

**BrokerCheck Report**

**WILLIAM GEORGE BRUNNER**

CRD# 2610348

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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:

- o 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
- o 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 <https://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.



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**

**WILLIAM G. BRUNNER**

CRD# 2610348

This broker is not currently registered.

## 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 not currently registered.**

#### This broker has passed:

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

### Registration History

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

**INVESTMENT PLANNERS, INC.**

CRD# 18557  
HUNTINGTON, NY  
02/2015 - 05/2017

**FIRST MIDWEST SECURITIES, INC.**

CRD# 21786  
HUNTINGTON, NY  
05/2009 - 03/2015

**POINTE CAPITAL, INC.**

CRD# 112097  
HUNTINGTON, NY  
09/2005 - 06/2009

### 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
Regulatory Event	1
Customer Dispute	5
Termination	1
Financial	1

### 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 broker is not currently registered.



## 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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	03/27/1998

### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	01/19/1999

### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	05/22/1995
Uniform Combined State Law Examination	Series 66	03/08/2012

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/](http://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
02/2015 - 05/2017	INVESTMENT PLANNERS, INC.	18557	HUNTINGTON, NY
05/2009 - 03/2015	FIRST MIDWEST SECURITIES, INC.	21786	HUNTINGTON, NY
09/2005 - 06/2009	POINTE CAPITAL, INC.	112097	HUNTINGTON, NY
11/2008 - 12/2008	AMERICAN CAPITAL PARTNERS, LLC	119249	HAUPPAUGE, NY
03/2002 - 09/2005	STERLING FINANCIAL INVESTMENT GROUP, INC.	41506	BOCA RATON, FL
10/1999 - 03/2002	INVESTEC ERNST & COMPANY	266	NEW YORK, NY
03/1997 - 10/1999	ROYCE INVESTMENT GROUP, INC.	10494	WOODBURY, NY
05/1995 - 03/1997	STERLING FOSTER & COMPANY, INC.	36052	UNIONDALE, NY

### 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
02/2015 - Present	INVESTMENT PLANNERS INC	DECATUR, IL
02/2015 - Present	IPI WEALTH MANAGEMENT, INC.	HUNTINGTON, NY
05/2009 - 02/2015	FIRST MIDWEST SECURITIES, INC.	HUNTINGTON, NY
09/2005 - 05/2009	POINTE CAPITAL, LLC	DELRAY BEACH, FL

### 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.

WILLIAM G. BRUNNER CORP./DBA SIDNEYMACK ASSOCIATES, 217 WALL ST., SUITE 202, HUNTINGTON, NY

## Registration and Employment History



### Other Business Activities, continued

11743. OWNER/PRESIDENT. START DATE 02/11/2002. WORKS 3 HOURS PER MONTH/NONE DURING MARKET HOURS. MANAGE EXPENSES OF BRANCH OFFICE AND HANDLES ALL ACCOUNTING. NO COMPENSATION RECEIVED.

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## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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
Regulatory Event	0	1	0





Customer Dispute	1	4	N/A
Termination	N/A	1	N/A
Financial	0	1	N/A



## 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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	11/13/1998
<b>Docket/Case Number:</b>	C3A980057
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	ON NOVEMBER 13, 1998, DISTRICT NO. 3 NOTIFIED RESPONDENT WILLIAM G. BRUNNER THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C3A980057 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$20,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 DAYS, REQUIRED TO REQUALIFY AS A GENERAL SECURITIES REPRESENTATIVE, AND PRIOR TO ASSOCIATING WITH A



MEMBER FIRM, REQUIRED TO DEMONSTRATE THAT RESTITUTION HAS BEEN MADE TO A PUBLIC CUSTOMER IN THE AMOUNT OF \$24,781.25, OR THAT HE HAS PAID TO THE CUSTOMER SUCH AMOUNT AS HAS BEEN DETERMINED IN AN ARBITRATION OR OTHER PROCEEDING OR SETTLEMENT TO BE OWED BY RESPONDENT TO THE CUSTOMER. THE FINE AMOUNT SHALL BE REDUCED, DOLLAR FOR DOLLAR, BY THE AMOUNT OF ANY RESTITUTION PAYMENTS MADE TO THE CUSTOMER. HOWEVER, THE FINE SHALL NOT BE REDUCED LESS THAN \$10,000 - (NASD RULES 2110 AND 2120 - RESPONDENT BRUNNER MADE MATERIAL MISREPRESENTATIONS AND OMITTED TO DISCLOSE MATERIAL FACTS IN CONNECTION WITH HIS RECOMMENDATIONS OF SECURITIES TO PUBLIC CUSTOMERS; MADE FRAUDULENT PRICE PREDICTIONS IN CONNECTION WITH HIS RECOMMENDATIONS OF SECURITIES; AND, FAILED TO EXECUTE A SELL ORDER).

