



IAPD Report

ALFRED JAMES FERONTI

CRD# 1013847

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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

ALFRED JAMES FERONTI (CRD# 1013847)

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 **05/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMFG WEALTH MANAGEMENT LLC	CRD# 292160	03/19/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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
IA	SAGEGUARD WEALTH MANAGEMENT, INC.	158748	WESTLAKE, OH	07/17/2017 - 03/26/2018
IA	HAZARD & SIEGEL ADVISORY SERVICES LLC	151462	WESTLAKE, OH	03/14/2016 - 07/13/2017
B	HAZARD & SIEGEL, INC.	2048	WESTLAKE, OH	08/09/2012 - 07/13/2017

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	2
Customer Dispute	1
Termination	1



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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMFG WEALTH MANAGEMENT LLC**
Main Address: 924 WESTPOINT PARKWAY
SUITE 100
WESTLAKE, OH 44145
Firm ID#: 292160

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	09/24/2025
IA	Ohio	Investment Adviser Representative	Approved	03/19/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	02/07/2025
IA	South Carolina	Investment Adviser Representative	Approved	12/20/2022

Branch Office Locations

AMFG WEALTH MANAGEMENT LLC
924 WESTPOINT PARKWAY
SUITE 100
WESTLAKE, OH 44145




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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/15/1995

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	07/13/2017
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/23/2010
 General Securities Representative Examination (S7)	Series 7	10/17/1994
 Direct Participation Programs Representative Examination (S22)	Series 22	02/25/1987

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/12/2017
 Uniform Investment Adviser Law Examination (S65)	Series 65	01/11/2016

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
IA	07/17/2017 - 03/26/2018	SAGEGUARD WEALTH MANAGEMENT, INC.	CRD# 158748	WESTLAKE, OH
IA	03/14/2016 - 07/13/2017	HAZARD & SIEGEL ADVISORY SERVICES LLC	CRD# 151462	WESTLAKE, OH
B	08/09/2012 - 07/13/2017	HAZARD & SIEGEL, INC.	CRD# 2048	WESTLAKE, OH
IA	01/16/2008 - 12/31/2010	WORLD CAPITAL ADVISORS, LLC	CRD# 135941	WESTLAKE, OH
IA	10/15/2004 - 06/01/2007	GWN SECURITIES INC.	CRD# 128929	WESTLAKE, OH
B	10/08/2004 - 06/01/2007	GWN SECURITIES INC.	CRD# 128929	WESTLAKE, OH
IA	01/02/2002 - 10/15/2004	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	WESTLAKE, OH
B	03/06/2001 - 10/15/2004	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	FOLSOM, CA
B	12/11/2003 - 01/16/2004	LEGEND EQUITIES CORPORATION	CRD# 30999	PALM BEACH GARDEN, FL
B	10/13/1998 - 03/06/2001	DONAHUE SECURITIES, INC.	CRD# 24330	CINCINNATI, OH
B	10/06/1997 - 09/11/1998	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	04/09/1997 - 10/06/1997	COMMONWEALTH EQUITY SERVICES, INC.	CRD# 8032	WALTHAM, MA
B	12/17/1996 - 04/10/1997	IFG NETWORK SECURITIES, INC.	CRD# 19948	ATLANTA, GA
B	03/26/1992 - 12/12/1996	BUCKHEAD FINANCIAL CORPORATION	CRD# 18398	
B	10/10/1990 - 01/22/1992	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	01/29/1990 - 10/12/1990	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA



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	10/09/1986 - 01/30/1990	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	07/03/1986 - 08/07/1986	PHILADELPHIA LIFE ASSET PLANNING COMPANY	CRD# 629	
B	10/24/1983 - 07/03/1986	SOUTHWESTERN MANAGEMENT & RESEARCH CORPORATION	CRD# 3461	
B	04/26/1982 - 12/20/1982	NEL EQUITY SERVICES CORPORATION	CRD# 615	

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
01/2018 - Present	AMFG Wealth Management LLC	Managing Member & CCO	Y	Westlake, OH, United States
08/1989 - Present	A & M Financial Group	Owner/President	Y	Avon Lake, OH, United States
12/2017 - 03/2018	SageGuard Wealth Management dba A & M Financial Group	Financial Advisor	Y	WESTLAKE, OH, United States
07/2017 - 12/2017	SageGuard Wealth Management dba A & M Financial Group	OWNER/PRESIDENT	Y	CLEVELAND, OH, United States
01/2010 - 07/2017	HAZARD & SIEGEL INC	REGISTERED REPRESENTATIVE	Y	DEWITT, NY, 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.

A & M FINANCIAL GROUP INC.

