



## IAPD Report

# DAVID DIXON LEWIS

CRD# 1004661

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### DAVID DIXON LEWIS (CRD# 1004661)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/03/2016**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FIRST WASHINGTON CORPORATION	CRD# 6681	01/19/2005

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	FIRST WASHINGTON CORPORATION	6681	SEATTLE, WA	05/27/2003 - 11/29/2013
B	LEWIS INVESTMENTS, LLC	104175	SEATTLE, WA	06/23/2000 - 10/06/2003
B	FOSTER & BAKER, INC.	14272	SEATTLE, WA	11/16/1999 - 06/23/2000

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

**Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3
Judgment/Lien	8



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.


This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **FIRST WASHINGTON CORPORATION**

Main Address: 2001 6TH AVE  
STE 3400  
SEATTLE, WA 98121

Firm ID#: 6681

	Regulator	Registration	Status	Date
	Washington	Investment Adviser Representative	Approved	01/19/2005

### Branch Office Locations

#### **FIRST WASHINGTON CORPORATION**

2001 6TH AVE  
STE 3400  
SEATTLE, WA 98121



## Qualifications



### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

	Exam	Category	Date
B	NYSE Branch Manager Examination (S12)	Series 12	07/10/1997
B	General Securities Principal Examination (S24)	Series 24	07/18/1989
B	Registered Options Principal Examination (S4)	Series 4	01/09/1978

#### General Industry/Product Exams

	Exam	Category	Date
B	Limited Representative-Equity Trader Exam (S55)	Series 55	09/26/2000
B	General Securities Representative Examination (S7)	Series 7	11/19/1977

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/2004
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/08/1986



### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/27/2003 - 11/29/2013	FIRST WASHINGTON CORPORATION	CRD# 6681	SEATTLE, WA
B	06/23/2000 - 10/06/2003	LEWIS INVESTMENTS, LLC	CRD# 104175	SEATTLE, WA
B	11/16/1999 - 06/23/2000	FOSTER & BAKER, INC.	CRD# 14272	SEATTLE, WA
B	11/17/1988 - 05/26/1998	RAGEN MACKENZIE INCORPORATED	CRD# 10582	SAN FRANCISCO, CA
B	11/23/1985 - 12/05/1988	SHEARSON LEHMAN HUTTON INC.	CRD# 7506	NEW YORK, NY
B	08/07/1981 - 11/21/1985	FOSTER & MARSHALL INC.	CRD# 321	

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2003 - Present	FIRST WASHINGTON CORPORATION	CHAIRMAN AND C. E. O.	Y	SEATTLE, WA, United States

### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

MR. LEWIS SERVES AS A TRUSTEE FOR THE E. MAXWELL FOUNDATION. THE MAXWELL FOUNDATION IS A SEATTLE-BASED FOUNDATION WHOSE PRIMARY FUNCTION IS TO ADMINISTER AND GRANT SCHOLARSHIPS TO WASHINGTON-BASED COLLEGE STUDENTS. OVERSIGHT OF INVESTMENTS IS INVOLVED. REQUIRES 3 HOURS A MONTH IN WORKING TIME.



