From: Durbin, Colleen Colleen.Durbin@finra.org
Subject: RE: Admin. Proc. No. 3-21267: Nancy Mellon

Date: Jan 6, 2023 at 1:43:24 PM

To: Nancy Mellon Parker, Michelle

Michelle.Parker@finra.org

Cc: Espinosa, Nancy Nancy. Espinosa@finra.org

Ms. Mellon -

I wanted to make sure you are aware that you need to file your objections to our motion, along with any future matters or objections concerning your appeal, with the SEC. I've attached a link to the SEC rule concerning motions and oppositions.

Colleen

https://www.ecfr.gov/current/title-17/chapter-II/part-201#201.154

From: Nancy Mellon -

Sent: Friday, January 6, 2023 2:05 PM

To: Parker, Michelle < Michelle.Parker@finra.org >

Cc: Durbin, Colleen < Colleen.Durbin@finra.org>; Espinosa, Nancy

<Nancy.Espinosa@finra.org>

Subject: Re: Admin. Proc. No. 3-21267: Nancy Mellon

WARNING: External Sender! Exercise caution with links, attachments and requests for login information.

YOU Want extrpidinary evidence? How about the fact that my assistant- Mace Maraman-filed the reports(expense reports I funded), was charged with keeping up with documents and allocation of expenses to the report, that my manger Tom Stuhlsatz reneged in January- after the bowl game- in paying with branch funds- and that my assistant was always gunning to be a broker- despite lack of a college degree(usual prerequisite).. The my bank paid and reportted the check paid(at end of statement- opaid checks attached), that my assistant failed to process met bonus paperwork- which my bankers were expecting delivery of funds- making me look like a liar- causing them to pull. My long standing overdraft/ funding arrangement with t hemnoted as long standing overdraft which in reality was a credit line of 10-15,000 allowed by the bank.

Mis construal? Opportunity for me to state my case? NEVER!!!@@!@ NANCY KIMBAL; MELLON



FINCA.









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NANCY KIMBAL; MELLON

On Jan 6, 2023, at 12:45 PM, Parker, Michelle < Michelle. Parker@finra.org > wrote:

Attached is FINRA's Motion to Dismiss the Application for Review and to Stay the Issuance of a Briefing Schedule in the subject-referenced matter which was filed with the SEC today,









The NAC found Mellon guilty of conversion of \$4300 (which in fact was her self-funded expense account), filing false expense accounts, causing the firm's inaccurate books and records and failure to respond truthfully to requests for information.

Mellon stands that all information was furnished, documentation supported the check's status, accusations were based on management's lack of knowledge, constant false promises, lack of supervision, ineptitude/lack of professionalism of assistants and, multiple false accusations, as documented by Mellon's multiple expungements processes, at her expense(monetary, time and emotional/psychological).

The accurate summation of events, documented in FINRA hearing, include Tom Stuhlsatz's (manager) constant harassment, failure to provide capable administration at branch level, false promises and commitment (Outback bowl included) and assistant Maraman's destructive and conspiratorial behavior.

Mellon, other than having a check returned (late- it was PAID- as documented on statement), is innocent. The FACTS and evidenced actions leading up to her dismissal 12/7/2016, tell the real story. Including a rather bizarre relationship between client involved in Outback bowl (Robin Lester (various last names including Koslowski), and Maraman at the now defunct firm, currently/last known as JHS Capital.

The bank statements, the expenses pending that were to be filed by Maraman (quite disorganized and of the attitude that performing administrative asks were beneath him), the emails with Lester regarding the branch sponsorship, they do not lie.

The 6 years Mellon has dealt with unemployment in her field of expertise, the destruction of reputation and lifestyle, speak volumes.

I appeal the Finra decision and that of the NAC, respectfully.

Nancy Kimball Mellon

Nancy Mellon

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I have been discriminated and retallated against in violation of Tide VII of the Givil Rights Act of 1984, as amended.

