

BrokerCheck Report

SCOTT FORREST GOLDMAN

CRD# 1682329

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About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.



SCOTT F. GOLDMAN

CRD# 1682329

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

CAMBRIDGE INVESTMENT RESEARCH, INC.

3250 N Arlington Hts Rd
Suite 102
Arlington Hts, IL 60004
CRD# 39543

Registered with this firm since: 05/18/2016

CAMBRIDGE INVESTMENT RESEARCH, INC.

10260 Manchester Road
Kirkwood, MO 63122
CRD# 39543

Registered with this firm since: 05/18/2016

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is registered with:

- 1 Self-Regulatory Organization
- 9 U.S. states and territories

This broker has passed:

- 0 Principal/Supervisory Exams
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

This broker was previously registered with the following securities firm(s):

H. BECK, INC.

CRD# 1763
ARLINGTON HEIGHTS, IL
01/2010 - 05/2016

LPL FINANCIAL CORPORATION

CRD# 6413
ARLINGTON HEIGHTS, IL
09/2009 - 12/2009

WATERSTONE FINANCIAL GROUP, INC.

CRD# 10078
ARLINGTON HEIGHTS, IL
12/2002 - 09/2009

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Investigation	1
Customer Dispute	6

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 9 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Office Address: **1776 PLEASANT PLAIN RD.
FAIRFIELD, IA 52556-8757**

Firm CRD#: **39543**

SRO	Category	Status	Date
FINRA	Invest. Co and Variable Contracts	APPROVED	05/18/2016

U.S. State/ Territory	Category	Status	Date
Arizona	Agent	APPROVED	05/25/2016
California	Agent	APPROVED	05/19/2016
Florida	Agent	APPROVED	05/19/2016
Illinois	Agent	APPROVED	05/19/2016
Indiana	Agent	APPROVED	05/19/2016
Michigan	Agent	APPROVED	05/20/2016
Nevada	Agent	APPROVED	05/26/2016
Texas	Agent	APPROVED	05/26/2016
Virginia	Agent	APPROVED	05/19/2016

Branch Office Locations

CAMBRIDGE INVESTMENT RESEARCH, INC.

3250 N Arlington Hts Rd
Suite 102

Broker Qualifications



Employment 1 of 1, continued

Arlington Hts, IL 60004



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	06/23/1987

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	12/26/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
01/2010 - 05/2016	H. BECK, INC.	1763	ARLINGTON HEIGHTS, IL
09/2009 - 12/2009	LPL FINANCIAL CORPORATION	6413	ARLINGTON HEIGHTS, IL
12/2002 - 09/2009	WATERSTONE FINANCIAL GROUP, INC.	10078	ARLINGTON HEIGHTS, IL
01/1992 - 12/2002	FFP SECURITIES, INC.	16337	CHESTERFIELD, MO
11/1988 - 02/1992	OAK BROOK SECURITIES CORP.	16886	OAKBROOK TERRACE, IL
06/1988 - 11/1988	MUTUAL SERVICE CORPORATION	4806	
01/1988 - 06/1988	PW SECURITIES, INC.	6775	
06/1987 - 02/1988	AMEV INVESTORS, INC.	421	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
06/2016 - Present	Cambridge Investment Research Advisors, Inc.	Fairfield, IA
05/2016 - Present	Cambridge Investment Research, Inc.	Fairfield, IA
05/1984 - Present	PLANNING DYNAMICS INC.	WHEELING, IL
01/2010 - 10/2016	Champion Advisory Services, Inc.	Arlington Hts, IL
01/2010 - 05/2016	H. BECK, INC.	ROCKVILLE, MD
09/2009 - 12/2009	LPL FINANCIAL CORPORATION	ARLINGTON HEIGHTS, IL
12/2002 - 09/2009	WATERSTONE FINANCIAL GROUP	ITASCA, IL



Registration and Employment History

Other Business Activities

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

1. CHAMPION ADVISORY SERVICES, INC.

POSITION: PRESIDENT NATURE: FINANCIAL SERVICES OR ADVISOR ACTIVITIES NOT THROUGH H. BECK, INC.

