

BrokerCheck Report

LINDA JILL WIMSATT

CRD# 1401802

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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 <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.

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

LINDA J. WIMSATT

CRD# 1401802

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

B AMERICAN TRUST INVESTMENT SERVICES, INC.
 2173 Salk Avenue
 Carlsbad, CA 92008
 CRD# 3001
 Registered with this firm since: 11/01/2020

IA CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC
 2173 Salk Ave #250
 caeksbad, CA 92008
 CRD# 123483
 Registered with this firm since: 02/05/2021

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
- 5 U.S. states and territories

This broker has passed:

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

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

- IA WESTPARK CAPITAL, INC.**
 CRD# 39914
 LOS ANGELES, CA
 09/2020 - 10/2020
- B WESTPARK CAPITAL, INC.**
 CRD# 39914
 Carlsbad, CA
 11/2017 - 10/2020
- IA DELTA INVESTMENT MANAGEMENT, LLC**
 CRD# 149596
 SAN FRANCISCO, CA
 11/2018 - 12/2019

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
Customer Dispute	4
Judgment/Lien	1



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 5 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **AMERICAN TRUST INVESTMENT SERVICES, INC.**

Main Office Address: **1244 119TH STREET
WHITING, IN 46394-1003**

Firm CRD#: **3001**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	11/01/2020
B	FINRA	General Securities Representative	Approved	11/01/2020

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/01/2020
B	California	Agent	Approved	11/01/2020
B	Florida	Agent	Approved	11/01/2020
B	Georgia	Agent	Approved	01/20/2022
B	Tennessee	Agent	Approved	08/17/2021

Branch Office Locations

AMERICAN TRUST INVESTMENT SERVICES, INC.

2173 Salk Avenue
#250
Carlsbad, CA 92008

Employment 2 of 2

Firm Name: **CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC**



Broker Qualifications

Employment 2 of 2, continued

Main Office Address: **4722 MAIN STREET
LISLE, IL 60532**

Firm CRD#: **123483**

U.S. State/ Territory	Category	Status	Date
IA California	Investment Adviser Representative	Approved	02/05/2021

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	02/18/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/09/1993

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/29/1999
B Uniform Securities Agent State Law Examination	Series 63	12/13/1993

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/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 09/2020 - 10/2020	WESTPARK CAPITAL, INC.	39914	Carlsbad, CA
B 11/2017 - 10/2020	WESTPARK CAPITAL, INC.	39914	Carlsbad, CA
IA 11/2018 - 12/2019	DELTA INVESTMENT MANAGEMENT, LLC	149596	Carlsbad, CA
IA 09/2014 - 12/2018	VFG ADVISORS, INC.	150370	VISTA, CA
B 09/2014 - 11/2017	VFG SECURITIES, INC.	15121	Carlsbad, CA
B 10/2005 - 09/2014	SAGEPOINT FINANCIAL, INC.	133763	VISTA, CA
IA 10/2005 - 09/2014	SAGEPOINT FINANCIAL, INC.	133763	VISTA, CA
IA 10/2000 - 10/2005	SUNAMERICA SECURITIES, INC.	20068	LAGUNA HILLS, CA
B 12/1998 - 10/2005	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
B 06/1997 - 12/1998	GRIFFIN FINANCIAL SERVICES	10823	
B 01/1997 - 06/1997	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	14229	NORTHRIDGE, CA
B 10/1995 - 12/1996	GRIFFIN FINANCIAL SERVICES	10823	
B 12/1993 - 10/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 12/1993 - 10/1995	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 04/1989 - 06/1989	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA
B 01/1988 - 04/1989	AMERICAN PACIFIC SECURITIES CORPORATION	5003	
B 02/1986 - 12/1987	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	
B 08/1985 - 10/1985	S. D. COHN & CO.	735	

Employment History



Registration and Employment History

Employment History, continued

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	Employer Name	Position	Investment Related	Employer Location
10/2020 - Present	American Trust Investment Services, Inc.	Registered Representative	Y	Carlsbad, CA, United States
11/2017 - 10/2020	Westpark Capital, Inc.	Registered Representative	Y	Los Angeles, CA, United States
11/2018 - 12/2019	Delta Investment Management, LLC	Investment Adviser Representative	Y	Carlsbad, CA, United States
09/2014 - 12/2018	VFG ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	CULVER CITY, CA, United States
09/2014 - 11/2017	VFG SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	CULVER CITY, CA, United States
01/2009 - 09/2014	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, United States

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. Choice Home and Loans; real estate investment related only; 1856 Timber Trail, Vista, CA 92081 and 2173 Salk Ave., #250, Carlsbad, CA 92008; Owner; Start date 3/15/06; hours: 10, securities trading hours: 1; buy and sell real estate properties.

2. Coast Capital Insurance Services, Insurance investment related; 1856 Timber Trail, Vista, CA 92081 and 2173 Salk Ave., #250, Carlsbad, CA 92008; Owner; Start date 6/1/15; hours: 20/week, securities trading hours: approx. 2; non-securities insurance sales

3. Coast Capital Wealth Management; Owner, President; investment-related. DBA for securities 2173 Salk Ave. #250, Carlsbad, CA 92008. Start Date: 6/1/2015, 40 hours/week devoted, most during business/trading hours.