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON DECEMBER 21, 1998, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 11/13/1998

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$20,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** 09-26-00, \$20,000 PAID IN FULL AS OF 5/04/00, INVOICE 98-3A-944

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**



**Date Initiated:** 11/13/1998

**Docket/Case Number:** C3A980057

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** INAPPROPRIATE STATEMENTS AND FAILURE TO EXECUTE A SELL ORDER WHILE EMPLOYED AT STERLING FOSTER.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 11/13/1998

**Sanctions Ordered:** Censure  
Disgorgement/Restitution  
Monetary/Fine \$20,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** \$10,000 FINE, 30 DAY SUSPENSION, REQUALIFY AS GENERAL SECURITIES PRINCIPLE.

**Broker Statement** AT THE TIME OF THE ALLEGED EVENT, I WAS A YOUNG INEXPERIENCED ROOKIE. THE ONLY BROKERAGE FIRM I HAD EVER WORKED AT WAS STERLING FOSTER. TODAY I AM NOW MORE KNOWLEDGEABLE AS TO THE PROPER COURSE OF CONDUCT BY A BROKER DEALER AS WELL AS A REGISTERED REPRESENTATIVE. MY INCREASED EXPERIENCE AND THE EXPERIENCE OF THE AWC WILL CERTAINLY PREVENT FUTURE MISCOMMUNICATION AND MISUNDERSTANDING WITH CUSTOMERS.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTEC ERNST & COMPANY
<b>Allegations:</b>	THE CUSTOMER ALLEGES CLAIMS INCLUDING BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, FRAUD, CHURNING, UNSUITABLE INVESTMENTS AND UNAUTHORIZED TRADING.
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$200,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/23/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	06/04/2004

### Settlement Amount:

**Individual Contribution Amount:**

### Civil Litigation Information

<b>Court Details:</b>	SUPREME COURT OF THE STATE OF NEW YORK, ERIE COUNTY INDEX # 2004-1065
<b>Date Notice/Process Served:</b>	07/23/2004
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Monetary Judgment to Customer
<b>Disposition Date:</b>	09/26/2005
<b>Monetary Compensation Amount:</b>	\$99,500.00
<b>Individual Contribution Amount:</b>	\$0.00



**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** INVESTEC ERNST & COMPANY

**Allegations:** CLAIMANT ALLEGES THAT HE SUSTAINED LOSSES FROM UNSUITABLE INVESTMENTS, UNAUHTORIZED TRADING AND CHURNING. DAMAGES ARE UNSPECIFIED.

**Product Type:** Equity - OTC

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 07/23/2002

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 09/26/2005

**Settlement Amount:**

**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Court Details:** SUPREME COURT OF THE STATE OF NEW YORK, ERIE COUNTY INDEX # 2004-1065

**Date Notice/Process Served:** 07/23/2004

**Litigation Pending?** No

**Disposition:** Monetary Judgment to Customer

**Disposition Date:** 09/26/2005

**Monetary Compensation Amount:** \$99,500.00

**Individual Contribution Amount:** \$0.00

### Disclosure 2 of 2

**Reporting Source:** Regulator



**Employing firm when activities occurred which led to the complaint:**

**Allegations:** EXECUTIONS-FAILURE TO EXECUTE

**Product Type:**

**Alleged Damages:** \$5,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [UNKNOWN - CASE #97-00749](#)

**Date Notice/Process Served:** 02/25/1997

**Arbitration Pending?** No

**Disposition:** Other

**Disposition Date:** 04/13/1998

**Disposition Detail:** AWARD AGAINST PARTY  
 \*\*\*WILLIAM G. BRUNNER IS LIABLE FOR \$4,174.00 INCLUDES PUNITIVE DAMAGES. ALSO JOINTLY AND SEVERALLY LIABLE FOR INTEREST ON \$3,348.00 AT THE RATE OF 10% PER ANNUM, FROM 9/24/96 TO DATE OF PAYMENT OF AWARD AND LIABLE FOR \$75.00 AS REIMBURSEMENT FOR 50% OF THE FILING FEE\*\*\*

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** FAILURE TO EXECUTE TRADES ALLEGED DAMAGES OF \$5000.00

**Product Type:**

**Alleged Damages:** \$5,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Arbitration/Reparation



**Status Date:** 04/13/1998

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD; 97-00749](#)