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Pressor Act Statement: Under the Privacy Act of 1974, Pub. Law 93-579, authority to request personal data and its uses are:

- Form Number/Time/Date. EECC Form 5, Charge of Discrimination (11/09).
- Authority, 42 U.S.C. 2000e-5(b), 29 U.S.C. 211, 29 U.S.C. 626, 42 U.S.C. 12117, 42 U.S.C. 2000846.
- Preserva. Puescess. The purposes of a charge, taken on this form or otherwise reduced to writing (whether later recorded on this form or not) are, as applicable under the EEOC anti-discrimination statutes (EEOC statutes), to preserve private suit rights under the EEOC statutes, to invoke the EEOC's jurisdiction and, where dual-filing or referral arrangements exist, to begin state or local proceedings.
- 4. Roums: Uses. This form is used to provide facts that may establish the existence of matters covered by the EEOC statutes (and as applicable, other federal, state or local laws). Information given will be used by staff to guide its mediation and investigation efforts and, as applicable, to determine, concliste and Higgste claims of unlawful discrimination. This form may be presented to or disclosed to other federal, state or local agencies as appropriate or necessary in carrying out EEOC's functions. A copy of this charge will ordinarily be sent to the respondent organization against which the charge is made.
- 8. Whener Discussions is Management; Every or Nor Gives harconamos. Charges must be reduced to writing and should identify the charging and responding parties and the actions or policies complained of. Without a written charge, EEOC will ordinarily not act on the complaint. Charges under Title VII, the ADA or GINA must be sworn to or affirmed (either by using this form or by presenting a notarized statement or unsworn declaration under penalty of perjuny); charges under the ADEA should ordinarily be signed. Charges may be clarified or amplified later by amendment. It is not mandatory that this form be used to make a charge.

Notice of Road to Request Suistantial Weight Rayes

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Notice of Non-Retaliation Requirements

Please notify EEOC or the state or local agency where you field your charge if retaliation is taken against you or others who oppose discrimination or cooperate in any investigation or tawauit, concerning this charge. Under Section 704(a) of Title VU, Section 4(d) of the ADEA, Section 503(a) of the ADEA and Section 207(f) of GINA. It is unlessful for an employer to discriminate against present or former employees or job applicants, for an employeer agency to discriminate against anyone, or for a axion to discriminate against its members or membership applicants, because they have opposed any practice made unlessful by the statutes, or because they have made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under the laws. The Equal Pay Act has similar provisions and Section 503(b) of the ADA prohibits operation, intrindation, threats or interference with anyone for exercising or enjoying, or aiding or encouraging others in their exercise or enjoyment of, rights under the Act.

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NOTICE OF RIGHT TO REQUEST SUBSTANTIAL WEIGHT REVIEW

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U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

	DISMISSAL AND NOTICE OF	Nights	
To: Nancy K. Mellon	From:	Tampa Field Office 501 East Polk Street Room 1000 Tampa, FL 33602	
	person(s) aggrieved whose identity is IAL (29 CFR §1601.7(a))		
EEOC Charge No.	EEOC Representative	Telep	phone No.
	Pedro A. Hernandez,	***	
511-2020-00414	Investigator		3) 202-7938
THE EEOC IS CLOSING ITS FI	LE ON THIS CHARGE FOR THE FOLLO	WING REASON:	
The facts alleged in th	e charge fail to state a claim under any of the s	tatutes enforced by the EEOC.	
Your allegations did no	ot involve a disability as defined by the America	ns With Disabilities Act.	
The Respondent empl	oys less than the required number of employee	es or is not otherwise covered by	the statutes.
Your charge was no discrimination to file you	t timely filed with EEOC; in other words, your charge	ou waited too long after the d	late(s) of the alleged
information obtained e	e following determination: Based upon its investablishes violations of the statutes. This doeing is made as to any other issues that might be	s not certify that the respondent	t is in compliance with
The EEOC has adopte	ed the findings of the state or local fair employn	nent practices agency that invest	tigated this charge.
Other (briefly state)			
	- NOTICE OF SUIT RIGHT		
Discrimination in Employment You may file a lawsuit against the lawsuit must be filed <u>WITHIN 90</u>	isabilities Act, the Genetic Information Act: This will be the only notice of dismis e respondent(s) under federal law based of DAYS of your receipt of this notice; of based on a claim under state law may be displayed.	sal and of your right to sue the on this charge in federal or st r your right to sue based on th	nat we will send you. ate court. Your
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	On behalf of the Com	mission	
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Enclosures(s)	Evangeline Hawthorne Director	·	(Date Mailed)
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OS Received 01/06/2023

