf-law.com)

Marc Fitapelli is the owner and founder of MDF Law. He is a litigator whose practice focuses on representing investors in investment related disputes. Mr. Fitapelli has assisted clients in recovering hundreds of millions of dollars from major financial institutions, banks and insurance companies. Marc has been consistently selected as a [Superlawyer](#) by Thompson Reuters, a distinction that is awarded to only 2.5% of attorneys nationwide. He is also a member of the Million Dollar Advocates Forum, which is awarded to trial attorneys who have won verdicts of at least \$1 million. This distinction is only awarded to less than 1% of attorneys nationwide.

Marc appears regularly before the Financial Industry Regulatory, or FINRA. He is admitted to practice in New York State and has appeared in many federal courts throughout the country, including the Southern District of New York, Eastern District of Michigan, District of Massachusetts, Northern District of Illinois, Southern District of Texas, District of Maryland and District of Colorado.

Marc started his career working at two large national law firms – Epstein, Becker & Green, PC and Gibbons P.C. In 2011, Marc Fitapelli founded his own law firm, dedicating his practice to advocating for investors and consumers. Since that time, he has helped his clients recover hundreds of millions of dollars.

He earned his JD at Hofstra University School of Law in 2007, where he served as an Editor of the Labor and Employment Law Journal. Mr. Fitapelli also graduated magna cum laude from St. Francis College, where he earned his B.A. in 2004. Marc is also a CCI, or Certified Cryptocurrency Investigator, and can assist clients in complex crypto related frauds.

## Individuals Associated with Wells Fargo who have Significant Disclosure Histories

Methodology: The following individuals had active licenses with Wells Fargo as of January 1, 2023. The individuals identified in this chart had significant disclosure histories with FINRA with many having multiple customer complaints. Individuals identified below are statistically more likely to be the subject of a future customer complaint when compared to an individual who has no disclosure history with FINRA.

Name	CRD	Location	Disclosure History
Evan Wuhl	867212	Paramus, NJ	Twelve customer settlements; resigned from UBS following allegation of wrongdoing
Jeff Eiler	1028716	Fort Lauderdale, FL	Eight customer settlements; criminal disclosure
John Draper	839434	Irvine, CA	Eleven customer complaints, including five settlements
Michael Cifelli	1276418	Philadelphia, PA	Ten customer complaints, including five settlements
Thomas McIntyre, Jr.	328488	Danbury, CT	Eleven customer complaints, including nine settlements
George Dance	2112036	Biloxi, MS	Ten customer complaints, including four settlements
Andy Hill	4606358	Atwater, CA	Seven customer complaints, including four settlements; termination disclosure
Bruce Galpert	1288182	Santa Fe, NM	Ten customer complaints, including six settlements
Stuart Barth	1600781	Gaithersburg, MD	Three customer settlements; six liens or judgments
Mark Schlig	2975568	Rolling Hills Estates, CA	Seven customer complaints, including six settlements; termination disclosure; criminal disclosure
Christopher Cochran	2121318	Appleton, WI	Eight customer complaints, including seven settlements
Christopher Fontana	2285706	Naples, FL	Nine customer complaints, including four settlements
Bill Basler	1310243	Fort Myers, FL	Nine customer complaints, including seven settlements
Gail Mackler-Carlino	1340615	Northfield, NJ	Seven customer complaints, including five settlements
Thomas Bradley	1264896	Saginaw, MI	Five customer complaints, including two settlements; three liens or judgments
RJ Bernstein	113777	Incline Village, NV	Eight customer complaints, including two awards and four settlements
William Link, Jr.	865079	Edmond, OK	Seven customer complaints, including two awards and five settlements; termination disclosure