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3
Judgment/Lien	8

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Other: N/S

**Date Initiated:** 01/16/2015

**Docket/Case Number:** [2011025633201](#)

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

**Product Type:** Options

**Allegations:** LEWIS WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE THE SUPERVISORY SYSTEM AND WRITTEN SUPERVISORY PROCEDURES (WSPS) OF A FORMER FINRA MEMBER FIRM TO ACHIEVE COMPLIANCE WITH THE FEDERAL SECURITIES LAWS AND REGULATIONS, AND WITH THE RULES OF FINRA, IN CONNECTION WITH THE FIRM'S PUBLIC CUSTOMER OPTIONS BUSINESS, ITS AVERAGE PRICE ACCOUNT, AND ITS HEIGHTENED SUPERVISION OF REGISTERED REPRESENTATIVES. LEWIS WAS THE CHAIRMAN, CHIEF EXECUTIVE OFFICER (CEO), CHIEF COMPLIANCE OFFICER (CCO), SENIOR REGISTERED OPTIONS PRINCIPAL (SR) AND COMPLIANCE REGISTERED OPTIONS PRINCIPAL (CROP) OF THE FIRM, WITH PRIMARY AND OVERALL RESPONSIBILITY FOR COMPLIANCE AND SUPERVISION. THE COMPLAINT ALLEGES THAT LEWIS WILLFULLY FAILED TO AMEND HIS FORM U4 TO DISCLOSE MATERIAL INFORMATION





	REGARDING UNSATISFIED FEDERAL TAX LIENS THAT HAD BEEN FILED AGAINST HIM.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/12/2015
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?</b>	No
<b>(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?</b>	
<b>(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or</b>	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	all capacities
<b>Duration:</b>	two years
<b>Start Date:</b>	11/02/2015
<b>End Date:</b>	11/01/2017

**Monetary Sanction 1 of 1**

<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$30,000.00
<b>Portion Levied against individual:</b>	\$30,000.00
<b>Payment Plan:</b>	deferred
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	

**Regulator Statement**

Without admitting or denying the allegations, Lewis consented to the sanctions and to the entry of findings that he failed to establish, maintain, and enforce the supervisory system and written supervisory procedures (WSPs) of a former FINRA member firm in connection with the firm's options business, its average price account, and its heightened supervision of registered representatives. The findings stated that the WSPs, maintained by Lewis, were deficient in that they did not require an options principal to review the Accounts for Statement Review (ASR) reports and determine whether any of the firm's options accounts required further review, and they did not require documentation of the reasons for any action taken upon such review, or of the decision to take no action. They were also deficient in that they did not state with specificity criteria for identifying options accounts warranting additional review. The findings also stated that the WSPs, maintained by Lewis, were further deficient because they failed to provide for verification that the customer understood and authorized the transactions when multiple options



transactions were effected in an account. The findings also included that Lewis did not establish, maintain or enforce any system or procedure to ensure that customers had sufficient buying power to support their purchases of options or that customers who traded options were not exposed to risks greater than the firm had authorized. FINRA found that the supervisory system and WSPs established and maintained by Lewis were deficient in that they did not include any procedures to ensure there was sufficient equity in customers' accounts when trades were entered in the average price account, or that the trades were allocated to the accounts identified on the order tickets. FINRA also found that Lewis failed to enforce the requirements of the firm's WSPs regarding a registered representative placed under heightened supervision. In addition, FINRA found that Lewis failed to amend his Form U4 to disclose IRS tax liens that had been filed against him. There were no willful findings in the Order Accepting Offer of Settlement.

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Date Initiated:</b>	01/16/2015
<b>Docket/Case Number:</b>	<a href="#">2011025633201</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	FIRST WASHINGTON CORPORATION
<b>Product Type:</b>	Options
<b>Allegations:</b>	FINRA IS ALLEGING THAT I FAILED TO ESTABLISH, MAINTAIN, AND ENFORCE A SUPERVISORY SYSTEM AND WSPS IN CONNECTION WITH FIRST WASHINGTON'S FORMER OPTIONS BUSINESS AND THAT I FAILED TO AMEND MY FORM U4 TO TIMELY DISCLOSE CERTAIN FEDERAL TAX LIENS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/12/2015
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL CAPACITIES
<b>Duration:</b>	2 YEARS
<b>Start Date:</b>	11/02/2015
<b>End Date:</b>	11/01/2017

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$30,000.00**Portion Levied against individual:** \$30,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Broker Statement**

