

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 [REDACTED] 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

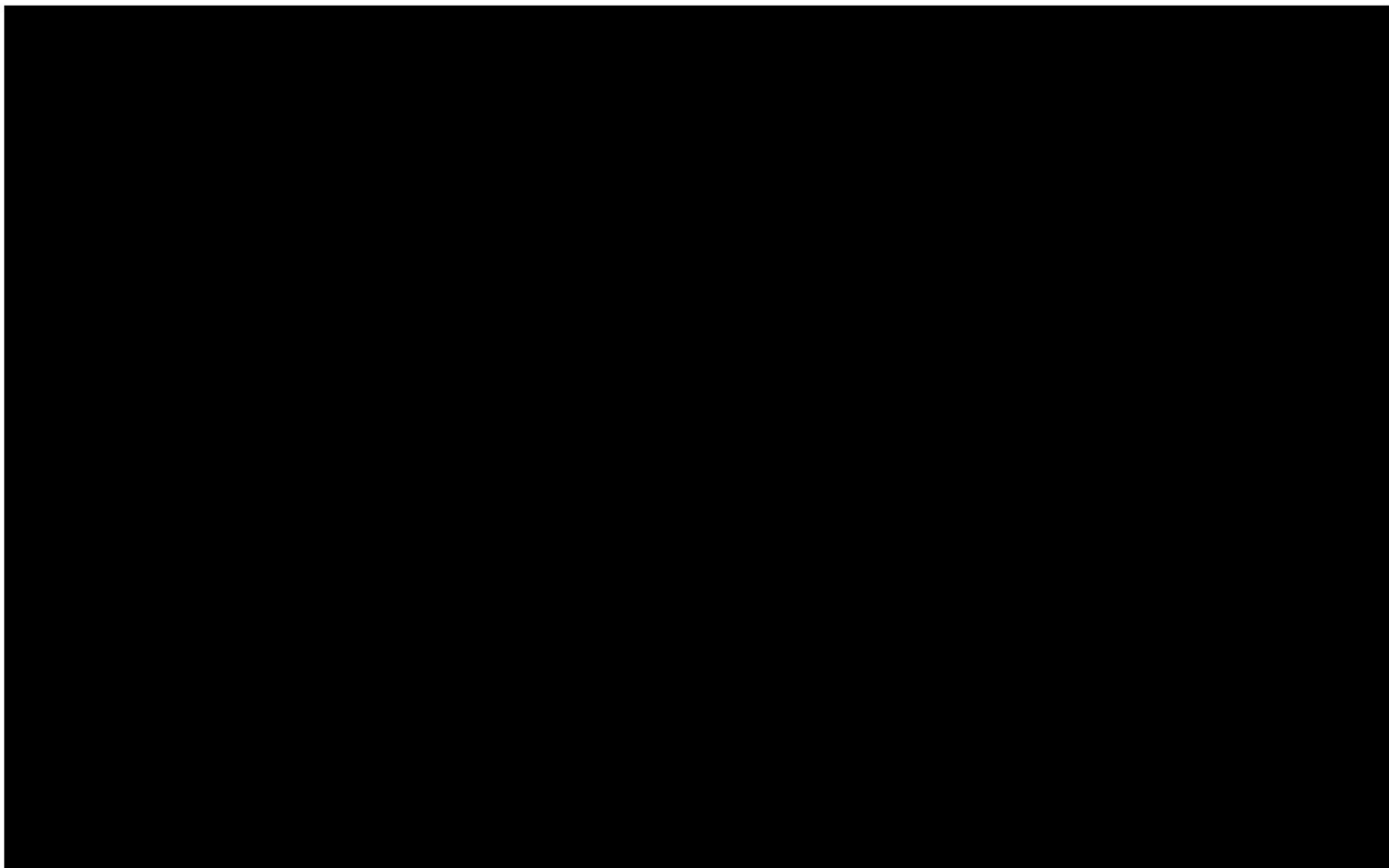
<https://www.ecfr.gov/current/title-17/chapter-II/part-201#201.154>

From: Nancy Mellon [REDACTED]
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

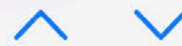
WARNING: External Sender! Exercise caution with links, attachments and requests for login information.

