

List of Supervisory and Registered Personnel

Exhibit 1.01

The following is a current list of the names, registrations, and effective dates of supervisory and registered personnel who are employed with the Firm or affiliated as independent contractors:

List of Supervisory Personnel

Last Updated: 03/16/2018

Name	Title	Location	Registrations	Effective Dates
Clarence Yee	President	San Ramon Home Office	GP, FN, MP	05/72
Nicholas Cochran	Vice-President	San Ramon Home Office	GP	04/92
Laura Wich	Operations Manager	San Ramon Home Office	GP	07/98
Emmanuel Comes	Compliance Officer	San Ramon Home Office	GP, MP, SU	01/11

Designation and Responsibility of Oversight

* Note: For the purposes of supervisory responsibility and oversight, any reference to “designated supervisor,” or “designated principal” within this Manual shall refer to the designated Supervisor (OSJ Branch Manager) as disclosed in the List of Supervisory and Registered Personnel herein, and as stated on the Central Registration Depository (CRD) unless otherwise specified.

Designation of Supervisory Responsibility by Firm Operations

General Operations	Designated Supervisor(s)	Effective Date(s)
Personnel, Licensing & Registration	Clarence Yee	03/88
Standards of Conduct	Clarence Yee	03/88
General Supervision	Clarence Yee	05/73
Continuing Education & Training	Nicholas Cochran	02/95
Books and Records Requirements	Clarence Yee	05/73
Financial Reporting	Clarence Yee	05/73
Communications with the Public	Clarence Yee	03/88
Customer Accounts and Transactions	Clarence Yee	03/88
Privacy Policies & Regulation S-P	Clarence Yee	07/01/01
Anti-Money Laundering Procedures	Nicholas Cochran	04/24/02
OSJ Branch Office Procedures	Clarence Yee	03/88

Designation of Supervisory Responsibility by Firm Product Line

Product Lines	Designated Supervisor(s)	Effective Date(s)
Corp. Fixed Income Securities (TRACE)	Clarence Yee	05/73
Direct Participation Programs (DPPs)	Clarence Yee; Nicholas Cochran	05/73; 04/92
Equities	Clarence Yee	05/73
Government Securities	Clarence Yee	05/73
Independent Contractors	Clarence Yee	05/73
Municipal Securities	Clarence Yee	05/73
Mutual Funds	Clarence Yee	05/73
Private Placements & Offerings	Clarence Yee; Nicholas Cochran	05/73; 04/92
Variable Contracts	Clarence Yee	05/73

Designation of Appropriate Registered Principals

In accordance with FINRA Rule 3110(a)(4) (formerly NASD Rule 3010(a)(4)), the Firm will designate one or more appropriately registered principals in each OSJ and one or more appropriately registered

representatives or principals in each non-OSJ branch office with authority to carry out the supervisory responsibilities assigned to that office by the firm.

CRD Branch Number	Branch Location	Supervisor/PIC
116445	615 MENLO AVENUE MENLO PARK, CA 94025 United States	HARRELL, ROBERT WILLIAM (237581)
116446	68 MITCHELL BLVD., #200 SAN RAFAEL, CA 94903 United States	BRUSATI, ROBERT ALFONSO (1847856)
116447	942 MUNRAS MONTEREY, CA 93940 United States	GARRONE, EDWARD JOSEPH (218334)
116448	5505 S. Grove Street, Space 39 ROCKLIN, CA 95677 United States	CORNISH, LINDA SUSAN (1915532)
116449	1660 TIBURON BLVD SUITE C TIBURON, CA 94920 United States	MOUILLE, PATRICIA FRANCES(1192208)
116450	1390 SALVADOR AVE NAPA, CA 94558 United States	BURKE, RICHARD ALAN (1265895)
116451	1600 VALLEY RIVER DRIVE, SUITE 385 EUGENE, OR 97401 United States	CONLEY, GARY EARL (52159)
116452	5043 GRAVES AVENUE, SUITE C SAN JOSE, CA 95129 United States	HARY, ANDRE ROLAND (239301)
116454	514 WEST 4TH STREET ANTIOCH, CA 94509 United States	STOCKTON, JAMES WILLARD (1421089)
116455	207 G STREET ANTIOCH, CA 94509 United States	POLLARD, STEPHEN ALAN (1312642)
116456	13620 LINCOLN WAY, SUITE 280 AUBURN, CA 95603 United States	BLAIR, FORREST RANDALL (2677843)
183247	5776 STONERIDGE MALL RD., #270 PLEASANTON, CA 94588 United States	WILLIAMS, JAMES HURSEL (1687805)
183249	1050 NORTHGATE DRIVE, #333 SAN RAFAEL, CA 94903 United States	LOCOCO, JOHN EDWARD (5645603)
183250	2440 CAMINO RAMON #140 SAN RAMON, CA 94583 United States	CLAFFEY, DANIEL DAVID (2646620)
183251	254 East Second Street Benicia, CA 94510 United States	ARMANINO, ROBERT CARL (1306738)