Jennifer L. Garcia	2266576	Encino, CA	Eight customer complaints, including four settlements
David White	2391143	South Lake, TX	Eight customer complaints, including six settlements
Mary Hansen	1076543	Palm Desert, CA	Eight customer complaints, including one award and five settlements
Pasquale Capone	2487767	Woodbury, NY	Eight customer complaints, including six settlements
Anne Davidson	728189	Dallas, Texas	Five customer complaints, including two settlements and two awards; regulatory disclosure; two employment disclosures
Andrew Harmer	724175	Chester, PA	Seven customer complaints, including two settlements and one award
Linda Lynch	716063	Melville, NY	Seven settlements
Bruce Rudenberg	809162	Miami, FL	Seven customer complaints, including four settlements and one award
Joseph Vieira	1410092	Coral Springs, FL	Four customer complaints, including three settlements; three criminal disclosures
Kevin Fay	2144853	Fairfield, NJ	Six customer complaints, including three settlements; termination disclosure from Morgan Stanley
Leif Olson	2277495	Sarasota, FL	Seven customer complaints, including four settlements
Steven O'Brien	1024861	Oak Brook, IL	Three settlements; four liens or judgments
Joseph Murphy	1024330	Woodbury, NY	Seven customer complaints, including two awards and four settlements
Stephen Freidin	1547945	Lake Forest, IL	Seven customer complaints, including two settlements
Todd Schmucker	1575955	Salt Lake City, UT	Seven customer complaints, including one award and three settlements
Ryan Robinson	2682661	Encino, CA	Six customer complaints, including two settlements; regulatory disclosure
Michael Peters	2408980	San Francisco, CA	Six customer complaints, including five settlements; criminal disclosure
Steven Wetzel	1490148	Birmingham, AL	Seven customer complaints, including five settlements
William Turnbough	867704	Frontenac, MO	Four settlements; two criminal disclosures; one regulatory disclosure

James Pringle	1277121	Indian Harbour, FL	Six customer complaints, including two settlements; regulatory disclosure
Bob Barnard	1101523	Park City, UT	Seven settlements
David Nelson	718785	Woodbury, NY	Seven customer complaints, including six settlements
Alan Durlester	1009194	Woodland Hills, CA	Six customer complaints, including four settlements and one award; regulatory disclosure
Kenneth Harb	502814	Farmington Hills, MI	Seven customer complaints, including five settlements and one award
Dominic Guido	231738	New York, NY	Seven customer complaints, including four settlements and one award
Jeff Burton	2366552	Charleston, SC	Five settlements; employment disclosure
Curtis Rach	2202176	Irvine, CA	Six customer complaints, including three settlements
Nicholas Boccella	860147	Chatham, NJ	Five customer complaints, including four settlements and one award; regulatory disclosure
Glenn Fama	1614526	San Francisco, CA	Six customer complaints, including five settlements and one award
Barry Sullivan	705614	Rochester, NY	Six customer complaints, including four settlements
Brian Keach	30000286	Roswell, GA	Five customer complaints, including two settlements, regulatory disclosure

## Individuals Hired by Wells Fargo in 2022 Despite Significant Disclosure Histories

Methodology: The following individuals had significant disclosure histories and were hired by Wells Fargo in during calendar year 2022. In some instances, the individuals had additional complaints, which were expunged from their licenses under FINRA’s controversial expungement procedures.

Name	Location	Old Firm	Date Hired	Disclosure History	Expungements?
Jerome Vandemotter	Pepper Pike, OH	UBS Financial	11/28/2022	Three complaints, including two settlements	No
Brian Graber	Marietta, GA	Merrill Lynch	11/22/2022	Two complaints, including one settlement; criminal disclosure	No
Howard Lee	Westlake Village, CA	Morgan Stanley	11/16/2022	Three complaints, including two settlements	No
Evan Savarick	Plantation, FL	Morgan Stanley	9/23/2022	Two complaints, including one settlement	No
Roy Savarick	Fort Lauderdale, FL	Morgan Stanley	9/22/2022	Four complaints, including one settlement and two awards	No
Chris Coghlan	Corte Madera, CA	Morgan Stanley	9/16/2022	Five complaints, including two settlements	Yes
David Roy	McLean, VA	UBS Financial	8/2/2022	Two complaints, including two settlements	No
Andy Tempelis	Seattle, WA	Merrill Lynch	7/21/2022	Two complaints, including one settlement	No
David Ferman	New York, NY	Morgan Stanley	7/11/2022	Five complaints, including one settlement and one award	No
Allen Lovejoy	Old Greenwich, CT	Merrill Lynch	7/7/2022	Three complaints, including one settlement	No
Jeffrey Roumfort	Houston, TX	Merrill Lynch	5/19/2022	Three complaints, including one award	No
Mark Morena	Canton, OH	Morgan Stanley	5/17/2022	Two complaints, including two settlements	No
Bryan Schon	Birmingham, MI	Morgan Stanley	4/28/2022	Five complaints, including two settlements	Yes
Michael Dymkowski	Bloomfield Hills, MI	Morgan Stanley	4/28/2022	Five complaints, including one settlement and one award	No
Michael Margiotta	Beverly Hills, CA	Merrill Lynch	4/21/2022	Three complaints, including two settlements	No
Richard Gurchak	Farmington Hills, MI	Morgan Stanley	1/13/2022	Two complaints, including one settlement	No