30th Floor - Mac D1053-300

Charlotte, NC 28202

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I, Nancy K. Mellon, was employed by Wells Fargo from August 20, 2012 to December 6, 2016, as a First Vice President. Upon my hire on August 20, 2012, by Wells Fargo Advisors, things were amiss; despite being a First Vice President, my office was poorly appointed, even the computer and phone were cast offs and not appropriate for my position. I was constantly harassed by clerks, coworkers, yelled at by bosses, secretaries, upper management, my compensation system was in disarray, and false claims were filed on my broker's license. I was warned by a friend in the business that someone was out to get me, the warning was trustworthy; because I was fired on December 6, 2016.

I've been harassed and I'm still being harassed by the Financial Industry Regulatory Authority (FINRA) since my discriminatory treatment with Wells Fargo and is still going on to this day. I cannot gain employment in my tenured field, FINRA is trying to bar me over an error that should have been corrected at the branch level at Wells Fargo, for me is an ongoing nightmare. Wells Fargo and FINRA are literally trying to ruin my life. My family and I have experienced financial loss, developed health issues and an array of other related issues.

I was told that I submitted a false expense account, I was repeatedly told that I was abusive to the staff, that I was constantly dealing with errors (clerical process things that no one else seemed to be having issues with. My work was always placed in a pile, ignored, or done in a slipshod manner. Even that staff setting up and entering my Outlook contacts reversed entries names, mistyped addresses, screwed up all my client's telephone numbers, it appeared as if the screw up was done intentionally to sabotage my career, it was nuts, it just got worse and worse.

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I have been discriminated and retaliated against in violation of Title VII of the Civil Rights Act of 1964, as amended.

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the	e agencies if I ch	filed with both the EEOC and the State or local Agency, if any. I will advise hange my address or phone number and I will cooperate fully with them in my charge in accordance with their procedures.	NOTARY – When necessary for State and Local Agency Requirements				
			I swear or affirm that I have read the above charge and that it is true to the best of my knowledge, information and belief.				
I	iedare under	penalty of perjury that the above is true and correct.					
			SIGNATURE OF COMPLAINANT				
			mangnet				
			SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)				
	Dale	Charging Party Signature	1/27/2020				

CP Enclosure with EEOC Form 5 (11/09)

PRIVACY Act STATEMENT: Under the Privacy Act of 1974, Pub. Law 93-579, authority to request personal data and its uses are:

- FORM NUMBER/TITLE/DATE. EEOC Form 5, Charge of Discrimination (11/09).
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Tampa Field Office

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U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

	DISMISSAL AN	D NOTICE OF	KIGHIS	
To: Nano	y K. Mellon	From:	Tampa Field Office 501 East Polk Street Room 1000 Tampa, FL 33602	
	On behalf of person(s) aggrieved whose idea CONFIDENTIAL (29 CFR §1601.7(a))	ntity is		
EEOC Charg	e No. EEOC Representative			Telephone No.
	Pedro A. Hernand	ez,		
511-2020-				(813) 202-7938
THE EEO	C IS CLOSING ITS FILE ON THIS CHARGE F	OR THE FOLLO	WING REASON:	
	The facts alleged in the charge fail to state a claim	under any of the s	tatutes enforced by the EE	OC.
	Your allegations did not involve a disability as defi	ned by the America	ns With Disabilities Act.	
	The Respondent employs less than the required n	umber of employee	s or is not otherwise cover	red by the statutes.
	Your charge was not timely filed with EEOC; discrimination to file your charge	in other words, yo	ou waited too long after	the date(s) of the alleged
	The EEOC issues the following determination: information obtained establishes violations of the the statutes. No finding is made as to any other is	statutes. This doe	s not certify that the respo	ondent is in compliance with
	The EEOC has adopted the findings of the state of	r local fair employm	ent practices agency that	investigated this charge.
Х	No employer employee relationship			
		OF SUIT RIGHT		
Discrimina You may fil lawsuit mu :	e Americans with Disabilities Act, the Generation in Employment Act: This will be the only e a lawsuit against the respondent(s) under fest be filed WITHIN 90 DAYS of your receipt ime limit for filing suit based on a claim under state.	y notice of dismis deral law based o of this notice; o	sal and of your right to s on this charge in federal r your right to sue based	sue that we will send you. or state court. Your
alleged EP/	Act (EPA): EPA suits must be filed in federal of underpayment. This means that backpay du file suit may not be collectible.			
	On	behalf of the Comr	nission	
	Evanglin	e Hawthone		2/5/2020
Enclosures(s	Evang.	eline Hawthorne Director	,	(Date Mailed)
FI	nnifer Borlaza, Directo of Human Resource: NRA 35 K Street	s		