212156	7300 JOHNSTON RD. PLEASANTON, CA 94588 United States	HAUPT, BRADLEY LEE (821393)
259807	2909 COFFEE ROAD, SUITE 8 MODESTO, CA 95355 United States	DERBY, DAVID ROE (1851860)
259810	44220 SANDIA CREEK DRIVE TEMECULA, CA 92590 United States	ALBIN, GREGORY JAMES (802526)
259812	1091 VALLEY VIEW COURT LOS ALTOS, CA 94024 United States	BAER, JOHN WALTER (9940)
259814	660 SPAR DRIVE REDWOOD CITY, CA 94065 United States	CARLINO, CHAO-KANG KUAN (1179555)
260753	345 NORTH STATE STREET. UKIAH, CA 95482 United States	DELBOSCO, DOUGLAS BARRY(2382645)
270669	8868 TAVERNOR ROAD WILTON, CA 95693 United States	DELMAN, GLENN FOSTER (2113300)
271391	1655 N. MAIN STREET, STE. 270 WALNUT CREEK, CA 94596 United States	DEVINNEY, FREDERIC HUNTER (66638)
271644	439 PRESTON DRIVE MOUNTAIN VIEW, CA 94040 United States	FRIEDRICH, JANE ASPINWALL(1921200)
271686	307 S. AUBURN ST. GRASS VALLEY, CA 95945 United States	GRAHAM, STACY ANNE (1458142)
271697	9825 BLUE LARKSPUR LANE MONTEREY, CA 93940 United States	KNIGHT, JOEL BERNARD (1379212)
273469	235 MONTGOMERY STREET, STE. 750 SAN FRANCISCO, CA 94104 United States	CUNNINGHAM, EDWARD ELI (810482)
273489	1818 MANOR DR. SANTA ROSA, CA 95403 United States	JOSSE, FREDERICK JOHN (719755)
273490	1017 E STREET, STE. D SAN RAFAEL, CA 94901 United States	KAMLER, PETER CHARLES (1249817)
273491	24121 WINE COUNTRY COURT SONOMA, CA 95476 United States	KENNY, JOHN WILLIAM (268043)
273492	45 E. JULIAN STREET SAN JOSE, CA 95112 United States	KESSLER, JOHN INGLEITALO (1771455)
273493	812 POLLARD ROAD #4 LOS GATOS, CA 95032 United States	LAFOSSE, EDUARDO ENRIQUE(1431987)