**Date Notice/Process Served:** 02/25/1997

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 04/13/1998

**Monetary Compensation Amount:** \$7,597.00

**Individual Contribution Amount:** \$4,174.00

**Broker Statement**

PAYMENT OF \$4549.00  
FINE OF \$2,807.02 WAS SENT ON 9-15-97 TO CUSTOMER. WHILE I BELIEVE THE LAWS OF JURISDICTION CLEARLY DISFAVOR THE AWARD OF PUNITIVE DAMAGES IN ARBITRATIONS, I HAVE CHOSEN TO PAY MY PROPORTIONATE SHARE OF THE PUNITIVE AWARD TO CLAIMANTS AS MY GREATEST CONCERN IS MAINTAINING THE INTEGRITY OF MY LICENSE. A CHECK FOR \$1741.98 WAS SENT FEDERAL EXPRESS ON 4/13/98





## Customer Dispute - Settled

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

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTMENT PLANNERS, INC.
<b>Allegations:</b>	CLAIMANT ALLEGES NEGLIGENCE, BREACH OF FIDUCIARY DUTY AND CONTRACT, CHURNING, UNAUTHORIZED TRADING AND SUITABILITY OF A CORPORATE ACCOUNT. 3/2105 - 3/2017
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$1,000,000.00

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	17-01437
<b>Date Notice/Process Served:</b>	06/12/2017
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	03/07/2018
<b>Monetary Compensation Amount:</b>	\$200,000.00
<b>Individual Contribution Amount:</b>	\$0.00



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

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	STERLING FINANCIAL INVESTMENT GROUP, INC.
<b>Allegations:</b>	CLIENT ALLEGED UNSUITABILITY, TRADING AGAINST INVESTMENT OBJECTIVES AND BREACH OF FIDUCIARY DUTY
<b>Product Type:</b>	Equity - OTC
<b>Other Product Type(s):</b>	EQUITY LISTED
<b>Alleged Damages:</b>	\$250,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/22/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	10/15/2004

### Settlement Amount:

### Individual Contribution Amount:

### Broker Statement

CLIENT SIGNED NEW ACCOUNT DOCUMENTS THAT CLEARLY STATED PRIMARY INVESTMENT OBJECTIVE WAS SPECULATION AND HIS RISK PROFILE WAS AGGRESSIVE, AND CLIENT MADE HANDWRITTEN CORRECTIONS THAT WOULD UNDERMINE ANY CONTENTION THAT HE DID NOT READ THE DOCUMENT. I TOLD CLIENT THAT IF THE VOLATILITY WAS TOO MUCH HE COULD SIMPLY SELL THE STOCKS.



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTMENT PLANNERS, INC.
<b>Allegations:</b>	CLIENT ALLEGED SUITABILITY, DISCRETION, CLIENT UNAWARE OF AMOUNT OF FEES PAID, CLIENT DID NOT RECEIVE STATEMENTS AND DID NOT SIGN ACTIVE TRADING LETTERS (CLIENT DID NOT ALLEGE RR SIGNED LETTERS). MAR 2015 - FEB 2017.
<b>Product Type:</b>	Equity-OTC
<b>Alleged Damages:</b>	\$1,000,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	CLIENT CITED VARIOUS LOSS AMOUNTS.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/10/2017
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	RR DENIES CUSTOMER'S ALLEGATIONS.



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employer Name:</b>	INVESTMENT PLANNERS, INC.
<b>Termination Type:</b>	Voluntary Resignation
<b>Termination Date:</b>	05/12/2017
<b>Allegations:</b>	FIRM RECEIVED ITS CYCLE EXAM REPORT ON 5/9/17 AND ALLEGATIONS WERE MADE BY A CLIENT OF USE OF DISCRETION. FIRM REQUESTED PHONE RECORDS AND WRITTEN RESPONSE FROM RR. RR SENT LETTER OF RESIGNATION ON 5/12/17.
<b>Product Type:</b>	Equity-OTC
<b>Firm Statement</b>	RR DENIES CUSTOMER'S ALLEGATIONS.



## Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Action Type:</b>	Bankruptcy
<b>Bankruptcy:</b>	Chapter 7
<b>Action Date:</b>	07/15/2010
<b>Organization Investment-Related?</b>	
<b>Type of Court:</b>	Federal Court
<b>Name of Court:</b>	U.S. BANKRUPTCY COURT EASTERN DISTRICT OF NEW YORK
<b>Location of Court:</b>	CENTRAL ISLIP NEW YORK
<b>Docket/Case #:</b>	8-10-75522-REG
<b>Action Pending?</b>	No
<b>Disposition:</b>	Discharged
<b>Disposition Date:</b>	12/01/2010

## End of Report



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