OS Received 01/06/2023

Washington, DC 20006

EEOC Form 5 (11/09)			
CHARGE OF DISCRIMINATION	Charge F	resented To:	Agency(ies) Charge No(s)
This form is affected by the Privacy Act of 1974. See enclosed Privacy Act Statement and other information before completing this form.		FEPA	
	x	EEOC	511-2020-01657
Florida Co		on On Human Re	elations and EEOC

Received

Tampa Field Office

Name	(indicate	Mr., Ms., Mi	2.)						Home Pho	ne (Incl. Area Code)	Date of Birth
Mrs	. Nan	cy K. M	ellon								1961
Stree	t Address	City, State a	and ZIP Code	9							
									2860	31.7	
							·		46		
Nam Disc	ed is the iminated	: Employer, I Against M	Labor Orga e or Others	anization s. (If mo	, Employ re <i>than t</i> v	ment Age. vo, list und	ncy, Appren <i>fer PARTIC</i> (ticeship Committe ULARS below.)	e, or State or Loc	al Government Age	ncy That I Belleve
Name	1								No. Employe	es, Members	Phone No. (Include Area Code)
FIN	ANCL	AL INDU	JSTRY F	REGU	LATOR	RY AUT	HORITY	(FINRA)	500 o	r More	(301) 590-6500
Stree	Address	City, State a	and ZIP Code	•	78						200
520	0 Tox	n Cente	er Circle	Suit	e 200.	Boca	Center T	ower 1, Boo	a Raton, FL	33486	And the second
Name	N. Santa								No. Employe	es, Members	Phone No. (Include Area Code)
			ST 1703								
Stree	Address	City, State a	and ZIP Code			- 4			5 		
DISC	RIMINATI	ON BASED	ON (Check a	ppropriat	e bax(as).)		91			DATE(S) DISCRI	MINATION TOOK PLACE
	100		EDMIN BY TH							Earliest	Latest
	RACE	C	DLOR		SEX	R	ELIGION	NATIONAL	ORIGIN	01-01-201	3 12-06-2016
									<u> </u>		
X	RETAL	IATION		AGE	D	SABILITY		GENETIC INF	ORMATION		
33	X	OTHER (Specify)		352-5 767	26				IX o	CONTINUING ACTION
_										1	181
THE	ARTICU	LARS ARE (f additional o	aper is n	eded, atta	ich extra sh	eat(s)):				770
-								from Augus	20, 2012 to	December 6,	

I, Nancy K. Mellon, was employed by Wells Fargo from August 20, 2012 to December 6, 2016, as a First Vice President. Upon my hire on August 20, 2012, by Wells Fargo Advisors, things were amiss; despite being a First Vice President, my office was poorly appointed, even the computer and phone were cast offs and not appropriate for my position. I was constantly harassed by clerks, coworkers, yelled at by bosses, secretaries, upper management, my compensation system was in disarray, and false claims were filed on my broker's license. I was warned by a friend in the business that someone was out to get me, the warning was trustworthy; because I was fired on December 6, 2016.

I've been harassed and I'm still being harassed by the Financial Industry Regulatory Authority (FINRA) since my discriminatory treatment with Wells Fargo and is still going on to this day. I cannot gain employment in my tenured field, FINRA is trying to bar me over an error that should have been corrected at the branch level at Wells Fargo, for me is an ongoing nightmare. Wells Fargo and FINRA are literally trying to ruin my life. My family and I have experienced financial loss, developed health issues and an array of other related issues.