In an effort to amicably resolve this matter, I agreed to settle with FINRA without admitting or denying the allegations. Since I am no longer associated with a FINRA member firm, I consented to the sanctions as there were no findings of any willful violations of any FINRA or NASD rules contained in the Order of Settlement. The fine is deferred until such time as I choose to become re-registered with FINRA.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST WASHINGTON CORPORATION
<b>Allegations:</b>	CLAIMANTS ALLEGE THAT FIRST WASHINGTON AND DAVID D LEWIS ALLOWED EXCESSIVE OPTIONS TRADING WITHOUT MAKING APPROPRIATE DISCLOSURES TO CLAIMANTS; CLAIMANTS ALLEGE THEY WERE CHARGED EXCESSIVE COMMISSIONS. CLAIMANTS HAD ACCOUNTS WITH FIRST WASHINGTON FROM JULY 2008 UNTIL MARCH 2009.
<b>Product Type:</b>	Index Option Options
<b>Alleged Damages:</b>	\$1,100,000.00
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA ARBITRATION
<b>Docket/Case #:</b>	13-00205
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/18/2013

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/06/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	06/12/2013
<b>Settlement Amount:</b>	\$10,000.00
<b>Individual Contribution Amount:</b>	

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA ARBITRATION
<b>Docket/Case #:</b>	13-00205



**Date Notice/Process Served:** 02/06/2013

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/27/2013

**Monetary Compensation Amount:** \$10,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** RE: ITEM 7 AND 8 WERE COMPLETED INSTEAD OF ITEMS 12 AND 13. ITEM 8 IS A "RADIO BOX" AND INFO CANNOT BE DELETED, SO ANSWER WAS CHANGED TO "NO" AND EVOLVED INTO ARBITRATION/CFTC REPARATION (YOU ARE A NAMED PARTY) WAS SELECTED BECAUSE THAT WAS THE MOST CORRECT. CHANGES WERE MADE FOR TECHNICAL REASONS SO THAT THE ADMENDMENT COULD BE SUBMITTED.

### Disclosure 2 of 3

**Reporting Source:** Individual

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

**Allegations:** A FORMER EMPLOYEE OF FIRST WASHINGTON IS ALLEGED TO HAVE DIRECTED UNSUITABLE OPTION TRADING ACTIVITY AND OTHER IMPROPER ACTIVITIES FROM MARCH 2008 TO FEBRUARY 2011. MR. LEWIS WAS CEO OF FIRST WASHINGTON DURING THIS PERIOD AND IS ALLEGED TO HAVE FAILED TO PROPERLY SUPERVISE THE EMPLOYEE.

**Product Type:** Options

**Alleged Damages:** \$4,457,449.00

**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 ARBITRATION

**Docket/Case #:** CASE 12-00540

**Filing date of arbitration/CFTC reparation or civil litigation:** 02/14/2012

### Customer Complaint Information

**Date Complaint Received:** 03/05/2012

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 04/17/2014

**Settlement Amount:**



**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** [CASE 12-00540](#)

**Date Notice/Process Served:** 03/05/2012

**Arbitration Pending?** No

**Disposition:** Dismissed

**Disposition Date:** 04/17/2014

**Monetary Compensation Amount:** \$475,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** 16.MONETARY COMPENSATION DETAILS (AWARD, SETTLEMENT,REPARATION AMOUNT): A. TOTAL AMOUNT: \$475,000 PLUS INTEREST

### Disclosure 3 of 3

**Reporting Source:** Individual

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

**Allegations:** A FORMER EMPLOYEE OF FIRST WASHINGTON IS ALLEGED TO HAVE DIRECTED UNSUITABLE OPTION TRADING ACTIVITY AND OTHER IMPROPER ACTIVITIES FROM FEBRUARY 2008 TO FEBRUARY 2011. MR. LEWIS WAS CEO OF FIRST WASHINGTON DURING THIS PERIOD AND IS ALLEGED TO HAVE FAILED TO PROPERLY SUPERVISE THE EMPLOYEE.

