



IAPD Report

PETER DANIEL DOCHINEZ

CRD# 1062112

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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

PETER DANIEL DOCHINEZ (CRD# 1062112)

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 **03/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TRUSTMONT ADVISORY GROUP, INC.	CRD# 106015	03/30/2001
B	TRUSTMONT FINANCIAL GROUP, INC.	CRD# 18312	03/27/2019

QUALIFICATIONS

This representative is currently registered in **1** 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	TRUSTMONT FINANCIAL GROUP, INC.	18312	GREENSBURG, PA	01/26/2016 - 03/21/2017
B	TRUSTMONT FINANCIAL GROUP, INC.	18312	GREENSBURG, PA	09/16/1986 - 04/16/2014
B	EASTMAN BANKS & DOLAN, INC.	10828	GREENSBURG, PA	02/04/1985 - 09/17/1986

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

Employment 1 of 2

Firm Name: **TRUSTMONT FINANCIAL GROUP, INC.**
Main Address: SCENIC DRIVE PROFESSIONAL CENTER
200 BRUSH RUN ROAD, SUITE A
GREENSBURG, PA 15601
Firm ID#: 18312

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	03/27/2019
B	FINRA	General Securities Principal	Approved	03/27/2019
B	FINRA	General Securities Representative	Approved	03/27/2019
B	FINRA	Invest. Co and Variable Contracts	Approved	03/27/2019
B	FINRA	Investment Banking Representative	Approved	03/27/2019
B	FINRA	Municipal Securities Principal	Approved	03/27/2019
B	FINRA	Municipal Securities Representative	Approved	03/27/2019
B	FINRA	Operations Professional	Approved	03/27/2019
B	Pennsylvania	Agent	Approved	04/22/2019

Branch Office Locations

SCENIC DRIVE PROFESSIONAL CENTER
200 BRUSH RUN ROAD, SUITE A
GREENSBURG, PA 15601

Employment 2 of 2

Firm Name: **TRUSTMONT ADVISORY GROUP, INC.**



Qualifications

Main Address: SCENIC DRIVE PROFESSIONAL CENTER
200 BRUSH RUN ROAD, SUITE A
GREENSBURG, PA 15601

Firm ID#: 106015

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	03/30/2001

Branch Office Locations

TRUSTMONT ADVISORY GROUP, INC.
200 BRUSH RUN ROAD, STE A
GREENSBURG, PA 15601






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, 8 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	01/02/2023
	Financial and Operations Principal Examination (S27)	Series 27	01/02/2023

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	03/21/2017
	General Securities Representative Examination (S7)	Series 7	12/15/1984
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/13/1982



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/1982

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
B	01/26/2016 - 03/21/2017	TRUSTMONT FINANCIAL GROUP, INC.	CRD# 18312	GREENSBURG, PA
B	09/16/1986 - 04/16/2014	TRUSTMONT FINANCIAL GROUP, INC.	CRD# 18312	GREENSBURG, PA
B	02/04/1985 - 09/17/1986	EASTMAN BANKS & DOLAN, INC.	CRD# 10828	
B	11/30/1984 - 02/08/1985	MUTUAL SERVICE CORPORATION	CRD# 4806	
B	10/14/1982 - 01/23/1985	PRUCO SECURITIES CORPORATION	CRD# 5685	

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
12/1997 - Present	TRUSTMONT ADVISORY GROUP, INC.	REGISTERED ADVISOR	Y	GREENSBURG, PA, United States
06/1986 - Present	TRUSTMONT FINANCIAL GROUP, INC.	PRINCIPAL/ REGISTERED REPRESENTATIVE	Y	GREENSBURG, PA, 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.

INSURANCE AGENT ENGAGING IN THE SALE OF LIFE INSURANCE AND FIXED ANNUITIES. PROVEST INDEMNITY OFFICER/DIRECTOR-.7 HPM -HOLDING COMPANY FOR PERSONAL ASSETS. TRUSTMONT ADVISORY GROUP, INC. SEC REGISTERED INVESTMENT ADVISOR, CHAIRMAN.
 DBA PWR PLANNERS LLC. FOR SEPARATING JOINT BUSINESS DONE BY J. SINCLAIR AND P. DOCHINEZ (ACCOUNTING PURPOSES)60 HPM - DURING SECURITIES TRADING HOURS. PETER D. HOLDINGS LLC, HOLD MORTGAGE NOTES, AND OTHER PERSONAL ASSETS. APPROXIMATELY 5 HPM, NO COMPENSATION AS OF NOW. THE PULMONARY INSTITUTE AT REDSTONE LLC, DEVELOPMENT OF A 60 BED CRITICAL CARE FACILITY , OWNER/MANAGEING PARTNER APPROX 5 HPM.
 DCM REAL ESTATE, PROPERTY MANAGEMENT , PARTNER, 1 HPM
 Export Volunteer Fire Department- 5815 Washington Ave Export PA 07-2025- Assistant Treasurer- (Non investment) Deposit funds received, pay bills, report monthly the financial activities of the fire company- 2HPM