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 reported 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 hem- noted 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



FINRA.



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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



CHARGE OF DISCRIMINATION			Charge Presented To:	Agency(ies) Charge No(s)
<small>This form is afforded by the Florida Act of 1974. See enclosed Privacy Act Statement and other information before completing this form.</small>			FEPA	
			<input checked="" type="checkbox"/> EEOC	511-2023-01657
			Florida Commission On Human Relations and EEOC	
			State or Local Agency, if any	

Name (Indicate Mr., Ms., Mrs.)		Home Phone (incl. Area Code)	Disc. Type			
Mrs. Nancy K. Mellon						
Address (City, State and ZIP Code)						
[Redacted]						
Name of the Employer, Labor Organization, Employer's Agency, Apprenticeship Committee, or State or Local Government Agency That I Believe Discriminated Against Me or Others. (If more than one, list under PARTICULARS below.)						
Name		No. Employees, Members	Phone No. (include Area Code)			
FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)		500 or More	(301) 530-6500			
Street Address (City, State and ZIP Code)						
5200 Town Center Circle Suite 203, Boca Center Tower 1, Boca Raton, FL 33486						
Name		No. Employees, Members	Phone No. (include Area Code)			
Street Address (City, State and ZIP Code)						
DISCRIMINATION BASED ON (Check appropriate box(es))			DATE(S) DISCRIMINATION TOOK PLACE			
			Filed: Laid:			
<input type="checkbox"/> RACE	<input type="checkbox"/> COLOR	<input type="checkbox"/> SEX	<input type="checkbox"/> RELIGION	<input type="checkbox"/> NATIONAL ORIGIN	01-01-2013	12-06-2016
<input checked="" type="checkbox"/> RETALIATION	<input type="checkbox"/> AGE	<input type="checkbox"/> DISABILITY	<input type="checkbox"/> GENETIC INFORMATION			
<input checked="" type="checkbox"/> OTHER (Specify)					<input checked="" type="checkbox"/> CONTINUING ACTION	

(If PARTICULARS ARE of address paper or copies, attach with charge.)

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 in 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 Fargo 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.

I send this charge filed with both the EEOC and the State or Local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of 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 declare under penalty of perjury that the above is true and correct.		
		SIGNATURE OF COMPLAINANT
Jan 27, 2020		<i>Manuel</i>
		RECORDED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
Date	Charging Party Signature	1/27/2020

CP Enclosure with EEOC Form 5 (1/08)

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).
- 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. 2002e-6.
- Purpose/ Purpose.** 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.
- 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.
- Written Disclosure is Mandatory; Error or Not Given Inconsequential.** 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 sworn 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.

Notice of Right to Request Substantial Weight Review

Charges filed at a state or local Fair Employment Practices Agency (FEPA) that dual-file 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(a) 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.

Everyone in 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.

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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.

I send this charge (and will) both the EEOC and the State or Local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of my charge in accordance with their procedures.		NO FEE - 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 that the above is true and correct.		
SIGNATURE OF COMPLAINANT		
SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)		
Date	Charging Party Signature	1/27/2020

CP (includes with EEOC Form 511309)

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

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- Purpose(s).** 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.
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- Whistleblower Disclosure is Mandatory; Error or Non-Grave Inconveniences.** 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.