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I have been discriminated and retaliated against in violation of Title VII of the Civil Rights Act of 1964, as amended.

protect for sy do dissertation		
	OC and the State or local Agency, if any. I will advise phone number and I will cooperate fully with them in nee with their procedures.	NOTARY When necessary for Stafe and Local Agency Requirements
		I swear or affirm that I have read the above charge and that it is true to the best of my knowledge, information and belief.
I declare under penalty of perjury to	hat the above is true and correct.	
		SIGNATURE OF COMPLAINANT
Jan 27, 2020		Manx MC
		SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
Date	Charging Party Signature	1/27/2020
· •	•	

CP Enclosure with EEOC Form 5 (11/09)

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Received

JAN 29 2020

Tampa Field Office

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U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

	DISMISSAL AND NOTICE OF	KIGH13						
To: Nancy K. Mellon	From:	Tampa Field Office 501 East Polk Street Room 1000 Tampa, FL 33602						
	person(s) aggrieved whose identity is IAL (29 CFR §1601.7(a))							
EEOC Charge No.	EEOC Representative		Telephone No.					
	Pedro A. Hernandez,		/\					
511-2020-00414	Investigator		(813) 202-7938					
 	LE ON THIS CHARGE FOR THE FOLLO							
The facts alleged in the	e charge fail to state a claim under any of the s	tatutes enforced by the EB	EOC.					
Your allegations did no	ot involve a disability as defined by the America	ns With Disabilities Act.						
The Respondent empl	oys less than the required number of employee	es or is not otherwise cove	red by the statutes.					
Your charge was not discrimination to file you	t timely filed with EEOC; in other words, your charge	ou waited too long after	the date(s) of the alleged					
information obtained e	The EEOC issues the following determination: Based upon its investigation, the EEOC is unable to conclude that the information obtained establishes violations of the statutes. This does not certify that the respondent is in compliance with the statutes. No finding is made as to any other issues that might be construed as having been raised by this charge.							
The EEOC has adopte	ed the findings of the state or local fair employn	nent practices agency that	investigated this charge.					
Other (briefly state)								
	- NOTICE OF SUIT RIGHT							
Discrimination in Employment You may file a lawsuit against the lawsuit must be filed <u>WITHIN 90</u>	isabilities Act, the Genetic Information Act: This will be the only notice of dismis e respondent(s) under federal law based of DAYS of your receipt of this notice; of pased on a claim under state law may be displayed.	sal and of your right to on this charge in federa r your right to sue based	sue that we will send you. I or state court. Your					
	s must be filed in federal or state court with s means that backpay due for any violation collectible.							
	On behalf of the Com	mission						
	Evangline Haw House		2/5/2020					
Enclosures(s)	Evangeline Hawthorne Director	<u> </u>	(Date Mailed)					
Tammy Bailey, Legal A WELLS FARGO LEGAL 301 South College Stre	·							

OS Received 01/06/2023

30th Floor - Mac D1053-300

Charlotte, NC 28202

EEOC Form 5 (11/09)					Received
CHARGE OF DISCRIMINATION	Charge	e Pres	sented To:)	
This form is affected by the Privacy Act of 1974. See enclosed Privacy Ac Statement and other information before completing this form.		_	FEPA		JAN 29 2020
					Tampa Field Office
			EEOC	511-2020-00414	Tampa Field Office
					7
Florida (Commis	sion	On Human R	elations and EEOC	

										_						
											Date of Birth					
Mr	Mrs. Nancy K. Mellon 1961												1961			
Stree	t Address	City, Stat	e and ZIP Co	de												
											eship Committe ARS below.)	ee, or	State or Loca	al Government Age	ency 1	That I Believe
Nam	е											No.	Employees, Mem	bers	Phon	e No. (Include Area Code)
WE	LLSF	ARGO	ADVIS	ORS								5	00 or Mo	re	(1	877) 479-3557
Stree	l Address	City, Stat	e and ZIP Cox	de						_						
403	80 W B	oy Sc	out Blvd	I., Suit	e 1	50		Tam	۱p	a	a, FL 3360	7				
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Nam	e											No.	Employees, Mem	bers	Phon	e No. (Include Area Code)
Stree	l Address	City, Stati	e and ZIP Cod	de												
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Disc	RIMINATI	ON BASE	D ON (Check	appropria	te bo	x(es).)								DATE(S) DISCRIMI	OITAV	N TOOK PLACE
														Earliest		Latest
	RACE		OLOR		SEX		RELIG	SION	T		NATIONAL ORI	GIN		01-04-2013	T	12-06-2016
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7	RETALIA	ATION		AGE	T	DISABIL	ΙΤΥ		G	GE	ENETIC INFORM	OITAN	N			
X OTHER (Specify)										1,21	ONT1	UING ACTION				
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THE	PARTICUL	ARS ARE	(If additional	paper is n	ieede	d, attach	extra sh	eet(s)):								
_										_						

