



## IAPD Report

# KENNETH ALLAN ULRICH

CRD# 1017571

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	7 - 9
Disclosure Information	10

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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

### KENNETH ALLAN ULRICH (CRD# 1017571)

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 **09/18/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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>IA</b>	AVANTAX ADVISORY SERVICES	104556	Williamsville, NY	05/03/2024 - 09/05/2025
<b>B</b>	AVANTAX INVESTMENT SERVICES, INC.	13686	Williamsville, NY	05/03/2024 - 09/05/2025
<b>IA</b>	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EAST AMHERST, NY	01/09/2018 - 05/06/2024

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
Customer Dispute	2



## 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 **21** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**  
Main Address: 2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245  
Firm ID#: 13572

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	Direct Participation Programs	Approved	09/05/2025
<b>B</b>	FINRA	General Securities Principal	Approved	09/05/2025
<b>B</b>	FINRA	General Securities Representative	Approved	09/05/2025
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	09/05/2025
<b>B</b>	Arizona	Agent	Approved	09/05/2025
<b>B</b>	California	Agent	Approved	09/05/2025
<b>B</b>	Colorado	Agent	Approved	09/05/2025
<b>B</b>	Connecticut	Agent	Approved	09/05/2025
<b>B</b>	Florida	Agent	Approved	09/05/2025
<b>B</b>	Louisiana	Agent	Approved	09/05/2025
<b>B</b>	Maryland	Agent	Approved	09/05/2025
<b>B</b>	Minnesota	Agent	Approved	09/05/2025
<b>B</b>	New Hampshire	Agent	Approved	09/05/2025



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Jersey	Agent	Approved	09/05/2025
<b>B</b> New York	Agent	Approved	09/05/2025
<b>B</b> North Carolina	Agent	Approved	09/05/2025
<b>B</b> Ohio	Agent	Approved	09/05/2025
<b>B</b> Oregon	Agent	Approved	09/05/2025
<b>B</b> Pennsylvania	Agent	Approved	09/05/2025
<b>B</b> Rhode Island	Agent	Approved	09/05/2025
<b>B</b> South Carolina	Agent	Approved	09/05/2025
<b>B</b> Texas	Agent	Approved	09/05/2025
<b>B</b> Utah	Agent	Approved	09/10/2025
<b>B</b> Virginia	Agent	Approved	09/05/2025
<b>B</b> Wisconsin	Agent	Approved	09/05/2025

### Branch Office Locations

#### CETERA ADVISOR NETWORKS LLC

5920 Main Street  
Williamsville, NY 14221

### Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644



### Qualifications

Regulator	Registration	Status	Date
IA New York	Investment Adviser Representative	Approved	09/05/2025
IA Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
5920 MAIN STREET  
WILLIAMSVILLE, NY 14221



## 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, 5 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	03/22/1990

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	09/28/2009
General Securities Representative Examination (S7)	Series 7	06/20/1987
Direct Participation Programs Representative Examination (S22)	Series 22	04/08/1983
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/25/1982

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	04/03/1990

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



## 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	05/03/2024 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Williamsville, NY
B	05/03/2024 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Williamsville, NY
IA	01/09/2018 - 05/06/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EAST AMHERST, NY
B	12/08/2017 - 05/06/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EAST AMHERST, NY
B	03/30/2009 - 12/08/2017	SII INVESTMENTS, INC.	CRD# 2225	WILLIAMSVILLE, NY
IA	03/30/2009 - 12/08/2017	SII INVESTMENTS, INC.	CRD# 2225	WILLIAMSVILLE, NY
IA	01/17/2003 - 04/02/2009	FSC SECURITIES CORPORATION	CRD# 7461	WILLIAMSVILLE, NY
B	02/02/1987 - 04/02/2009	FSC SECURITIES CORPORATION	CRD# 7461	WILLIAMSVILLE, NY
B	02/02/1982 - 02/27/1987	CIGNA SECURITIES, INC.	CRD# 145	