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U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

To: Nancy K. Mellon
[Redacted]

From: Tampa Field Office
501 East Polk Street
Room 1000
Tampa, FL 33602

On behalf of person(s) aggrieved whose identity is
CONFIDENTIAL (29 CFR §1601.7(a))

EEOC Charge No.	EEOC Representative	Telephone No.
511-2020-00414	Pedro A. Hernandez, Investigator	(813) 202-7938

THE EEOC IS CLOSING ITS FILE ON THIS CHARGE FOR THE FOLLOWING REASON:

- The facts alleged in the charge fail to state a claim under any of the statutes enforced by the EEOC.
- Your allegations did not involve a disability as defined by the Americans With Disabilities Act.
- The Respondent employs less than the required number of employees or is not otherwise covered by the statutes.
- Your charge was not timely filed with EEOC; in other words, you waited too long after the date(s) of the alleged discrimination to file your charge
- 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 adopted the findings of the state or local fair employment practices agency that investigated this charge.
- Other (briefly state)

- NOTICE OF SUIT RIGHTS -

(See the additional information attached to this form.)

Title VII, the Americans with Disabilities Act, the Genetic Information Nondiscrimination Act, or the Age Discrimination in Employment Act: This will be the only notice of dismissal and of your right to sue that we will send you. You may file a lawsuit against the respondent(s) under federal law based on this charge in federal or state court. Your lawsuit must be filed **WITHIN 90 DAYS** of your receipt of this notice; or your right to sue based on this charge will be lost. (The time limit for filing suit based on a claim under state law may be different.)

Equal Pay Act (EPA): EPA suits must be filed in federal or state court within 2 years (3 years for willful violations) of the alleged EPA underpayment. This means that **backpay due for any violations that occurred more than 2 years (3 years) before you file suit may not be collectible.**

On behalf of the Commission

Evangeline Hawthorne

Evangeline Hawthorne,
Director

2/5/2020

(Date Mailed)

Enclosures(s)

cc: Tammy Bailey, Legal Administrative Assistant
WELLS FARGO LEGAL DEPARTMENT
301 South College Street
30th Floor - Mac D1053-300
Charlotte, NC 28202

Received

JAN 29 2020

Tampa Field Office

EEOC Form 5 (11/09)		
CHARGE OF DISCRIMINATION	Charge Presented 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	511-2020-00414
Florida Commission On Human Relations and EEOC		
State or local Agency, if any		

Name (indicate Mr., Ms., Mrs.)	Home Phone (incl. Area Code)	Date of Birth
Mrs. Nancy K. Mellon	[REDACTED]	1961
Street Address City, State and ZIP Code		
[REDACTED]		
Named is the Employer, Labor Organization, Employment Agency, Apprenticeship Committee, or State or Local Government Agency That I Believe Discriminated Against Me or Others. (If more than two, list under PARTICULARS below.)		
Name	No. Employees, Members	Phone No. (include Area Code)
WELLS FARGO ADVISORS	500 or More	(877) 479-3557
Street Address City, State and ZIP Code		
4030 W Boy Scout Blvd., Suite 150 Tampa, FL 33607		
Name	No. Employees, Members	Phone No. (include Area Code)
Street Address City, State and ZIP Code		
DISCRIMINATION BASED ON (Check appropriate box(es).)		
		DATE(S) DISCRIMINATION TOOK PLACE
		Earliest Latest
<input type="checkbox"/> RACE	<input type="checkbox"/> COLOR	<input type="checkbox"/> SEX
<input type="checkbox"/> RELIGION	<input type="checkbox"/> NATIONAL ORIGIN	
<input checked="" type="checkbox"/> RETALIATION	<input type="checkbox"/> AGE	<input type="checkbox"/> DISABILITY
<input type="checkbox"/> OTHER (Specify)	<input type="checkbox"/> GENETIC INFORMATION	
		<input checked="" type="checkbox"/> CONTINUING ACTION

THE PARTICULARS ARE (If additional paper is needed, attach extra sheet(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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Received
 JAN 29 2020
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I want this charge filed with both the EEOC and the State or local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of 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 declare under penalty of perjury that the above is true and correct.		
		SIGNATURE OF COMPLAINANT
		<i>Mary Muel</i>
		SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
Date	Charging Party Signature	<i>1/27/2020</i>

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).
- 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. 2000f-6.
- 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.
- 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.
- 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

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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.