## Individuals Who Departed Wells Fargo in 2022 with Employment Disclosures

Methodology: The following individuals were either discharged or resigned from Wells Fargo in 2022 following some allegation of wrongdoing. The explanation concerning their departure was provided to FINRA by Wells Fargo.

Name	Location	New Firm	Other Disclosures	Date of Disclosure	Explanation	Type
Kyle Bouman	St. Louis, MO	Not registered	No	11/17/2022	Wells Fargo Clearing Services, LLC discharged financial advisor working in a call center after an internal review determined that he placed certain unnecessary phone calls from his work phone that increased metrics used to determine his quarterly bonus potential. No customer financial impact identified.	Discharged
Mandisa Landry	Charlotte, NC	Not registered	No	11/17/2022	Financial advisor discharged after bank investigation revealed that employee failed to follow customer referral process, improperly claiming credit for a customer referral. No customer harm identified.	Discharged
Colleena Snider	Des Moines, IA	Not registered	No	11/9/2022	Employee was terminated after admitting during bank investigation that she used cut and paste method to add customer signature to a bank document. There is no related customer complaint and no related fraud identified.	Discharged
Christy Rodriguez	Whittier, CA	US Bancorp. Investments	No	10/13/2022	Financial advisor discharged after advisor admitted during investigation to entering trade in customer account based upon voicemail from customer without confirming trade request with customer prior to entry of trade.	Discharged
Michael Batmanian	Los Angeles, CA	Not registered	No	9/29/2022	Registered banker was discharged by bank for failure to meet risk evaluation expectations with regard to opening new bank account and subsequent fraud loss.	Discharged
Raul Hernandez	Tempe, AZ	Bancwest Investment	No	9/7/2022	Raul Hernandez was terminated by Wells Fargo Bank, N.A. after admitting that he	Discharged

		Services, Inc.			did not count cash funds in an envelope. The activity at issue did not relate to securities business of Wells Fargo Clearing Services, LLC. No customer harm was identified.	
John Clemens	Cleveland, OH	RBC Capital Markets	Yes (Customer; Regulatory)	9/1/2022	The RR voluntarily resigned following allegations that he accepted trading instructions from a third party who was not authorized to give instructions on the account and for noting in an electronic record that he had spoken to the client when he had not. No client harm identified.	Voluntary Resignation
Iesha Southern	The Woodlands, TX	Not Registered	Yes (Judgment/Lien)	9/1/2022	Client Associate discharged after allegations that when CA was a banker at Wells Fargo Bank (the "Bank") she removed a beneficial owner who failed the required Business Risk Screening from a Bank business account. The CA also allegedly, without supporting documentation, changed the ownership of the business reflected in the Bank's system from 50% to 0% for the removed owner and from 50% to 100% for the other owner. The activity was unrelated to the securities business of WFCS. No customer harm identified.	Discharged
Michael Kazacos	Fairport, NY	Stifel, Nicolaus	Yes (Customer)	8/31/2022	Financial advisor was discharged after placing trades in a client account without getting prior client authorization and for noting in an electronic record that he had spoken to the client when he had not.	Discharged
Anthony Morrison	Memphis, TN	Stifel, Nicolaus	Yes (Customer)	8/30/2022	During the course of an internal investigation financial advisor admitted using discretion to trade in family's trust account and advisor was then discharged. No customer harm identified.	Discharged