24500 CENTER RIDGE RD, SUITE 220 WESTLAKE, OH 44145

FERONTI OWNS 100% OF A & M FINANCIAL GROUP INC. THE COMPANY IS INVOLVED IN THE SALE & SERVICE OF FIXED INSURANCE PRODUCTS

ACTS AS A SOLICITOR OF HAZARD & SIEGEL ADVISORY SERVICES LLC DEWITT NY.



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	2
Customer Dispute	1
Termination	1

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	OHIO DIVISION OF SECURITIES
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	05/24/2007
Docket/Case Number:	07-159
Employing firm when activity occurred which led to the regulatory action:	GWN SECURITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT ALLEGED TO LACK GOOD BUSINESS REPUTE.
Current Status:	Final
Resolution:	Other
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes



Resolution Date: 08/08/2007

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details: SECURITIES SALESPERSON LICENSE AND INVESTMENT ADVISER LICENSE SUSPENDED FOR A SIX MONTH PERIOD BEGINNING MAY 24, 2007 AND ENDING NOVEMBER 24, 2007.

Regulator Statement ON AUGUST 8, 2007 REPONDENT ENTERED INTO A CONSENT AGREEMENT WITH THE OHIO DIVISION OF SECURITIES, AND CONSENTED TO THE FINDINGS IN DIVISION ORDER 07-293 AND A SIX MONTH SUSPENSION OF HIS SECURITIES SALESPERSON AND INVESTMENT ADVISER REPRESENTATIVE LICENSES.

Reporting Source: Firm

Regulatory Action Initiated By: OHIO DIVISION OF SECURITIES

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: CONSENT AGREEMENT AND SUSPENSION ORDER ISSUED AUGUST 8, 2007, SUSPENDING THE OHIO SECURITIES SALESPERSON'S LICENSE AND OHIO INVESTMENT ADVISER REPRESENTATIVE LICENSE FOR A PERIOD OF SIX MONTHS, FROM MAY 24, 2007 TO NOVEMBER 24, 2007.

Date Initiated: 05/24/2007

Docket/Case Number: 07-159 ORDER #07-293

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

Product Type: No Product

Other Product Type(s):

Allegations: AS STATED IN THE OHIO STATE ORDER NASD IS SEEKING A SUSPENSION FOR FAIURE TO DISCLOSE IN A TIMELY MANNER OUTSTANDING JUDGMENTS AND LIENS, BANKRUPTCY AND SEVERAL JUDGMENTS/LIENS STILL PENDING. THESE FACTORS HAS LEAD TO THE SUSPENSION WITH THE POSSIBILITY OF REVOCATION IF A HEARING IS NOT REQUESTED WITHIN 30 DAYS.

Current Status: Final

Resolution: Order

Resolution Date: 05/24/2007

Sanctions Ordered: Suspension

Other Sanctions Ordered: REVOCATION IS ALSO ORDERED 30 DAYS FROM DATE OF NOTICE OF SUSPENSION. RESPONDENT IS ENTITLED TO AN ADJUDICATORY HEARING IF A WRITTEN REQUEST IS RECEIVED BY THE DIVISION WIHIN 30 DAYS FROM THE DATE OF NOTICE.

Sanction Details: SUSPENDED UNTIL A FINAL ORDER IS ISSUED BY THE DIVISION IN THIS MATTER. FINAL ORDER ISSUED. OHIO SECURITIES SALESPERSON'S LICENSE AND OHIO INVESTMENT ADVISER REPRESENTATIVE LICENSED SUSPENDED FOR A PERIOD OF SIX MONTHS, FROM MAY 24, 2007 TO NOVEMBER 24, 2007.



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Reporting Source: Individual
Regulatory Action Initiated By: STATE OF OHIO DEPARTMENT OF SECURITIES
Sanction(s) Sought: Suspension
Other Sanction(s) Sought:
Date Initiated: 05/24/2007
Docket/Case Number: 07-293
Employing firm when activity occurred which led to the regulatory action: GWN SECURITIES
Product Type: No Product
Other Product Type(s):
Allegations: 6 MONTH SUSPENSION FOR FIALING TO UPDATE MY U4 ON A TIMELY BASIS
Current Status: Final
Resolution: Settled
Resolution Date: 08/08/2007
Sanctions Ordered: Suspension
Other Sanctions Ordered:
Sanction Details: 6 MONTH SUSPENSION IN ALL CAPICITIES FROM 5/24/07 TO 11/23/07

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: NASD
Sanction(s) Sought:
Date Initiated: 06/05/2007
Docket/Case Number: [2005002402101](#)
Employing firm when activity occurred which led to the regulatory action: GWN SECURITIES, INC.
Product Type: No Product
Allegations: NASD RULE 2110 AND INTERPRETATIVE MATERIAL 1000 - RESPONDENT WILLFULLY FAILED TO DISCLOSE OR WILLFULLY FAILED TO TIMELY DISCLOSE MATERIAL INFORMATION ON HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U4).
Current Status: Final
Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 06/05/2007

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, FERONTI CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE WAS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR SIX MONTHS. THE FINE SHALL BE DUE AND PAYABLE IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SETTLEMENT INCLUDES A FINDING THAT RESPONDENT WILLFULLY FAILED TO DISCLOSE A MATERIAL FACT ON A FORM U4, AND THAT UNDER SECTION 15(B)(4)(A) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4(F) OF THE NASD BY-LAWS, THIS OMISSION MAKES HIM SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM JULY 2, 2007 THROUGH JANUARY 1, 2008. FINE PAID 09/16/2008.