I, Nancy K. Mellon, was employed by Wells Fargo from August 20, 2012 to December 6, 2016, as a First Vice President. Upon my hire on August 20, 2012, by Wells Fargo Advisors, things were amiss; despite being a First Vice President, my office was poorly appointed, even the computer and phone were cast offs and not appropriate for my position. I was constantly harassed by clerks, coworkers, yelled at by bosses, secretaries, upper management, my compensation system was in disarray, and false claims were filed on my broker's license. I was warned by a friend in the business that someone was out to get me, the warning was trustworthy; because I was fired on December 6, 2016.

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the	e agencies if I ch	filed with both the EEOC and the State or local Agency, if any. I will advise hange my address or phone number and I will cooperate fully with them in my charge in accordance with their procedures.	NOTARY – When necessary for State and Local Agency Requirements
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I	iedare under	penalty of perjury that the above is true and correct.	
			SIGNATURE OF COMPLAINANT
			mangnet
			SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
	Dale	Charging Party Signature	1/27/2020

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EEOC Charg	e No. EEOC Representative			Telephone No.
	Pedro A. Hernand	ez,		
511-2020-				(813) 202-7938
THE EEO	C IS CLOSING ITS FILE ON THIS CHARGE F	OR THE FOLLO	WING REASON:	
	The facts alleged in the charge fail to state a claim	under any of the s	tatutes enforced by the EE	OC.
	Your allegations did not involve a disability as defi	ned by the America	ns With Disabilities Act.	
	The Respondent employs less than the required n	umber of employee	s or is not otherwise cover	red by the statutes.
	Your charge was not timely filed with EEOC; discrimination to file your charge	in other words, yo	ou waited too long after	the date(s) of the alleged
	The EEOC issues the following determination: information obtained establishes violations of the the statutes. No finding is made as to any other is	statutes. This doe	s not certify that the respo	ondent is in compliance with
	The EEOC has adopted the findings of the state of	r local fair employm	ent practices agency that	investigated this charge.
Х	No employer employee relationship			
		OF SUIT RIGHT		
Discrimina You may fil lawsuit mu :	e Americans with Disabilities Act, the Generation in Employment Act: This will be the only e a lawsuit against the respondent(s) under fest be filed WITHIN 90 DAYS of your receipt ime limit for filing suit based on a claim under state.	y notice of dismis deral law based o of this notice; o	sal and of your right to s on this charge in federal r your right to sue based	sue that we will send you. or state court. Your
alleged EP/	Act (EPA): EPA suits must be filed in federal of underpayment. This means that backpay du file suit may not be collectible.			
	On	behalf of the Comr	nission	
	Evanglin	e Hawthone		2/5/2020
Enclosures(s	Evang.	eline Hawthorne Director	,	(Date Mailed)
FI	nnifer Borlaza, Directo of Human Resource: NRA 35 K Street	s		

OS Received 01/06/2023

Washington, DC 20006

EEOC Form 5 (11/09)			
CHARGE OF DISCRIMINATION	Charge F	resented To:	Agency(ies) Charge No(s)
This form is affected by the Privacy Act of 1974. See enclosed Privacy Act Statement and other information before completing this form.		FEPA	
	x	EEOC	511-2020-01657
Florida Co		on On Human Re	elations and EEOC