INVESTMENT RELATED: YES NUMBER OF HOURS: 20 INVESTMENT RELATED HOURS: 20 START DATE: 08/01/2010

ADDRESS: 3250 N ARLINGTON HEIGHTS ROAD, SUITE #102, ARLINGTON HEIGHTS IL 60004

DESCRIPTION: CREATION OF FINANCIAL PLANS AND ASSISTANCE IN ASSET ALLOCATION MODELING

2. PLANNING DYNAMICS, INC.

POSITION: PRESIDENT NATURE: INSURANCE SALES INVESTMENT RELATED: YES NUMBER OF HOURS: 50

INVESTMENT RELATED HOURS: 50 START DATE: 04/01/1984

ADDRESS: 3250 N ARLINGTON HEIGHTS ROAD, SUITE # 102, ARLINGTON HEIGHTS IL 60004

DESCRIPTION: INSURANCE SALES, TAX PREPARATION, AND ESTATE PLANNING

3. CIRA, 1776 PLEASANT PLAIN RD, FAIRFIELD, IA, AS ADVISORY REP OF A RIA. INV REL - 20 HR/WK - 20/TRADING. SEE EMPLOYMENT HISTORY FOR START DATE.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	6	N/A



Investigation	1	N/A	N/A
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Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL
Allegations:	CUSTOMER ALLEGES MISREPRESENTATION, UNSUITABILITY AND FAILURE TO SUPERVISE WITH REGARD TO SYMETRA VARIABLE UNIVERSAL LIFE INSURANCE POLICY PURCHASED IN 2000 THROUGH ANOTHER FINANCIAL ADVISOR.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN \$5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-02713



Filing date of arbitration/CFTC reparation or civil litigation: 08/26/2014

Customer Complaint Information

Date Complaint Received: 10/20/2014

Complaint Pending? No

Status: Settled

Status Date: 01/22/2016

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: UNSUITABILITY, MISREPRESENTATION, FAILURE TO SUPERVISE AND BRACH OF FIDUCIARY DUTY RELATED TO THE SALE AND RECOMMENDATION TO HOLD A VUL. ACTIVITY PERIOD IS 08/01/200 - 02/28/2014.

Product Type: Annuity-Variable

Alleged Damages: \$250,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-02713

Filing date of arbitration/CFTC reparation or civil litigation: 08/26/2014



Customer Complaint Information

Date Complaint Received: 10/13/2014

Complaint Pending? No

Status: Settled

Status Date: 11/19/2015

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement I ASSERT THAT ANY AND ALL ALLEGATIONS ARE UNTRUE, WITHOUT MERIT, AND REFLECT NO WRONGDOING ON MY PART. THIS VARIABLE LIFE POLICY ISSUED BY SYMETRA WAS SOLD BY ANOTHER REPRESENTATIVE AND I TOOK OVER AS THE SERVICING AGENT IN 2002 WHEN THAT REPRESENTATIVE TERMINATED EMPLOYMENT.

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL & H BECK

Allegations: ALLEGES UNSUITABLE ETF AND VARIABLE ANNUITY INVESTMENTS FROM NOVEMBER 2009 THROUGH NOVEMBER 2012. TIME PERIOD PERTAINING TO ACTIVITIES AT LPL IS FROM NOVEMBER 2009 THROUGH DECEMBER 2009.

Product Type: Annuity-Variable
Other: ETF

Alleged Damages: \$226,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 13-01140

Date Notice/Process Served: 04/29/2013

Arbitration Pending? No



Disposition: Settled
Disposition Date: 05/24/2014
Monetary Compensation Amount: \$114,000.00
Individual Contribution Amount: \$0.00
Firm Statement LPL CONTRIBUTIONS WAS ONLY \$11,500.

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: LPL FINANCIAL & H. BECK, INC
Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENTS FOR THE PERIOD 11/01/2009 - 11/30/2012.
Product Type: Annuity-Variable
 Mutual Fund
Alleged Damages: \$200,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/26/2012
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 01/11/2013
Settlement Amount:
Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-01140
Date Notice/Process Served:	04/17/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/04/2014
Monetary Compensation Amount:	\$114,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	RESPONDENTS DENIED THE ALLEGATIONS. THE RISKS OF THE RECOMMENDED INVESTMENT STRATEGY WERE FULLY DISCLOSED AND UNDERSTOOD BY THE CLIENT. WHILE RESPONDENTS BELIEVED THE ALLEGATIONS WERE WITHOUT MERIT, THEY AGREED TO SETTLE THE MATTER FOR BUSINESS REASONS.