U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

To: Nancy K. Mellon
[Redacted]

From: Tampa Field Office
501 East Polk Street
Room 1000
Tampa, FL 33602

On behalf of person(s) aggrieved whose identity is
CONFIDENTIAL (29 CFR §1601.7(a))

EEOC Charge No.	EEOC Representative	Telephone No.
511-2020-01657	Pedro A. Hernandez, Investigator	(813) 202-7938

THE EEOC IS CLOSING ITS FILE ON THIS CHARGE FOR THE FOLLOWING REASON:

- The facts alleged in the charge fail to state a claim under any of the statutes enforced by the EEOC.
- Your allegations did not involve a disability as defined by the Americans With Disabilities Act.
- The Respondent employs less than the required number of employees or is not otherwise covered by the statutes.
- Your charge was not timely filed with EEOC; in other words, you waited too long after the date(s) of the alleged discrimination to file your charge
- 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 adopted the findings of the state or local fair employment practices agency that investigated this charge.
- No employer employee relationship

- NOTICE OF SUIT RIGHTS -
(See the additional information attached to this form.)

Title VII, the Americans with Disabilities Act, the Genetic Information Nondiscrimination Act, or the Age Discrimination in Employment Act: This will be the only notice of dismissal and of your right to sue that we will send you. You may file a lawsuit against the respondent(s) under federal law based on this charge in federal or state court. Your lawsuit **must be filed WITHIN 90 DAYS of your receipt of this notice**; or your right to sue based on this charge will be lost. (The time limit for filing suit based on a claim under state law may be different.)

Equal Pay Act (EPA): EPA suits must be filed in federal or state court within 2 years (3 years for willful violations) of the alleged EPA underpayment. This means that **backpay due for any violations that occurred more than 2 years (3 years) before you file suit may not be collectible.**

On behalf of the Commission

Evangeline Hawthorne

Evangeline Hawthorne,
Director

2/5/2020
(Date Mailed)

Enclosures(s)

cc: Jennifer Borlaza, Directo of Human Resources
FINRA
1735 K Street
Washington, DC 20006

CHARGE OF DISCRIMINATION		Charge Presented 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.		<input type="checkbox"/> FEPA	
		<input checked="" type="checkbox"/> EEOC	511-2020-01657
		Florida Commission On Human Relations and EEOC	
		State or local Agency, if any	

Received

JAN 29 2020

Tampa Field Office

Name (Indicate Mr., Ms., Mrs.)	Home Phone (Incl. Area Code)	Date of Birth
Mrs. Nancy K. Mellon	[REDACTED]	1961
Street Address City, State and ZIP Code		
[REDACTED]		
Named is the Employer, Labor Organization, Employment Agency, Apprenticeship Committee, or State or Local Government Agency That I Believe Discriminated Against Me or Others. (If more than two, list under PARTICULARS below.)		
Name	No. Employees, Members	Phone No. (Include Area Code)
FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)	500 or More	(301) 590-6500
Street Address City, State and ZIP Code		
5200 Town Center Circle Suite 200, Boca Center Tower 1, Boca Raton, FL 33486		
Name	No. Employees, Members	Phone No. (Include Area Code)
Street Address City, State and ZIP Code		
DISCRIMINATION BASED ON (Check appropriate box(es).)		DATE(S) DISCRIMINATION TOOK PLACE
		Earliest Latest
<input type="checkbox"/> RACE	<input type="checkbox"/> COLOR	<input type="checkbox"/> SEX
<input type="checkbox"/> RELIGION	<input type="checkbox"/> NATIONAL ORIGIN	01-01-2013 12-06-2016
<input checked="" type="checkbox"/> RETALIATION	<input type="checkbox"/> AGE	<input type="checkbox"/> DISABILITY
<input type="checkbox"/> OTHER (Specify)	<input type="checkbox"/> GENETIC INFORMATION	
		<input checked="" type="checkbox"/> CONTINUING ACTION

THE PARTICULARS ARE (If additional paper is needed, attach extra sheet(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.