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	2

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/A
Date Initiated:	06/06/2011
Docket/Case Number:	2009016311801
Employing firm when activity occurred which led to the regulatory action:	TRUSTMONT FINANCIAL GROUP, INC.
Product Type:	No Product

Allegations: FINRA RULE 2010, NASD RULES 2110, 3011(C), 3012, MSRB RULE G-27: A MEMBER FIRM, ACTING THROUGH DOCHINEZ, THE FIRM'S PRESIDENT, CHIEF EXECUTIVE OFFICER (CEO) AND PRINCIPAL, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE AN ADEQUATE SYSTEM OF SUPERVISORY CONTROL POLICIES AND PROCEDURES THAT (A) TESTED AND VERIFIED THAT ITS SUPERVISORY PROCEDURES WERE REASONABLY DESIGNED WITH RESPECT TO THE ACTIVITIES OF THE FIRM AND ITS REGISTERED REPRESENTATIVES AND ASSOCIATED PERSONS TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND (B) CREATED ADDITIONAL OR AMENDED SUPERVISORY PROCEDURES WHERE THE NEED WAS IDENTIFIED BY SUCH TESTING AND VERIFICATION. SPECIFICALLY, THE FIRM'S SUPERVISORY CONTROL POLICIES AND PROCEDURES FAILED TO ADDRESS THESE REQUIREMENTS: DESIGNATING A PRINCIPAL RESPONSIBLE FOR THE FIRM'S SUPERVISORY CONTROL POLICIES AND PROCEDURES; TESTING AND VERIFICATION TO ENSURE REASONABLY-DESIGNED SUPERVISORY PROCEDURES;



UPDATING THE FIRM'S WRITTEN SUPERVISORY PROCEDURES TO ADDRESS DEFICIENCIES NOTED DURING TESTING; DESIGNATING A PRINCIPAL RESPONSIBLE FOR THE ANNUAL REPORT TO SENIOR MANAGEMENT ON THE FIRM'S SYSTEM OF SUPERVISORY CONTROLS PROCEDURES, SUMMARY OF TEST RESULTS, SIGNIFICANT IDENTIFIED EXCEPTIONS, AND ANY ADDITIONAL OR AMENDED PROCEDURES; IDENTIFYING PRODUCING MANAGERS AND ASSIGNING QUALIFIED PRINCIPALS TO SUPERVISE SUCH MANAGERS; USING THE "LIMITED SIZE AND RESOURCES" EXCEPTION FOR PRODUCING MANAGERS' SUPERVISION, INCLUDING DOCUMENTING THE FACTORS RELIED ON IN DETERMINING THAT THE EXCEPTION IS NECESSARY; ELECTRONICALLY NOTIFYING FINRA OF ITS RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION; REVIEWING AND MONITORING ALL TRANSMITTALS OF CUSTOMER FUNDS AND SECURITIES; REVIEWING, MONITORING AND VALIDATING CUSTOMER CHANGES OF ADDRESS AND CUSTOMER CHANGES OF INVESTMENT OBJECTIVES; AND PROVIDING HEIGHTENED SUPERVISION OVER THE ACTIVITIES OF EACH PRODUCING MANAGER. IN ADDITION, THE FIRM, ACTING THROUGH DOCHINEZ, FAILED TO CONDUCT INDEPENDENT TESTS OF THE FIRM'S ANTI-MONEY LAUNDERING COMPLIANCE PROGRAM (AMLCP) IN 2007 AND 2008, AS REQUIRED BY NASD RULE 3011.

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: 06/06/2011

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

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? No

(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?



(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

(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?

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 06/21/2011

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, DOCHINEZ CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS CENSURED AND FINED \$10,000, JOINTLY AND SEVERALLY (\$5,000 OF WHICH PERTAINS TO THE VIOLATIONS OF MSRB RULE G-27).



Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/06/2011
Docket/Case Number:	2009016311801
Employing firm when activity occurred which led to the regulatory action:	TRUSTMONT FINANCIAL GROUP, INC.
Product Type:	No Product
Allegations:	<p>FINRA RULE 2010, NASD RULES 2110, 3011(C), 3012, MSRB RULE G-27: A MEMBER FIRM, ACTING THROUGH DOCHINEZ, THE FIRM'S PRESIDENT, CHIEF EXECUTIVE OFFICER (CEO) AND PRINCIPAL, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE AN ADEQUATE SYSTEM OF SUPERVISORY CONTROL POLICIES AND PROCEDURES THAT (A) TESTED AND VERIFIED THAT ITS SUPERVISORY PROCEDURES WERE REASONABLY DESIGNED WITH RESPECT TO THE ACTIVITIES OF THE FIRM AND ITS REGISTERED REPRESENTATIVES AND ASSOCIATED PERSONS TO ACHIEVE COMPLIANCE WITH APPLICABLE SECURITIES LAWS AND REGULATIONS AND (B) CREATED ADDITIONAL OR AMENDED SUPERVISORY PROCEDURES WHERE THE NEED WAS IDENTIFIED BY SUCH TESTING AND VERIFICATION. SPECIFICALLY, THE FIRM'S SUPERVISORY CONTROL POLICIES AND PROCEDURES FAILED TO ADDRESS THESE REQUIREMENTS: DESIGNATING A PRINCIPAL RESPONSIBLE FOR THE FIRM'S SUPERVISORY CONTROL POLICIES AND PROCEDURES; TESTING AND VERIFICATION TO ENSURE REASONABLY-DESIGNED SUPERVISORY PROCEDURES; UPDATING THE FIRM'S WRITTEN SUPERVISORY PROCEDURES TO ADDRESS DEFICIENCIES NOTED DURING TESTING; DESIGNATING A PRINCIPAL RESPONSIBLE FOR THE ANNUAL REPORT TO SENIOR MANAGEMENT ON THE FIRM'S SYSTEM OF SUPERVISORY CONTROLS PROCEDURES, SUMMARY OF TEST RESULTS, SIGNIFICANT IDENTIFIED EXCEPTIONS, AND ANY ADDITIONAL OR AMENDED PROCEDURES; IDENTIFYING PRODUCING MANAGERS AND ASSIGNING QUALIFIED PRINCIPALS TO SUPERVISE SUCH MANAGERS; USING THE "LIMITED SIZE AND RESOURCES" EXCEPTION FOR PRODUCING MANAGERS' SUPERVISION, INCLUDING DOCUMENTING THE FACTORS RELIED ON IN DETERMINING THAT THE EXCEPTION IS NECESSARY; ELECTRONICALLY NOTIFYING FINRA OF ITS RELIANCE ON THE "LIMITED SIZE AND RESOURCES" EXCEPTION; REVIEWING AND MONITORING ALL TRANSMITTALS OF CUSTOMER FUNDS AND SECURITIES; REVIEWING, MONITORING AND VALIDATING CUSTOMER CHANGES OF ADDRESS AND CUSTOMER CHANGES OF INVESTMENT OBJECTIVES; AND PROVIDING HEIGHTENED SUPERVISION OVER THE ACTIVITIES OF EACH PRODUCING MANAGER. IN ADDITION, THE FIRM, ACTING THROUGH DOCHINEZ, FAILED TO CONDUCT INDEPENDENT TESTS OF THE FIRM'S ANTI-MONEY LAUNDERING COMPLIANCE PROGRAM (AMLCP) IN 2007 AND 2008, AS REQUIRED BY NASD RULE 3011.</p>
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:	06/06/2011
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/21/2011
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WE RESERVE THE RIGHT TO COMMENT ON THIS MATTER AT A LATER DATE.



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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Trustmont Financial Group, Inc.
Allegations:	Claim for failure to supervise a registered representative, deficient policies and procedures.
Product Type:	Promissory Note
Alleged Damages:	\$750,000.00
Alleged Damages Amount Explanation (if amount not exact):	This is claimants' initial demand.

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	12/01/2017
Settlement Amount:	\$375,000.00
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-00127
Date Notice/Process Served:	02/22/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/01/2017
Monetary Compensation Amount:	\$375,000.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: Trustmont Financial Group, Inc.

Allegations: Claim for failure to supervise a registered representative, deficient policies and procedures.

Product Type: Promissory Note

Alleged Damages: \$750,000.00

Alleged Damages Amount Explanation (if amount not exact): This is claimants' initial demand.

Arbitration Information

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

Docket/Case #: 17-00127

Date Notice/Process Served: 06/02/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/2017

Monetary Compensation Amount: \$375,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: TRUSTMARK FINANCIAL GROUP, INC.