Received

Tampa Field Office

Name (indicate Mr., Ms.	Mrs.)		Home Phone (Inc.)	Area Code)	Date of Birth		
Mrs. Nancy K.	Mellon				1961		
Street Address City, Str	te and ZIP Code						
					2.0		
			·-···		46		70761
Named is the Employ Discriminated Agains	er, Labor Organizati Me or Others. (<i>If n</i>	ion, Employme nore than two,	ent Agency, Appren , <i>list under PARTIC</i>	ticeship Committee ULARS below.)	, or State or Local Gov	emment Agency	That I Belleve
Name					No. Employees, Mem	bers Ph	one No. (Include Area Code)
FINANCIAL IN	DUSTRY REG	ULATORY	AUTHORITY	(FINRA)	500 or Moi	re	(301) 590-6500
Street Address City, Sta	le and ZIP Code			2020 (8278000)			
5200 Town Cer	iter Circle Su	ite 200. E	Boca Center T	ower 1. Boc	a Raton, FL 334	86	
				.,			
Name	ile 5 1		-		No. Employees, Mem	bers Ph	one No. (Include Area Code)
	W W WW			-			3,424
Street Address City, Sta	te and ZIP Code		4		10		Salt Book For the Salt Co.
				ALEXAMEN AND A			
3							
DISCRIMINATION BAS	D ON (Check appropr	iale box(es).)	50		D/	ATE(S) DISCRIMIN	ATION TOOK PLACE
						Earliest	Latest
RACE	COLOR	SEX	RELIGION	NATIONAL	ORIGIN (1-01-2013	12-06-2016
	W. 15				- Marco Age		
X RETALIATION	AGE	Dis	ABILITY	GENETIC INFO	RMATION .		
Х отне	R (Specify)	392-1 39				X CON	TINUING ACTION
					-	11/	()

I, Nancy K. Mellon, was employed by Wells Fargo from August 20, 2012 to December 6, 2016, as a First Vice President. Upon my hire on August 20, 2012, by Wells Fargo Advisors, things were amiss; despite being a First Vice President, my office was poorly appointed, even the computer and phone were cast offs and not appropriate for my position. I was constantly harassed by clerks, coworkers, yelled at by bosses, secretaries, upper management, my compensation system was in disarray, and false claims were filed on my broker's license. I was warned by a friend in the business that someone was out to get me, the warning was trustworthy; because I was fired on December 6, 2016.

I've been harassed and I'm still being harassed by the Financial Industry Regulatory Authority (FINRA) since my discriminatory treatment with Wells Fargo and is still going on to this day. I cannot gain employment in my tenured field, FINRA is trying to bar me over an error that should have been corrected at the branch level at Wells Fargo, for me is an ongoing nightmare. Wells Fargo and FINRA are literally trying to ruin my life. My family and I have experienced financial loss, developed health issues and an array of other related issues.

I was told that I submitted a false expense account, I was repeatedly told that I was abusive to the staff, that I was constantly dealing with errors (clerical process things that no one else seemed to be having issues with. My work was always placed in a pile, ignored, or done in a slipshod manner. Even that staff setting up and entering my Outlook contacts reversed entries names, mistyped addresses, screwed up all my client's telephone numbers, it appeared as if the screw up was done intentionally to sabotage my career, it was nuts, it just got worse and worse.

Everyone is a similar situation the staff treated them with respect. When someone had a

client come to the office they were treated with respect, handed documents, brought drinks, however, when it came to me there was a negative outlook and my clients were not greeted with such formality. I usually had to hunt down my own paperwork and if by chance it was done by the staff in time for a meeting it was error laden. A clerk made numerous expense account errors, he submitted my reports and he was reimbursed. They internally corrected everything and allowed him to pay it back (I believe). The error was in the amount of \$8,000 to \$10,000, my error was a returned check for \$3,800 and no remedy was offered to me. I have been tormented for a stupid mistake I made and not even given the opportunity to remedy things.

Wells Fargo firing me was not enough, they further retaliated against me by placing language on my license inciting a FINRA investigation, weaponizing FINRA to continue to harass me constantly and they continue to do so with multiple charges levied against me. I've spent countless hours correcting the false filings of Wells Fargo while answering each of FINRA's charges, complaints, filings, mediations, OTRS, hearings, appeals. My career, business, and reputation have been dragged through the mud and ruined. This unfortunate and has touched every aspect of my life, it has affected every aspect of my life, if only someone with empathy would take the time and look at the downward spiral after being hired by Wells Forgo they could begin to understand the injustice I've been subject to by Wells Fargo and FINRA.