274422	2410 CAMINO RAMON #185 SAN RAMON, CA 94583 United States	LOOFBOURROW, NORMAN DWIGHT(1310725)
274499	3658 MT. DIABLO BLVD., STE. 210 LAFAYETTE, CA 94549 United States	MOSHER, JERRY SMITH (341322)
276692	888 N. FIRST STREET, STE. D SAN JOSE, CA 95112 United States	LOCOCO, JUDITH MAE (1016571)
276701	5530 HUNTINGTON AVE RICHMOND, CA 94804 United States	MEANS, CLIFORD DAVID (2978111)
279467	1655 N. MAIN STREET, STE. 270 WALNUT CREEK, CA 94596 United States	MARKEY, MICHAEL LYNN (320042)
279569	251 WATERMAN CIRCLE DANVILLE, CA 94526 United States	PADILLAFRONING, MONICA (1370322)
279757	525 J STREET, SUITE B LOS BANOS, CA 93635 United States	PRUITT, ROGER HAYDEN (1239536)
279837	4724 CORDOBA WAY OCEANSIDE, CA 92056 United States	LIOU, MENDY Y (2343591)
279845	2193 BRAEMAR ROAD OAKLAND, CA 94602 United States	GREEN, THOMAS ROBBINS (228653)
279855	115 FOSS CREEK CIRCLE HEALDSBURG, CA 95448 United States	GEMMER, ROBERT ARDEN (858158)
279916	2552 BUNKERHILL DR. STOCKTON, CA 95209 United States	ROSE, RONALD RAY (404082)
281446	1511 JEFFERSON STREET, UNIT 105 OAKLAND, CA 94612 United States	SHIH, STEVE I-CHUNG (1284147)
282343	8569 CORDES CIRCLE, SUITE 1 GERMANTOWN, TN 38139 United States	WEISS, DENNIS I (462338)
282504	1655 N. MAIN STREET, STE. 270 WALNUT CREEK, CA 94596 United States	COIT, ROGER KENNETH (50331)
302942	1300 CLAY STREET, #600 OAKLAND, CA 94612 United States	CHARNEY, ROYCE ALAN (1310948)
349785	225 CANNERY ROW, SUITE G MONTEREY, CA 93940 United States	HOUSTON, ALBERT JOSHUA (1379223)
354557	7595 DE FOE DRIVE CUPERTINO, CA 95014 United States	HSU, TSO-YEE STEPHEN (4841419)

354965	777 CASS STREET MONTEREY, CA 93940 United States	AUBUCHON, KIMBERLY ANNE(1460513)
442832	39159 PASEO PADRE PARKWAY, SUITE 103 FREMONT, CA 94538 United States	BAUTISTA, CYNTHIA IBANEZ (2828754)
513593	3608 GRAND AVE. OAKLAND, CA 94610 United States	ALEXANDER, KENT ROBERT (5562573)
537036	5007 FEDSCO DRIVE CONCORD, CA 94521 United States	GUTHREAU, WILLIAM HENRY(2584389)
537758	5701 LONETREE BLVD., SUITE 215 ROCKLIN, CA 95765 United States	MEHREN, SCOTT CHRISTOPHER(4249198)
550695	11368 FLORINDO RD SAN DIEGO, CA 92127 United States	JACOBS, MARC M (855057)
592720	3150 HILLTOP MALL RD., STE. 47 RICHMOND, CA 94806 United States	ROSE, PAULA JEAN (2871324)
619617	3422 PINNACLE DRIVE SAN JOSE, CA 95132 United States	CHUNG, JIYOUNG (4803654)
645205	414 South Franklin Street Fort Bragg, CA 95437 United States	DELBOSCO, DOUGLAS BARRY(2382645)
665013	1890 Dover Ave, Apt C-1 FAIRFIELD, CA 94533 United States	BAYOL, FRANKLIN MONDEK (15447)
666261	796 CHELSEA AVE MARION, OH 43302 United States	JEREW, JAMES BRYON (3087970)

List of Registered Personnel

Last Updated: 03/16/2018

Individual Name	Rep #	Branch Office Location	OSJ (If not Branch)	Effective Date
ALBIN, GREGORY JAMES	2447	TEMECULA	HO/SAN RAMON	1/27/1977
ALEXANDER, KENT ROBERT	6130	OAKLAND	HO/SAN RAMON	9/05/2012
ARMANINO, ROBERT	7207	BENICIA	HO/SAN RAMON	7/12/2005
AUBUCHON, KIMBERLY	7076	MONTEREY	HO/SAN RAMON	1/3/2008
BAER, JOHN WALTER	2442	LOS ALTOS	HO/SAN RAMON	2/14/1996
BARBAGLIA, ALDO JOHN	7241	HO/SAN RAMON		9/25/2017
BAUTISTA, CYNTHIA IBANEZ	6131	FREMONT	HO/SAN RAMON	3/12/2013
BAYOL, FRANKLIN MONDEK	7239	FAIRFIELD	HO/SAN RAMON	6/30/2017
BLAIR, FORREST RANDALL	7161	AUBURN	HO/SAN RAMON	9/12/1997
BRUSATI, ROBERT ALFONSO	7098	SAN RAFAEL	HO/SAN RAMON	4/2/1990
BURKE, RICHARD ALAN	7142	NAPA	HO/SAN RAMON	3/7/1995
CARLINO, CHAO-KANG KUAN	2601	REDWOOD CITY	HO/SAN RAMON	5/21/2002