Christopher Heckenkamp	Long Beach, CA	Not registered	No	8/17/2022	Wells Fargo Advisors Financial Network, LLC elected not to continue RR's registration after RR did not call client for confirmation after receiving email instructions for wire transfers. The instructions were later determined to be fraudulent.	Discharged
Eugene Neal	Daytona Beach, FL	Not registered	No	8/5/2022	Registered Banker (RB) discharged after he deposited a check he wrote drawn from an account with insufficient funds. He then depleted the funds from second account. Check was returned, leaving account with a negative balance. Separately, RB disputed an ATM withdrawal & was provided temporary credit. RB transferred funds out of account the same day. Claim was denied & temporary credit reversed, leaving a negative balance in account. Not related to securities business of WFCS LLC. No client harm identified.	Discharged
Genci Abdula	Pompton Plains, NJ	Not registered	No	8/4/2022	Registered banker's employment terminated after bank investigation revealed that employee provided manager transaction approval which resulted in financial loss to the bank. No related customer loss and or financial gain to the terminated employee.	Discharged
John Ranft	Exton, PA	TD Private Client Wealth, LLC	No	8/2/2022	Branch Premier Banker John Ranft was terminated by Wells Fargo Bank, N.A. (WFBNA) following allegations that he accessed his own WFBNA account and the WFBNA accounts of two family members through WFBNA's service platform on multiple occasions without an apparent business need. No transactions took place in the accounts nor was any account maintenance performed as a	Discharged

					result of this access. The activity was unrelated to the securities business of Wells Fargo Clearing Services, LLC.	
Salvatore Ruffino	New York, NY	Merrill Lynch	No	7/25/2022	Salvatore Ruffino was terminated by Wells Fargo Bank, N.A. ("WFBNA") following allegations that he borrowed money from a WFBNA colleague. The allegations are unrelated to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Alison Mortarotti	Park City, UT	Not registered	No	7/18/2022	Wells Fargo Bank, N.A. discharged banker after allegations that banker selected Personal Identification Number for business bank account when bank customer was not present and used PIN to authenticate change of name bank account form. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Mohamed Azeez	Hollywood, FL	Not registered	No	6/22/2022	Registered banker's employment terminated after bank investigation revealed that banker opened business bank account after one of two business owners listed on account application was removed as business owner from account application, by banker, after failing risk screening. Not related to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Eric Hogan	Greenwood Village, CO	Key Investment Services	Yes (Criminal)	6/21/2022	Wells Fargo Bank, N.A., discharged the registered banker after the banker removed a beneficial owner who failed the business risk screen from a business account prior to opening the account. The banker also failed to collect a copy of business documents to support the change in beneficial ownership. This activity was not related to the securities business of	Discharged

					Wells Fargo Clearing Services, LLC. No customer harm resulted from the banker's action.	
Sevag Haddadian	Brea, CA	Not registered	Yes (Regulatory)	6/15/2022	An internal review determined that the registered representative failed to timely disclose his involvement with a LLC that acquired and rented real estate.	Discharged
Mark Forktus	Newtown, PA	Prospera Financial Services, Inc.	Yes (Regulatory)	6/1/2022	In a telephone call with another firm, RR represented himself as the client in order to extend the client's annuity commencement date. In a separate phone call to that firm, RR identified himself as a different client in order to obtain information for the client about an annuity for which he wasn't the agent of record.	Discharged
Kari Brown	Lakeland, FL	Not registered	No	6/1/2022	WFBNA discharged the registered banker after investigating 11 fraud claims the banker filed between 2/18/21 and 3/25/22 against transactions on her Wells Fargo account. The bank investigation determined that the transactions were not fraudulent. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC. No client harm resulted from the banker's actions.	Discharged
Joseph Starnes	Lavista, NE	Securities America, Inc.	No	5/25/2022	Relationship Banker Joseph Starnes was terminated by Wells Fargo Bank, N.A. following allegations that he accepted an unendorsed check for deposit. The allegations are unrelated to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Gregory Prime	New York, NY	Not registered	No	5/23/2022	Mr. Prime told a group of employees to delete certain business-related communications, though an internal review found no indication the employees did so.	Discharged