4. LNL Financial Group, Inc Owner, President, Investment Related, Personal Service Corp, 3460 Marron Road, #103-346, Oceanside, CA 92056, Start Date: 03/01/1999, approximately 2 hours per month,



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.
 -
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	3	1	N/A
Judgment/Lien	1	N/A	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.

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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	SAGEPOINT FINANCIAL, INC.
Allegations:	CUSTOMER ALLEGED THAT SHE WAS NOT INFORMED OF THE LIQUIDITY RISK OF HER REIT INVESTMENT AND THAT THE AMOUNT INVESTED WAS NOT SUITABLE.
Product Type:	Real Estate Security
Alleged Damages:	\$25,154.62
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANT LOWERED HER ALLEGED DAMAGES DURING THE COURSE OF THE ARBITRATION.
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:	06/08/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)



Status Date: 07/30/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 10-03822

Date Notice/Process Served: 09/09/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/18/2010

Monetary Compensation Amount: \$12,000.00

Individual Contribution Amount: \$6,000.00

Broker Statement

I DENY ANY WRONGDOING WITH REGARD TO THE RECOMMENDATIONS MADE TO THIS CLIENT. I BELIEVE ALL RECOMMENDATIONS WERE SUITABLE WHEN MADE, AND ANY LOSSES EXPERIENCED WERE THE RESULT OF MARKET FORCES BEYOND MY CONTROL. THIS MATTER WAS SETTLED ON THE ADVICE OF LEGAL COUNSEL TO AVOID THE PROLONGED TIME AND COST OF FURTHER ARBITRATION PROCEEDINGS.



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Wimsatt, recommended that [REDACTED] invest in a high-risk, high-commission, unsuitable and illiquid alternative investment, namely GWG.
Product Type:	Other: GWG Holdings, Inc. L Bonds
Alleged Damages:	\$25,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-02227
Date Notice/Process Served:	10/12/2022
Arbitration Pending?	Yes

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Wimsatt, recommended that [REDACTED] invest in a high-risk, high-commission, unsuitable and illiquid alternative investment, namely GWG.
Product Type:	Other: GWG L bonds
Alleged Damages:	\$25,000.00

Arbitration Information



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

Docket/Case #: 22-02227

Date Notice/Process Served: 01/18/2023

Arbitration Pending? Yes

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: The arbitration alleges that GWG L Bonds were misrepresented to the client and not suitable for the clients investment objectives.

Product Type: Other: Alternative Investment - GWG L Bonds

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimant did not specify an exact compensatory, but it has been to be determined to ne greater than \$5,000

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 #: 22-02057

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2022

Customer Complaint Information

Date Complaint Received: 09/13/2022

Complaint Pending? Yes

**Settlement Amount:****Individual Contribution Amount:****Reporting Source:** Broker**Employing firm when activities occurred which led to the complaint:** WESTPARK CAPITAL, INC.**Allegations:** The arbitration alleges that GWG L Bonds were misrepresented to the client and not suitable for the clients investment objectives.**Product Type:** Other: GWG L Bonds**Alleged Damages:** \$0.00**Alleged Damages Amount Explanation (if amount not exact):** Claimant did not specify an exact compensatory, but it has been to be determined to ne greater than \$5,000**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 Dispute Resolution**Docket/Case #:** 22-02057**Filing date of arbitration/CFTC reparation or civil litigation:** 09/08/2022**Customer Complaint Information****Date Complaint Received:** 10/04/2022**Complaint Pending?** Yes**Settlement Amount:****Individual Contribution Amount:**



Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Complaint alleges Wimsatt misrepresented GWG L Bonds/unsuitable.
Product Type:	Other: Alternative - GWG
Alleged Damages:	\$100,001.00
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 #:	22-00607
Filing date of arbitration/CFTC reparation or civil litigation:	03/21/2022

Customer Complaint Information

Date Complaint Received:	05/24/2022
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Complaint alleges Wimsatt misrepresented GWG L Bonds/unsuitable.
Product Type:	Other: GWG L Bonds
Alleged Damages:	\$100,001.00



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 Dispute Resolution
Docket/Case #: 22-00607
Filing date of arbitration/CFTC reparation or civil litigation: 03/20/2022

Customer Complaint Information

Date Complaint Received: 10/04/2022
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	ARTURO RAMIREZ
Judgment/Lien Amount:	\$880.00
Judgment/Lien Type:	Civil
Date Filed:	06/11/2009
Type of Court:	SMALL CLAIMS
Name of Court:	NORTH SAN DIEGO COUNTY MUNICIPAL COURT
Location of Court:	VISTA, CA
Docket/Case #:	37-2009-00011173-SC-SC-NC
Judgment/Lien Outstanding?	Yes
Broker Statement	MY FORMER HUSBAND'S RENTAL COMPANY TOOK AN \$850 NON-REFUNDABLE DEPOSIT TO HOLD A RENTAL PROPERTY FOR MR. RAMIREZ. MR. RAMIREZ BACKED OUT OF THE CONTRACT AND WANTED HIS DEPOSIT BACK. MY FORMER HUSBAND REFUSED. MR. RAMIREZ TOOK HIM AND I TO COURT. I LOST IN COURT ON A TECHNICALITY. I TRIED TO FIND MR. RAMIREZ TO PAY HIM, BUT I CANNOT LOCATE HIM.

End of Report



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