I have been discriminated and retaliated against in violation of Title VII of the Civil Rights Act of 1964, as amended.

protect for sy do dissertation		
	OC and the State or local Agency, if any. I will advise phone number and I will cooperate fully with them in nee with their procedures.	NOTARY When necessary for State and Local Agency Requirements
		I swear or affirm that I have read the above charge and that it is true to the best of my knowledge, information and belief.
I declare under penalty of perjury to	hat the above is true and correct.	
		SIGNATURE OF COMPLAINANT
Jan 27, 2020		Manx Mi
		SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
Date	Charging Party Signature	1/27/2020
· •	•	

CP Enclosure with EEOC Form 5 (11/09)

PRIVACY ACT STATEMENT: Under the Privacy Act of 1974, Pub. Law 93-579, authority to request personal data and its uses are:

- 1. FORM NUMBER/TITLE/DATE. EEOC Form 5, Charge of Discrimination (11/09).
- 2. Authority. 42 U.S.C. 2000e-5(b), 29 U.S.C. 211, 29 U.S.C. 626, 42 U.S.C. 12117, 42 U.S.C. 2000ff-6.
- 3. PRINCIPAL PURPOSES. The purposes of a charge, taken on this form or otherwise reduced to writing (whether later recorded on this form or not) are, as applicable under the EEOC anti-discrimination statutes (EEOC statutes), to preserve private suit rights under the EEOC statutes, to invoke the EEOC's jurisdiction and, where dual-filing or referral arrangements exist, to begin state or local proceedings.
- 4. ROUTINE USES. This form is used to provide facts that may establish the existence of matters covered by the EEOC statutes (and as applicable, other federal, state or local laws). Information given will be used by staff to guide its mediation and investigation efforts and, as applicable, to determine, conciliate and litigate claims of unlawful discrimination. This form may be presented to or disclosed to other federal, state or local agencies as appropriate or necessary in carrying out EEOC's functions. A copy of this charge will ordinarily be sent to the respondent organization against which the charge is made.
- 5. WHETHER DISCLOSURE IS MANDATORY; EFFECT OF NOT GIVING INFORMATION. Charges must be reduced to writing and should identify the charging and responding parties and the actions or policies complained of. Without a written charge, EEOC will ordinarily not act on the complaint. Charges under Title VII, the ADA or GINA must be sworn to or affirmed (either by using this form or by presenting a notarized statement or unsworn declaration under penalty of perjury); charges under the ADEA should ordinarily be signed. Charges may be clarified or amplified later by amendment. It is not mandatory that this form be used to make a charge of 1/06/2023

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JAN 29 2020

Tampa Field Office

Notice of Right to Request Substantial Weight Review

Charges filed at a state or local Fair Employment Practices Agency (FEPA) that dual-files charges with EEOC will ordinarily be handled first by the FEPA. Some charges filed at EEOC may also be first handled by a FEPA under worksharing agreements. You will be told which agency will handle your charge. When the FEPA is the first to handle the charge, it will notify you of its final resolution of the matter. Then, if you wish EEOC to give Substantial Weight Review to the FEPA's final findings, you must ask us in writing to do so within 15 days of your receipt of its findings. Otherwise, we will ordinarily adopt the FEPA's finding and close our file on the charge.

Notice of Non-Retaliation Requirements

Please notify EEOC or the state or local agency where you filed your charge if retaliation is taken against you or others who oppose discrimination or cooperate in any investigation or lawsuit concerning this charge. Under Section 704(a) of Title VII, Section 4(d) of the ADEA, Section 503(a) of the ADA and Section 207(f) of GINA, it is unlawful for an *employer* to discriminate against present or former employees or job applicants, for an *employment agency* to discriminate against anyone, or for a *union* to discriminate against its members or membership applicants, because they have opposed any practice made unlawful by the statutes, or because they have made a charge, testified, assisted, or participated in any manner in an investigation, proceeding, or hearing under the laws. The Equal Pay Act has similar provisions and Section 503(b) of the ADA prohibits coercion, intimidation, threats or interference with anyone for exercising or enjoying, or aiding or encouraging others in their exercise or enjoyment of, rights under the Act.