CHARNEY, CHERYL LYNNE	7173	OAKLAND	HO/SAN RAMON	8/25/1998
CHARNEY, ROYCE ALAN	6098	OAKLAND	HO/SAN RAMON	2/10/1999
CLAFFEY, DANIEL DAVID	2486	SAN RAMON	HO/SAN RAMON	3/1/2005
CHUNG, JIYOUNG	7236	SAN JOSE	HO/SAN RAMON	9/15/2015
COATE, ROGER LEE	2472	UKIAH	HO/SAN RAMON	7/8/1987
COCHRAN, NICHOLAS COWLES	2434	HO/SAN RAMON		5/1/1992
COIT, ROGER KENNETH	2423	WALNUT CREEK	HO/SAN RAMON	12/19/1994
COMES, EMMANUEL	2483	HO/SAN RAMON		1/11/2011
CONLEY, GARY EARL	2446	EUGENE, OR	HO/SAN RAMON	3/8/1996
CORNISH, LINDA SUSAN	7058	ROCKLIN	HO/SAN RAMON	2/2/1990
CUNNINGHAM, EDWARD ELI	2428	SAN FRANCISCO	HO/SAN RAMON	10/30/1978
DAWSON, SCOTT EVERARD	7190	LAFAYETTE	HO/SAN RAMON	1/10/2002
DELBOSCO, DOUGLAS BARRY	6088	UKIAH	HO/SAN RAMON	1/5/1998
DELMAN, GLENN FOSTER	7118	WILTON	HO/SAN RAMON	2/3/1992
DERBY, DAVID ROE	7106	MODESTO	HO/SAN RAMON	1/24/1991
DEVINNEY, FREDERIC HUNTER	2452	WALNUT CREEK	HO/SAN RAMON	3/28/1994
FRIEDRICH, JANE ASPINWALL	7129	MOUNTAIN VIEW	HO/SAN RAMON	9/11/1993
GARRONE, EDWARD JOSEPH	7085	MONTEREY	HO/SAN RAMON	4/10/1984
GARRONE, KATHRYN SHEARER	7086	MONTEREY	HO/SAN RAMON	10/29/1986
GEMMER, ROBERT ARDEN	7203	HEALDSBURG	HO/SAN RAMON	4/30/2004
GRAHAM, STACY ANNE	7201	GRASS VALLEY	HO/SAN RAMON	3/12/2004
GREEN, THOMAS ROBBINS	7026	OAKLAND	HO/SAN RAMON	10/28/1976
GUTHREAU, WILLIAM HENRY	7232	CONCORD	HO/SAN RAMON	5/17/2013
HARRELL, ROBERT WILLIAM	2480	MENLO PARK	HO/SAN RAMON	11/10/1989
HARY, ANDRE ROLAND	7003	SAN JOSE	HO/SAN RAMON	11/19/1973
HARY, AUSTIN MITCHELL	6129	SAN JOSE	HO/SAN RAMON	4/19/2012
HAUPT, ANDREW BRADLEY	7229	PLEASANTON	HO/SAN RAMON	12/16/2013
HAUPT, BRADLEY LEE	2485	PLEASANTON	HO/SAN RAMON	1/12/2006
HOUSTON, ALBERT JOSHUA	2448	MONTEREY	HO/SAN RAMON	10/2/1990
HSU, TSO-YEE STEPHEN	2604	CUPERTINO	HO/SAN RAMON	1/2/2008
JACOBS, MARC M	7233	SAN DIEGO	HO/SAN RAMON	12/3/2013
JEREW, JAMES BRYON	7240	MARION, OH	HO/SAN RAMON	7/21/2017
JOOSSE, FREDERICK JOHN	7134	SANTA ROSA	HO/SAN RAMON	12/16/1993
KAMLER, PETER CHARLES	7066	SAN RAFAEL	HO/SAN RAMON	6/9/1989
KENNY, JOHN WILLIAM	2450	SONOMA	HO/SAN RAMON	9/19/1977
KESSLER, JOHN INGLEITALO	7065	SAN JOSE	HO/SAN RAMON	2/2/1990
KNIGHT, JOEL BERNARD	2449	MONTEREY	HO/SAN RAMON	10/10/1990
LAFOSSE, EDUARDO ENRIQUE	7057	LOS GATOS	HO/SAN RAMON	2/2/1990
LIU, MENDY Y	2603	OCEANSIDE	HO/SAN RAMON	6/26/2002
LOCOCO, CHRISTOPHER J	7237	SAN JOSE	HO/SAN RAMON	7/25/2016
LOCOCO, JOHN EDWARD	7226	SAN JOSE	HO/SAN RAMON	4/23/2010
LOCOCO, JUDITH MAE	6062	SAN JOSE	HO/SAN RAMON	6/30/1992
LOOFBOURROW, ERIC ANDREW	7235	SAN RAMON	HO/SAN RAMON	6/03/2015
LOOFBOURROW, NORMAN DWIGHT	2498	SAN RAMON	HO/SAN RAMON	6/11/1993
MARKEY, MICHAEL LYNN	2430	WALNUT CREEK	HO/SAN RAMON	3/11/1988
MCCORMICK, THOMAS LLOYD	2495	HO/SAN RAMON		1/11/1989
MCDANIEL, DONALD WILLIAM	6059	HO/SAN RAMON		4/15/1991
MEANS, CLIFORD DAVID	7176	RICHMOND	HO/SAN RAMON	1/22/1999
MEHREN, SCOTT CHRISTOPHER	7185	ROCKLIN	HO/SAN RAMON	8/31/2000
MOSHER, JERRY SMITH	2433	LAFAYETTE	HO/SAN RAMON	2/11/1975
MOUILLE, PATRICIA FRANCES	7138	TIBURON	HO/SAN RAMON	6/20/1994
NEVIN, MICHAEL RAYMOND	7070	HO/SAN RAMON		6/11/2013