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 in 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, QTRS, 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 Fargo 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.

Received
 JAN 29 2020
 Tampa Field Office

I want this charge filed with both the EEOC and the State or local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of 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 declare under penalty of perjury that the above is true and correct.		
		SIGNATURE OF COMPLAINANT
Jan 27, 2020		
		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:

- FORM NUMBER/TITLE/DATE.** EEOC 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. 2000ff-6.
- 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.
- 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.
- 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.

OS Received 01/06/2023

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.

U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

To: Nancy K. Mellon
[Redacted]

From: Tampa Field Office
501 East Polk Street
Room 1000
Tampa, FL 33602

On behalf of person(s) aggrieved whose identity is
CONFIDENTIAL (29 CFR §1601.7(a))

EEOC Charge No.	EEOC Representative	Telephone No.
511-2020-00414	Pedro A. Hernandez, Investigator	(813) 202-7938

THE EEOC IS CLOSING ITS FILE ON THIS CHARGE FOR THE FOLLOWING REASON:

- The facts alleged in the charge fail to state a claim under any of the statutes enforced by the EEOC.
- Your allegations did not involve a disability as defined by the Americans With Disabilities Act.
- The Respondent employs less than the required number of employees or is not otherwise covered by the statutes.
- Your charge was not timely filed with EEOC; in other words, you waited too long after the date(s) of the alleged discrimination to file your charge
- 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 adopted the findings of the state or local fair employment practices agency that investigated this charge.
- Other (briefly state)

- NOTICE OF SUIT RIGHTS -

(See the additional information attached to this form.)

Title VII, the Americans with Disabilities Act, the Genetic Information Nondiscrimination Act, or the Age Discrimination in Employment Act: This will be the only notice of dismissal and of your right to sue that we will send you. You may file a lawsuit against the respondent(s) under federal law based on this charge in federal or state court. Your lawsuit must be filed **WITHIN 90 DAYS** of your receipt of this notice; or your right to sue based on this charge will be lost. (The time limit for filing suit based on a claim under state law may be different.)

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On behalf of the Commission

Evangeline Hawthorne

Evangeline Hawthorne,
Director

2/5/2020

(Date Mailed)

Enclosures(s)

cc: Tammy Bailey, Legal Administrative Assistant
WELLS FARGO LEGAL DEPARTMENT
301 South College Street
30th Floor - Mac D1053-300
Charlotte, NC 28202

Received

JAN 29 2020

Tampa Field Office

EEOC Form 5 (11/09)		
CHARGE OF DISCRIMINATION	Charge Presented 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	511-2020-00414
Florida Commission On Human Relations and EEOC		
State or local Agency, if any		

Name (indicate Mr., Ms., Mrs.)	Home Phone (incl. Area Code)	Date of Birth
Mrs. Nancy K. Mellon	[REDACTED]	1961
Street Address City, State and ZIP Code		
[REDACTED]		
Named is the Employer, Labor Organization, Employment Agency, Apprenticeship Committee, or State or Local Government Agency That I Believe Discriminated Against Me or Others. (If more than two, list under PARTICULARS below.)		
Name	No. Employees, Members	Phone No. (include Area Code)
WELLS FARGO ADVISORS	500 or More	(877) 479-3557
Street Address City, State and ZIP Code		
4030 W Boy Scout Blvd., Suite 150 Tampa, FL 33607		
Name	No. Employees, Members	Phone No. (include Area Code)
Street Address City, State and ZIP Code		
[REDACTED]		
DISCRIMINATION BASED ON (Check appropriate box(es).)		DATE(S) DISCRIMINATION TOOK PLACE
		Earliest Latest
<input type="checkbox"/> RACE	<input type="checkbox"/> COLOR	<input type="checkbox"/> SEX
<input type="checkbox"/> RELIGION	<input type="checkbox"/> NATIONAL ORIGIN	
<input checked="" type="checkbox"/> RETALIATION	<input type="checkbox"/> AGE	<input type="checkbox"/> DISABILITY
<input type="checkbox"/> GENETIC INFORMATION	01-04-2013 12-06-2016	
<input checked="" type="checkbox"/> OTHER (Specify)	N/A 8/17/12	
	<input checked="" type="checkbox"/> CONTINUING ACTION	