### 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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Williamsville, NY, United States
05/2025 - Present	Fixed Index Annuities	Agent	Y	Williamsville, NY, United States
12/2024 - Present	Bearingstone Wealth, Inc.	Founding Partner-Finacial Advisor	Y	Williamsville, NY, United States
01/2014 - Present	PUB Properties, Inc	President	Y	Okeechobee, FL, United States
09/2005 - Present	Pinnacle Funding, LLC	Member	Y	Cheyenne, WY, United States
06/2005 - Present	1031 Retirement Solutions, LLC	INVESTMENT ADVISOR	Y	Clarence Center, NY, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		REPRESENTATIVE		
12/1986 - Present	Progressive Planning Services, Inc.	Chief Executive Officer	Y	East Amherst, NY, United States
05/2024 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	East Amherst, NY, United States
05/2024 - 09/2025	Avantax Insurance Agency, LLC	Insurance Agent	Y	East Amherst, NY, United States
05/2024 - 09/2025	Avantax Investment Services Inc.	Registered Representative	Y	East Amherst, NY, United States
12/2017 - 05/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	AMHERST, NY, United States
05/2021 - 01/2024	22 Miller Place, LLC	Member	Y	Clarence Center, NY, United States
03/2009 - 12/2017	SII INVESTMENTS, INC.	INVESTMENT REP	Y	WILLIAMSVILLE, 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.

- 1) 1031 RETIREMENT SOLUTIONS, LLC POS: Member NATURE: Entity designed to hold NYS Real Estate Broker License NIR; HRS: 1; HRS: 1; 06/30/2005; 8610 Transit Road, #200, East Amherst NY 14051; Referring potential clients to other Real Estate Brokers. Receive referral commissions if other Brokers are successful in generating revenue for those clients real estate sales ofr purchases.
- 2) 22 MILLER PLACE, LLC POS: Member NATURE: Previously held rental cottage-no activity now; NIR; HRS: 0; HRS: 0; 05/21/2021; 9650 Lapp Road, Clarence Center, Clarence Center NY 14032 DESC: No activities as this entity is currently inactive
- 3) PROGRESSIVE PLANNING SERVICES, INC. POS: Chief Executive Officer NATURE: Entity DBA for conducting financial advice, retirement planning, financial planning, including insurance and securities business with clients. IR; HRS: 160; HRS: 100 START DATE: 12/10/1986 ADDR: 8610 Transit Rd, Suite 200, East Amherst NY 14051 DESC: President- handling all administration of financial planning practice, working with clients on financial planning advice involving insurance, securities and investment advisory services. Supervising staff who assists me in the aforementioned.
- 4) PINNACLE FUNDING, LLC POS: Member NATURE: Ownership and rental of business equipment, furniture and computers. NIR; HRS: 1; HRS: 0 START DATE: 09/12/2005 ADDR: 109 East 17th Street, Suite 63, Cheyenne WY 82001 DESC: Managing and record keeping for rental equipment, expense payments, banking and reporting. This is the extent of my duties.
- 5) PUB PROPERTIES, INC POS: President NATURE: President of a corporation that is a real estate holding company for a family ranch. IR; HRS: 5; HRS: 1 START DATE: 01/06/2014 ADDR: 113 Northwest 11th Avenue, Okeechobee FL 33935 DESC: Executive officer responsible for executing documents, making financial decisions and business planning for the ranch
- 6) POA FOR FAMILY MEMBER POS: Power of Attorney NATURE: Becoming Power of Attorney on my Father's SEI Account and NFS Brokerage and Advisory Account; NIR; HRS: 1; HRS: 0 START DATE: 11/15/2024 ADDR: 5920 Main Street, Suite 200, Williamsville NY 14221 DESC: Receive mail, handling maintenance of account in POA capacity
- 7) BEARINGSTONE WEALTH, INC. POS: Founding Partner-Finacial Advisor NATURE: Used for a DBA for marketing financial services, including insurance, financial planning, fee based asset management and Broker Dealer product sales. NIR; HRS: 100;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

HRS: 100 START DATE: 12/31/2024 ADDR: 5920 Main Street, Suite 200, Williamsville NY 14221 DESC: Manage website, marketing material, advertising, review investment performance with clients, meet with clients.