OWEN, WESLEY DAVID	7170	HO/SAN RAMON		5/26/1998
PADILLAFRONING, MONICA	1014	DANVILLE	HO/SAN RAMON	1/8/1990
POLLARD, STEPHEN ALLAN	7157	ANTIOCH	HO/SAN RAMON	10/29/1996
PRUITT, ROGER HAYDEN	7163	LOS BANOS	HO/SAN RAMON	10/6/1997
ROSE, PAULA JEAN	7197	RICHMOND	HO/SAN RAMON	12/12/2002
ROSE, RONALD RAY	2425	STOCKTON	HO/SAN RAMON	4/5/1991
SHIH, STEVE I-CHUNG	6112	OAKLAND	HO/SAN RAMON	5/21/2002
STOCKTON, JAMES WILLARD	2455	ANTIOCH	HO/SAN RAMON	10/24/1996
TOM, WILLIAM	7234	LAFAYETTE	HO/SAN RAMON	6/11/2014
VANSLOTEN, CAMDON TROY	6106	HO/SAN RAMON		6/8/2000
WEISS, DENNIS I	7192	GERMANTOWN, TN	HO/SAN RAMON	6/26/2002
WICH, LAURA ROSE	2487	HO/SAN RAMON		8/3/1998
WILLIAMS, BRETT GABRIEL	7206	PLEASANTON	HO/SAN RAMON	2/14/2005
WILLIAMS, JAMES HURSEL	7144	PLEASANTON	HO/SAN RAMON	3/31/1995
WILLIS, RICHARD PETER	7214	EUGENE, OR	HO/SAN RAMON	11/8/2006
YEE, CLARENCE	2405	HO/SAN RAMON		8/4/1972
YEE, RONALD GARRETT	7181	HO/SAN RAMON		9/9/1999