ALICE BRATTAIN SHAGLEY	Terra Haute, IN	Woodbury Financial	Yes (Customer)	5/13/2022	Allegations concerning failure to obtain proper trade authorization for certain trades and information security concerns.	Discharged
Jenna Marie Farah-Fimbres	Mesa, AZ	Not registered	No	4/29/2022	Registered banker resigned during course of bank investigation involving a number of employees with focus of investigation being bank funds missing from bank/automated teller machines.	Voluntary Resignation
Stefanie Hurkala	Hamilton Square, NJ	Not registered	Yes (Regulatory)	4/28/2022	Relationship Banker Stefanie Hurkala was terminated by Wells Fargo Bank, N.A. following allegations that she avoided the threshold for a Currency Transaction Report by withdrawing funds and cashing a check in separate transactions. The allegations are unrelated to the securities business of Wells Fargo Clearing Services, LLC. No customer harm was identified.	Discharged
Alexander Newman	Temecula, CA	Grape Modern Wealth Management	No	4/27/2022	The employee voluntarily resigned on April 27, 2022 after the Firm received an allegation that the employee did not obtain Firm clearance for his involvement in an outside activity. The Firm received an additional allegation that the employee hosted a client event without prior approval from the Firm. The event included a guest speaker who also provided financial support for the event.	Voluntary Resignation
Alexander Prisk	Duluth, MN	Not registered	No	4/13/2022	Wells Fargo Bank, N.A. discharged banker following allegations that banker improperly reversed bank fee for bank customer. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Michael Bentley	Phoenix, AZ	Sagepoint Financial, Inc.	Yes (Financial)	4/12/2022	Registered banker discharged after admitting during bank investigation that he reversed fees totaling \$85 charged to a family member's bank account. Banker	Discharged

					indicated during investigation he was unaware it was improper to reverse fees on a family member's account.	
Robin L. Matthews	Charlotte, NC	Not registered	No	3/31/2022	On March 15, 2022, FINRA determined Ms. Matthews was subject to a disqualification as defined in Section 3(a)(39) of the Securities Exchange Act of 1934.	Discharged
Roger Graham	San Antonio, TX	Braintrust Capital, LLC	No	2/25/2022	Financial advisor's employment terminated after he admitted during review to excessive trading in his personal securities account, contrary to prior Firm imposed trading limit set with advisor. No customer harm identified.	Discharged
Spencer Watson	Upland, CA	Not registered	No	2/8/2022	Premier Banker Spencer Watson was terminated by Wells Fargo Bank, N.A. following allegations that he reversed two \$35 overdraft fees on his own account. The allegations are unrelated to the securities business of Wells Fargo Clearing Services, LLC. No customer harm was identified.	Discharged
Nicholas Drees	Duluth, MN	Not registered	Yes (Criminal)	1/25/2022	WFBNA discharged registered banker after bank investigation determined he spent company time and used company email discussing an unapproved outside business interest with coworkers and customers. Bank also determined he accessed a customer's account without a business purpose. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC. No client harm resulted from the banker's action.	Discharged
Shawn Deetz	Clearwater, FL	Not registered	No	1/25/2022	Licensed banker discharged after bank investigation revealed that banker marked electronic signature pad in location intended for customer signature the day after the related bank transaction	Discharged

					occurred. Banker admitted signing signature pad. No related customer complaints received or customer harm identified.	
Faazleen Buksh	Raleigh, NC	Capfinancial Securities, LLC	No	1/6/2022	Registered Client Associate cut and pasted a client's signature on to a Firm document. No client harm was indicated. An original signature was obtained from the impacted client for the document at issue.	Voluntary Resignation
Erik Bach	Apex, NC	Not registered	No	1/4/2022	Wells Fargo Bank, N.A. discharged banker after allegations that he marked a bank Customized Summary Form and a closing agreement for safe deposit box rather than obtaining the required bank customer's signatures in order to complete the form and agreement. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC.	Discharged
Lisa Idlett	Carteret, NJ	Not registered	Yes (Regulatory)	1/4/2022	Investigation conducted by WF Bank concluded Licensed Banker signed client's name as maker to multiple checks drawn on client's WF Bank account payable to Licensed Banker. This activity was not related to the securities business of Wells Fargo Clearing Services, LLC.	Discharged



## Individuals who Departed Wells Fargo in 2022 with Significant Disclosure Histories

Methodology: The following individuals ended their registration with Wells Fargo in 2022 and had significant disclosure histories. None of the individuals on this chart were discharged by Wells Fargo nor did Wells Fargo place an employment disclosure on any of these individuals' licenses at the time of their departure from the firm.