8) FIXED INDEX ANNUITIES POS: Agent NATURE: Sale of Fixed Indexed Annuities through Avantax IR; HRS: 2; HRS: 2 START DATE: 05/27/2025 ADDR: 5920 Main Street, Williamsville NY 14221, United StatesDESC: Meet with clients and select appropriate annuity products

9) ESTATE OF TIMOTHY S. BOBERG POS: Co-Executor NATURE: Serving as Co-Executor together with my Sister for my deceased Brother-In-Law's Estate. Arranging for valuation/appraisal of assets, working with and at the instruction of attorneys for the business of the estate. NIR; HRS: 4; HRS: 3 START DATE: 03/18/2025 ADDR: 5920 Main Street, Williamsville NY 14221, United States DESC: Working with attorneys for estate plan. Obtaining valuations of assets. Signing documents by attorneys Arranging for retitling of assets



## 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
Customer Dispute	2

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FSC SECURITIES
<b>Allegations:</b>	VIOLATION OF STANDARDS OF REASONABLE BASIS SUITABILITY; JUST AND EQUITABLE PRINCIPALS OF TRADE; FRAUD; MISLEADING STATEMENTS; MISLEADING OMISSIONS OF MATERIAL INFORMATION; BREACH OF FIDUCIARY DUTY; NEGLIGENT MISREPRESENTATION; NEGLIGENCE; BREACH OF CONTRACT; BREACH OF THE COVENANT OF GOOD FAITH AND FAIR DEALING.
<b>Product Type:</b>	Real Estate Security Other: TENANT IN COMMON INTEREST
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	NO SPECIFIED AMOUNT ALLEGED
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	14-02159



Filing date of arbitration/CFTC reparation or civil litigation: 07/08/2014

Customer Complaint Information

Date Complaint Received: 11/17/2014

Complaint Pending? No

Status: Settled

Status Date: 03/23/2016

Settlement Amount: \$77,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FSC SECURITIES

Allegations: VIOLATION OF STANDARDS OF REASONABLE BASIS SUITABILITY; JUST AND EQUITABLE PRINCIPALS OF TRADE; FRAUD; MISLEADING STATEMENTS; MISLEADING OMISSIONS OF MATERIAL INFORMATION; BREACH OF FIDUCIARY DUTY; NEGLIENT MISREPRESENTATION; NEGLIGENCE; BREACH OF CONTRACT; BREACH OF THE COVENANT OF GOOD FAITH AND FAIR DEALING.

Product Type: Real Estate Security Other: TENANT IN COMMON INTEREST

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIED AMOUNT ALLEGED

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-02159

Filing date of arbitration/CFTC reparation or civil litigation: 07/08/2014

Customer Complaint Information

Date Complaint Received: 11/17/2014

Complaint Pending? No

Status: Settled



**Status Date:** 03/23/2016

**Settlement Amount:** \$77,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I WAS NOT NAMED AS A RESPONDENT ON THIS CLAIM, ONLY THE BROKER DEALER WAS. I ALSO WAS NOT ASKED TO NOR DID I CONTRIBUTE TO THE FINANCIAL SETTLEMENT. LASTLY, I STILL MAINTAIN A GOOD RELATIONSHIP WITH THE CLIENT(S) INVOLVED WITH THIS CLAIM.

**Disclosure 2 of 2**

**Reporting Source:** Firm

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

**Allegations:** CLAIMANT ALLEGES THAT A TENANT -IN -COMMON INTREST THAT HE PURCHASED WERE UNSITABLE AND THAT THE REPRESENTATIVE MADE MISREORESENTATIONS ABOUT THE SECURITIES.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,600,000.00

**Alleged Damages Amount Explanation (if amount not exact):** COMPLAINT DOES NOT SPECIFYI DAMAGES.

**Is this an oral complaint?** No

**Is this a written complaint?** No

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

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 14-02153

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/09/2014

**Customer Complaint Information**

**Date Complaint Received:** 07/24/2014

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 03/23/2016

**Settlement Amount:** \$178,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual



<b>Employing firm when activities occurred which led to the complaint:</b>	FSC
<b>Allegations:</b>	CLAIMANT ALLEGES THAT A TENANT -IN -COMMON INTREST THAT HE PURCHASED WERE UNSITABLE AND THAT THE REPRESENTATIVE MADE MISREORESENTATIONS ABOUT THE SECURITIES.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$1,600,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	COMPLAINT DOES NOT SPECIFIY DAMAGES.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	14-02153
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/09/2014
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	07/24/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	03/23/2016
<b>Settlement Amount:</b>	\$178,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	I WAS NOT NAMED AS A RESPONDENT ON THIS CLAIM, ONLY THE BROKER DEALER WAS. I ALSO WAS NOT ASKED TO NOR DID I CONTRIBUTE TO THE FINANCIAL SETTLEMENT. LASTLY, I STILL MAINTAIN A GOOD RELATIONSHIP WITH THE CLIENT(S) INVOLVED WITH THIS CLAIM.



## End of Report

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