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WATERHOUSE FINANCIAL GROUP, LPL FINANCIAL, H. BECK, INC.
Allegations:	MISREPRESENTATION AND OMISSIONS
Product Type:	Mutual Fund
Alleged Damages:	\$30,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-01981
Date Notice/Process Served:	06/13/2012
Arbitration Pending?	No



Disposition: Settled
Disposition Date: 10/31/2012
Monetary Compensation Amount: \$20,000.00
Individual Contribution Amount: \$4,200.00

Broker Statement

THE CLIENT WAS WELL AWARE OF THE RISK INVOLVED WITH THE RECOMMENDED INVESTMENT AND WERE TOTALLY ABOARD ON GOING FORWARD WITH THE IMPLEMENTATION OF THIS INVESTMENT. FURTHERMORE, I HAD ONGOING MEETINGS WITH THE CLIENTS TO MONITOR AND REVIEW THEIR INVESTMENT AND AT NO TIME DID THE THEY EXPRESS ANY CONCERNS THAT THEIR INVESTMENT OBJECTIVES HAD CHANGED. WITHOUT ADMITTING ANY WRONGDOING WHATSOEVER, THE PARTIES AGREED TO SETTLE THE MATTER SOLELY TO AVOID THE LEGAL COSTS OF A DEFENSE.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	H. BECK, INC.
Allegations:	CUSTOMER COMPLAINT ALLEGES POOR ADVICE AND UNSUITABLE RECOMMENDATIONS RELATED TO INVESTMENTS WITHIN A VARIABLE ANNUITY. ACTIVITY PERIOD IS 11/22/2010 - 11/14/2014.
Product Type:	Annuity-Variable
Alleged Damages:	\$53,858.35
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/14/2014
Complaint Pending?	No
Status:	Denied
Status Date:	03/19/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	REPRESENTATIVE DENIES THE ALLEGATIONS. THE STATEMENT ALLEGING POOR ADVICE AND UNSUITABLE INVESTMENT IS MISLEADING AND MORE IMPORTANTLY IS NOT FACTUAL BASED ON THE MULTIPLE MEETINGS WITH THE CLIENT BEFORE AND AFTER RECOMMENDATION WAS MADE.



Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	H. BECK, INC.
Allegations:	MISREPRESENTATION. JUNE 1989 THROUGH OCTOBER 2010.
Product Type:	Annuity-Fixed
Alleged Damages:	\$26,049.49
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/28/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/13/2012
Settlement Amount:	

Individual Contribution Amount:

Broker Statement

I HAVE HAD NUMEROUS CONVERSATIONS ABOUT THE CLIENT ALLOCATIONS ALTHOUGH I FEEL HIS FRUSTRATION, HIS COMPLIANT IS FALSE AND WITHOUT MERIT. I HAVE ALSO PROVIDED REGULATORS WITH DOCUMENTATION PROVING THAT THE CLIENTS ALLEGED ACCUSATIONS OF MISREPRESENTATION ARE FALSE AND WITHOUT MERIT. I ALSO PROVIDED FOR THE REGULATORS ALL MY DOCUMENTED CLIENT MEETING NOTES AND COMMUNICATIONS ALONG WITH THE ONGOING COMMUNICATION FROM SYMETRA LIFE INSURANCE COMPANY WHICH FURTHER PROVIDES ADDITIONAL PROOF THAT CLIENTS ALLEGED ACCUSATIONS ARE IN FACT FABRICATED TO PRODUCE A FALSE ELEMENT OF WRONG DOING ON MY PART. OUR RELATIONSHIP HAS DATED BACK SINCE 1989 WITH NEVER A PROBLEM. ALTHOUGH THE CLIENT RELOCATED TO AZ IN 2003, WE CONTINUED PREPARING HIS INCOME TAX RETURNS UP TO 2008 WHICH MAKES ME BELIEVE THAT HE IS BEING COACHED TO MAKE THIS FALSE AND MISLEADING ACCUSATIONS IN A



DESPERATE ATTEMPT TO UNWIND A PLAN THAT HE NO LONGER WANTS.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FFP SECURITIES, INC.

Allegations: CUSTOMER ALLEGES THAT REP DID NOT FULLY DISCLOSE THE NATURE OF THE INVESTMENT THUS CAUSING THEM TO INCUR MARKET LOSS.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$76,000.00

Customer Complaint Information

Date Complaint Received: 06/22/2004

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/28/2005

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: FFP SECURITIES, INC.

Allegations: CUSTOMER ALLEGES THAT REP DID NOT FULLY DISCLOSE THE NATURE OF THE INVESTMENT CAUSING THEM TO INCUR MARKET LOSS.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$76,000.00

Customer Complaint Information

Date Complaint Received: 07/15/2004

Complaint Pending? No



Status: Closed/No Action

Status Date: 01/28/2005

Settlement Amount:

**Individual Contribution
Amount:**



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source:	Broker
Initiated By:	FINRA
Notice Date:	09/08/2016
Details:	Potential violation of NASD Rules 2310, 2821 and FINRA Rule 2010.
Is Investigation pending?	Yes

End of Report



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