Reporting Source: Firm

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$5000.00 FINE PAYABLE UPON RE-ENTRY

Date Initiated: 03/28/2007

Docket/Case Number: 20050024021

Employing firm when activity occurred which led to the regulatory action: GWN SECURITIES, INC.

Product Type: No Product

Other Product Type(s): THIS WAS NOT A SALES PRACTICE VIOLATION. NO PRODUCTS INVOLVED

Allegations: BETWEEN THE APPROXIMATE DATES OF DECEMBER 14, 1995 AND NOVEMBER 21, 2006 FERONTI WILLFULLY FAILED TO DISCLOSE OR WILLFULLY FAILED TO TIMELY DISCLOSE OUTSTANDING JUDGMENTS AND LIENS ON HIS U4. FERTONTI STATED THAT HE WAS AWARE OF HIS OBLIGATION TO DISCLOSE THESE JUDGMENTS AND LIENS, BUT DID NOT DISCLOSE BECAUSE HE WAS EMBARRASSED ABOUT HIS PERSONAL FINANCES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 05/18/2007



Sanctions Ordered: Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: A 6 MONTH SUSPENSION IN ALL CAPACITIES. EFFECTIVE DATE YET TO BE DETERMINED BY THE NASD STAFF. FINE OF \$5000.00 PAYABLE UPON RE-ENTRY.

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Suspension

Date Initiated: 03/28/2007

Docket/Case Number: 20050024021

Employing firm when activity occurred which led to the regulatory action: GWN SECURITIES, INC.

Product Type: No Product

Allegations: BETWEEN THE APPROXIMATE DATES OF DECEMBER 14, 1995 AND NOVEMBER 21, 2006 I WILLFULLY FAILED TO DISCLOSE OR WILLFULLY FAILED TO TIMELY DISCLOSE OUTSTANDING JUDGMENTS AND LIENS ON MY U4. I WAS AWARE OF MY OBLIGATION TO DISCLOSE THESE JUDGMENTS AND LIENS, BUT DID NOT DISCLOSE BECAUSE I WAS EMBARRASSED ABOUT MY PERSONAL FINANCES.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 05/18/2007

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL

Duration: 6 MONTH

Start Date: 07/02/2007

End Date: 01/01/2008



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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: NONFEASANCE, DERILICTION IN HIS BUSINESS PRACTICE AND FABRICATION OF CUSTOMER SIG ON FORM SUBMITTED TO FACILITATE, AT CUSTOMER'S REQUEST, LIQUIDATION OF POSITIONS AND WIRE TRANSFER OF MONEY TO CUSTOMER.

Product Type:

Alleged Damages: \$2,500.00

Customer Complaint Information

Date Complaint Received: 06/12/1998

Complaint Pending? No

Status: Closed/No Action

Status Date:

Settlement Amount:

Individual Contribution Amount:

Firm Statement TERMINATION
CUST CLAIMED REPRESENTATIVE DID NOT EXECUTE TRADES (SELL ORDERS) WHEN INSTRUCTED. IN SUBSEQUENT LETTER, CUST ALLEGED REP FABRICATED HER SIG ON LOI AND OVERSOLD POSITION IN AT&T COMMON STOCK. REP HAS INDICATED CUST CLAIMS WERE WITHOUT MERIT. FIRM HAS OFFERED TO COMPENSATE FOR EXPENSES INCURRED DURING DELAY AND RE-INSTATE AT&T SHARES AT LOWER END OF MKT OR PROCEEDS FROM SALE.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: ALLEGATIONS WERE FORGERY. ALLEGED AMOUNT OF DAMAGES WERE \$2500.

Product Type:

Alleged Damages: \$2,500.00

Customer Complaint Information



Date Complaint Received:	06/12/1998
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	N/A NOT PROVIDED



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	GWN SECURITIES
Termination Type:	Discharged
Termination Date:	05/24/2007
Allegations:	FAILED TO UPDATE MY U4 ON A TIMELY BASIS
Product Type:	No Product
Other Product Types:	
Broker Statement	WAS TERMINATED DUE TO OHIO SECURITIES LICENSES BEING SUSPENDED FOR 6MTHS



End of Report

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