Allegations: ALLEGATIONS ARE: NEGLIGENCE, UNSUITABILITY, BREACH OF CONTRACT, VIOLATIONS OF THE PA UNFAIR TRADE PRACTICES AND CONSUMER LAW, VIOLATIONS OF THE PA SECURITIES OF SECURITY ACT AND BREACH OF FIDUCIARY DUTY. AFTER MANAGING MR. [CUSTOMER] BUSINESS RETIREMENT PLAN FOR APPROX. 10 YEARS, I WAS APPROACHED IN LATE 1999 TO OVERSEE THE [CUSTOMERS] OTHER INVESTMENTS. WE HAD NUMEROUS CONVERSATIONS REGARDING EXISTING HOLDINGS AND DEVELOPED AN INVESTMENT STRATEGY THAT WAS ACCEPTABLE TO THE [CUSTOMERS]'. IT SHOULD BE NOTED THAT THE [CUSTOMERS]' AT THAT TIME OWNED SEVERAL VERY AGGRESSIVE INVESTMENTS, AND THAT EVEN DURING THE EARLY STAGES OF OUR RELATIONSHIP I WAS INSTRUCTED BY MRS. [OTHER CUSTOMER NAMES] TO PURCHASE AS SPECULATIVE PENNY STOCK IN THEIR PORTFOLIO. DURING THE FIRST SEVERAL MONTHS OF 2000 THE STRATEGIES WERE IMPLEMENTED WITH THE [CUSTOMERS] BEING INFORMED AND CONSENTING TO ALL TRANSACTIONS. RECOMMENDATIONS WERE MADE TO REDUCE EXISTING AGGRESSIVE POSITIONS AND DERSIFY HOLDINGS. THE ONLY POSITION I WAS PERMITTED TO REDUCE WAS THE WASHINGTON MUTUAL ACCOUNT WHICH WAS ONE ON THEIR MORE STABLE INVESTED



POSITIONS, BUT DURING THE TECHNOLOGY BOOM THE PERFORMANCE WAS SUBSTANTIALLY LESS THAN THAT OF OTHER HOLDINGS. IN MID 2002 AFTER A SUBSTANTIAL MARKET DECLINE MRS. [OTHER CUSTOMER NAMES] BEGAN EXPRESSING CONCERN. IN AUGUST 2002 I WAS INSTRUCTED TO REDUCE CERTAIN MORE VOLATILE POSITIONS AND REINVEST IN MORE MODERATELY AGGRESSIVE POSITIONS. IN JANUARY 2003 PANIC SET IN AND I WAS INSTRUCTED WHAT POSITIONS TO SELL AND WHERE TO PLACE THE PROCEEDS FROM THOSE POSITIONS. ALTHOUGH CONVERSATIONS OCCURED AT LEAST EVERY 90 DAYS DURING THE ENTIRE TERM OF OUR BUSINESS REALTIONSHIP I WAS ACCUSED OF THE AFFORMENTIONED ALLEGATIONS.

Product Type: Mutual Fund(s)
Other Product Type(s): ASSET MANAGEMENT AND ANNUITY
Alleged Damages: \$76,372.00

Customer Complaint Information

Date Complaint Received: 01/07/2004
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 01/07/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD,DOCKET/CASE NUMBER 04-00069

Date Notice/Process Served: 01/07/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/14/2005

Monetary Compensation Amount: \$27,000.00

Individual Contribution Amount: \$27,000.00

Broker Statement

03-14-2005 A SETTLEMENT AGREEMENT WAS SIGNED BY BOTH PARTIES. THE SETTLEMENT PROVIDED FOR PAYMENT OF \$27,000.00 (15,000.00 UP FRONT FOLLOWED BY 1000.00 A MONTH FOR A YEAR). THIS SETTLEMENT WAS ARRIVED AT AS A BUSINESS DECISION SINCE THE LEGAL FEES WERE GOING TO BE IN EXCESS OF \$45,000.00. THE CLIENT SIGNED THE AGREEMENT AS A COMPROMISE OF DISPUTED CLAIMS BY AND BETWEEN THE PARTIES. IT IS FURTHER UNDERSTOOD AND AGREED THAT NEITHER THIS AGREEMENT NOR ANY OF ITS TERMS SHALL BE CONSTRUED AS AN ADMISSION OF LIABILITY, FAULT OR WRONGDOING OF ANY NATURE WHATSOEVER IN THAT ANY AND ALL ALLEGATIONS OF LIABILITY, FAULT OR WRONGDOING HAVE BEEN AND ARE EXPRESSLY DENIED. RESPONDENTS HAVE ENTERED INTO THIS AGREEMENT SOLELY TO AVOID COSTS, EXPENSES AND WASTED BUSINESS RESOURCES ASSOCIATED WITH THESE PROCEEDINGS. WITHOUT LIMITATION, IT IS EXPRESSLY AGREED



THAT THIS AGREEMENT IS THE RESULT OF A COMPROMISE WITHIN THE MEANING OF RULE 408 OF THE FEDERAL RULES OF EVIDENCE AND ALL AND ANY SIMILAR FEDERAL AND STATE STATUTES OR RULES BARRING THE ADMISSION INTO EVIDENCE OF COMPROMISES OR SETTLEMENTS.



End of Report

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