THE PARTICULARS ARE (If additional paper is needed, attach extra sheet(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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Received
 JAN 29 2020
 Tampa Field Office

I want this charge filed with both the EEOC and the State or local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of 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 declare under penalty of perjury that the above is true and correct.		
		SIGNATURE OF COMPLAINANT
		<i>Mary Muel</i>
		SUBSCRIBED AND SWORN TO BEFORE ME THIS DATE (month, day, year)
Date	Charging Party Signature	<i>1/27/2020</i>

CP Enclosure with EEOC Form 5 (11/09)

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- 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.

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U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

DISMISSAL AND NOTICE OF RIGHTS

To: Nancy K. Mellon
[Redacted]

From: Tampa Field Office
501 East Polk Street
Room 1000
Tampa, FL 33602

On behalf of person(s) aggrieved whose identity is
CONFIDENTIAL (29 CFR §1601.7(a))

EEOC Charge No.	EEOC Representative	Telephone No.
511-2020-01657	Pedro A. Hernandez, Investigator	(813) 202-7938

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- NOTICE OF SUIT RIGHTS -
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On behalf of the Commission

Evangeline Hawthorne

Evangeline Hawthorne,
Director

2/5/2020
(Date Mailed)

Enclosures(s)

cc: Jennifer Borlaza, Directo of Human Resources
FINRA
1735 K Street
Washington, DC 20006

CHARGE OF DISCRIMINATION		Charge Presented 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.		<input type="checkbox"/> FEPA	
		<input checked="" type="checkbox"/> EEOC	511-2020-01657
		Florida Commission On Human Relations and EEOC	
		State or local Agency, if any	

Received
JAN 29 2020

Tampa Field Office

Name (Indicate Mr., Ms., Mrs.)	Home Phone (Incl. Area Code)	Date of Birth
Mrs. Nancy K. Mellon	[REDACTED]	1961
Street Address City, State and ZIP Code		
[REDACTED]		

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Name	No. Employees, Members	Phone No. (Include Area Code)
FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)	500 or More	(301) 590-6500
Street Address City, State and ZIP Code		
5200 Town Center Circle Suite 200, Boca Center Tower 1, Boca Raton, FL 33486		

Name	No. Employees, Members	Phone No. (Include Area Code)
Street Address City, State and ZIP Code		

DISCRIMINATION BASED ON (Check appropriate box(es).)					DATE(S) DISCRIMINATION TOOK PLACE						
<input type="checkbox"/>	RACE	<input type="checkbox"/>	COLOR	<input type="checkbox"/>	SEX	<input type="checkbox"/>	RELIGION	<input type="checkbox"/>	NATIONAL ORIGIN	Earliest	Latest
										01-01-2013	12-06-2016
<input checked="" type="checkbox"/>	RETALIATION	<input type="checkbox"/>	AGE	<input type="checkbox"/>	DISABILITY	<input type="checkbox"/>	GENETIC INFORMATION				
<input checked="" type="checkbox"/>	OTHER (Specify)					<input checked="" type="checkbox"/> CONTINUING ACTION					

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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 in 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, QTRS, 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 Fargo 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.

Received
 JAN 29 2020
 Tampa Field Office

I want this charge filed with both the EEOC and the State or local Agency, if any. I will advise the agencies if I change my address or phone number and I will cooperate fully with them in the processing of 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 declare under penalty of perjury that the above is true and correct.		
		SIGNATURE OF COMPLAINANT
Jan 27, 2020		
		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:

- FORM NUMBER/TITLE/DATE.** EEOC 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. 2000ff-6.
- 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.
- 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.
- 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.

OS Received 01/06/2023

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.