**Product Type:** Options

**Alleged Damages:** \$5,000,000.00

**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 ARBITRATION

**Docket/Case #:** CASE 12-00268

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/25/2012

### Customer Complaint Information

**Date Complaint Received:** 02/24/2012

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 06/06/2014

**Settlement Amount:** \$250,000.00

**Individual Contribution Amount:** \$0.00

### Arbitration Information

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

**Docket/Case #:** [CASE 12-00268](#)

**Date Notice/Process Served:** 02/24/2012

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/06/2014

**Monetary Compensation Amount:** \$250,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** FIRM INITIALLY COMPLETED ITEMS 7-11 SHOULD HAVE COMPLETED ITEMS 12-16. WE WERE UNABLE TO EDIT.





## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$70,957.29
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/09/2016
<b>Date Individual Learned:</b>	06/09/2016
<b>Type of Court:</b>	FEDERAL TAX LIEN
<b>Name of Court:</b>	FEDERAL TAX
<b>Location of Court:</b>	KING COUNTY WA
<b>Docket/Case #:</b>	214873716
<b>Judgment/Lien Outstanding?</b>	Yes

### Disclosure 2 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$74,369.96
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/09/2016
<b>Date Individual Learned:</b>	06/09/2016
<b>Type of Court:</b>	FEDERAL TAX LIEN
<b>Name of Court:</b>	FEDERAL TAX
<b>Location of Court:</b>	KING COUNTY WA
<b>Docket/Case #:</b>	214873716
<b>Judgment/Lien Outstanding?</b>	Yes

### Disclosure 3 of 8

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$23,484.45
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/09/2016
<b>Date Individual Learned:</b>	06/09/2016
<b>Type of Court:</b>	FEDERAL TAX LIEN
<b>Name of Court:</b>	FEDERAL TAX



**Location of Court:** KING COUNTY WA

**Docket/Case #:** 214873716

**Judgment/Lien Outstanding?** Yes

#### Disclosure 4 of 8

**Reporting Source:** Individual

**Judgment/Lien Holder:** FORD MOTOR CREDIT

**Judgment/Lien Amount:** \$1,268.00

**Judgment/Lien Type:** Civil

**Date Filed with Court:** 09/08/2006

**Type of Court:** State Court

**Name of Court:** KING COUNTY

**Location of Court:** SEATTLE WA

**Docket/Case #:** 062286626

**Judgment/Lien Outstanding?** Yes

#### Disclosure 5 of 8

**Reporting Source:** Individual

**Judgment/Lien Holder:** IRS

**Judgment/Lien Amount:** \$22,992.00

**Judgment/Lien Type:** Tax

**Date Filed with Court:** 12/22/2010

**Type of Court:** FEDERAL TAX LEIN

**Name of Court:** IRS FEDERAL TAX

**Location of Court:** CINCINNATI OHIO

**Docket/Case #:** 20101222001076

**Judgment/Lien Outstanding?** Yes

#### Disclosure 6 of 8

**Reporting Source:** Individual

**Judgment/Lien Holder:** IRS

**Judgment/Lien Amount:** \$22,992.00

**Judgment/Lien Type:** Tax

**Date Filed with Court:** 01/18/2011

**Type of Court:** FEDERAL TAX LEIN

**Name of Court:** FEDERAL TAX

**Location of Court:** CINCINANTI OHIO

**Docket/Case #:** 20110118001510



**Judgment/Lien Outstanding?** Yes

**Disclosure 7 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$54,940.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 09/09/2010  
**Type of Court:** FEDERAL TAX LEIN  
**Name of Court:** IRS FEDERAL TAX  
**Location of Court:** CINNCINATI OHIO  
**Docket/Case #:** 201001222001076  
**Judgment/Lien Outstanding?** Yes

**Disclosure 8 of 8**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$12,904.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 11/23/2008  
**Type of Court:** FEDERAL TAX LEIN  
**Name of Court:** IRS FEDERAL TAX  
**Location of Court:** CINNCINNATI OHIO  
**Docket/Case #:** 200811223001170  
**Judgment/Lien Outstanding?** Yes



## End of Report

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