Name	Location	Last Registered	Current Firm	Disclosure History
John Wright	Macon, GA	12/7/2022	Not Registered	Three customer settlements; One regulatory disclosure
Frank Lazar	Dublin, OH	12/5/2022	Morgan Stanley	Three customer complaints
Philip Dunn	Old Greenwich, CT	11/17/2022	Not Registered	Four customer disputes, including two settlements
Gregg T. Emanuel	Westfield, NJ	11/10/2022	Not Registered	Regulatory disclosure; Three customer settlements
Scott Hanawalt	Palm Beach, FL	11/8/2022	Not Registered	Five customer disputes, including two settlements and two adverse awards
Richard Dunne	Athens, GA	9/20/2022	Not Registered	Three customer complaints, including one settlement
Glen Strauss	Los Angeles, CA	9/20/2022	Sanctuary Securities, Inc.	Four customer disputes, including two awards
Helen Caldwell	Chicago, IL	9/15/2022	Not Registered	Termination from Hamilton Investments; Four customer disputes, including two settlements
Tiberio Dejulio	Sandy Springs, GA	9/13/2022	Not Registered	Customer settlement and disclosure for personal bankruptcy.
Mike Bogoslawsky	Alpharetta, GA	9/8/2022	Not Registered	Five disclosed customer complaints, including an adverse arbitration award
Marla Harvey-Guin	San Diego, CA	9/7/2022	Not Registered	Three customer complaints, including two settlements and one award
Thomas Morgan	Naples, FL	8/30/2022	Moran Wealth Management, LLC	Two denied customer complaints
Kyle Ridenour	Oklahoma City, OK	8/29/2022	BOK Financial Securities	Three customer complaints, including two settlements

Bradley Huffman	San Diego, CA	8/4/2022	Not Registered	Three customer settlements, including one settlement; criminal disclosure
Kevin Lee Dyerly	San Diego, CA	8/4/2022	Not Registered	Two customer complaints, including one settlement; criminal disclosure
Jeff Carpenter	Des Moines, IA	7/14/2022	Not Registered	Two regulatory disclosures; six customer complaints
John Hooker	Danbury, CT	7/5/2022	Not Registered	Termination from Merrill Lynch; five customer settlements
Keith Dunn	Palm Harbor, FL	6/24/2022	Johnson Dunn Capital Advisors, Inc.	Four disclosed customer settlements
Robert Heckler	Boca Raton, FL	6/3/2022	Not Registered	Five customer disputes, including two settlements
Jesse Bunich	Seattle, WA	5/4/2022	RBC Capital Markets	Three customer complaints, including two settlements
Jesse Bunich	Seattle, WA	5/4/2022	RBC Capital Markets	Three customer complaints, including two settlements
Mark Sewalson	Overland Park, KS	4/13/2022	Axxcess Wealth Management	One customer settlement; criminal disclosure
Mark Hoffman	Jacksonville, FL	4/8/2022	Not Registered	Three customer complaints
Gregory Bowman	Eugene, OR	4/6/2022	Not Registered	Three customer complaints, including one settlement
Marc Daner	Alpharetta, GA	3/23/2022	Daner Wealth Management, LLC	Four customer complaints, including two settlements
John Ferguson	Monroeville, PA	3/14/2022	Raymond James	Four customer disputes, including three settlements and one award
Troy Hill	Fayetteville, NC	3/10/2022	Capital Investment Group, Inc.	Two customer complaints, including one settlement
Bob Sullivan	Hyannis, MA	3/8/2022	Stifel Nicolas	Four customer disputes, including one settlement and one award
Bryan Werleman	Newport Beach, CA	3/7/2022	Werlmann Wealth Management	Five disclosed customer complaints

Jeffrey Kratz	Fort Worth, TX	3/7/2022	Not Registered	Termination from Prudential Bache; Regulatory disclosure; three customer complaints
James Eller	San Antonio, TX	2/15/2022	LPL Financial	Four customer disputes, including one settlement
Stephen Ross	Raleigh, NC	1/26/2022	Tradewinds, LLC	Three customer settlements
Tomm Hudson	Corte Madera, CA	1/18/2022	Not Registered	Termination from Merrill Lynch; three customer settlements
Louise Elizabeth Ladd-Whitson	Las Vegas, NV	1/14/2022	Not Registered	Four customer settlements; two regulatory disclosures; termination reported by Morgan Stanley
Douglas Hodson	Roanoke, VA	1/13/2022	Not Registered	Three customer complaints, including one settlement
Robert Player	Garden City, NY	1/11/2022	Not Registered	Termination from Merrill Lynch; eight customer settlements
Bob Nogrady	Babylon, NY	1/11/2022	Not Registered	Four customer disputes, including three settlements