



IAPD Report

FRANK TIMOTHY DUNN JR

CRD# 1075960

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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

FRANK TIMOTHY DUNN JR (CRD# 1075960)

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 **11/13/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	10/14/2010
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	05/25/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	STEVEN L. FALK & ASSOCIATES INC.	14297	LAS VEGAS, NV	05/26/2010 - 10/12/2010
B	PRIVATE ASSET GROUP, INC.	142541	THE WOODLANDS, TX	12/11/2008 - 04/27/2010
B	EPLANNING SECURITIES, INC.	46000	LAKE OSWEGO, OR	04/02/2007 - 12/11/2008

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

Employment 1 of 2

Firm Name: **CONCORDE ASSET MANAGEMENT, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 140367

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	05/25/2018
IA Colorado	Investment Adviser Representative	Approved	05/13/2019
IA Idaho	Investment Adviser Representative	Approved	11/21/2023
IA Oregon	Investment Adviser Representative	Approved	05/29/2018
IA Texas	Investment Adviser Representative	Restricted Approval	05/25/2018
IA Washington	Investment Adviser Representative	Approved	11/20/2023

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC
The Woodlands, TX

Employment 2 of 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 151604

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/14/2010



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	10/14/2010
B Colorado	Agent	Approved	06/23/2011
B Florida	Agent	Approved	05/21/2021
B Idaho	Agent	Approved	01/11/2011
B Montana	Agent	Approved	01/20/2011
B Nevada	Agent	Approved	11/18/2010
B New Jersey	Agent	Approved	11/30/2010
B New York	Agent	Approved	10/14/2010
B Oregon	Agent	Approved	11/17/2010
B Texas	Agent	Approved	11/09/2010
B Washington	Agent	Approved	11/09/2010

Branch Office Locations

The Woodlands, TX




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	11/23/1983

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/26/2003

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/24/2018
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/2003

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	05/26/2010 - 10/12/2010	STEVEN L. FALK & ASSOCIATES INC.	CRD# 14297	LAS VEGAS, NV
B	12/11/2008 - 04/27/2010	PRIVATE ASSET GROUP, INC.	CRD# 142541	THE WOODLANDS, TX
B	04/02/2007 - 12/11/2008	EPLANNING SECURITIES, INC.	CRD# 46000	LAKE OSWEGO, OR
B	08/27/2003 - 04/03/2007	WAVELAND CAPITAL PARTNERS LLC	CRD# 40054	HILLSBORO, OR
B	03/31/1993 - 04/19/1994	AMERICAN INTERSTATE FINANCIAL CORPORATION	CRD# 10552	PORTLAND, OR
B	01/19/1983 - 04/01/1992	DUNN SECURITIES CORPORATION	CRD# 10858	

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
05/2018 - Present	Concorde Asset Management, LLC	Investment Advisor Representative	Y	Ann Arbor, MI, United States
10/2010 - Present	CONCORDE INVESTMENT SERVICES	REGISTERED REPRESENTATIVE	Y	Ann Arbor, MI, United States
12/2003 - Present	CAPSTONE FINANCIAL CONSULTANTS	MANAGER	Y	THE WOODLANDS, TX, 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) Capstone Financial Consultants, Investment related, DBA for securities related activities, The Woodlands, TX. Owner/Registered Rep. Full time during trading hours.
- 2) FRANK DUNN, CPA. PROVIDING CPA SERVICES INCLUDING TAX PREPARATION. LOCATED IN THE THE WOODLANDS, TX. NON-INVESTMENT RELATED. APPROX 1-5 HOURS/MONTH DURING BUSINESS HOURS, 1-5 HOURS/MONTH DURING NON-BUSINESS HOURS. STARTED DEC 2009.
- 3) Concorde Asset Management, Investment related, The Woodlands, TX., Investment Advisor Representative, Investment Advisory Sales and Service. 1-5 hours/week during trading hours.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- 4) Capstone Financial Consultants LLC Investment Adviser, The Woodlands, TX. Investment Related. Owner, investment advisory services. 6-10 hrs/mo outside business hours, 1-5 hrs/mo during business hours.
- 5) Mary's Call LLC. Non-investment related. The Woodlands, TX. Disseminate religious information, member. 1-5 hours/month during business hours, 1-5 hours/month during non-business hours.



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	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD NKA FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/14/1986
Docket/Case Number:	SEA-377
Employing firm when activity occurred which led to the regulatory action:	DUNN SECURITIES CORPORATION
Product Type:	No Product
Allegations:	ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE: MEMBER FIRM, ACTING THROUGH RESPONDENT FRANK T. DUNN, JR., FAILED TO: MAINTAIN A CURRENT GENERAL LEDGER AND PREPARED TRIAL BALANCES AND NET CAPITAL COMPUTATIONS ON A QUARTERLY BASIS RATHER THAN A MONTHLY BASIS; MAINTAIN MINIMUM REQUIRED NET CAPITAL IN CONTRAVENTION OF SEC RULE 15C3-1; SUBMIT FOCUS IIA REPORTS WITHIN 17 BUSINESS DAYS AFTER THE END OF THE CALENDAR QUARTER; AND SUBMITTED AN INACCURATE ASSESSMENT REPORT FOR THE PERIOD 1984.
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:	07/14/1986
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: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/18/1986

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, DUNN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$500.00.

Reporting Source: Individual

Regulatory Action Initiated By: NASD NKA FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 07/14/1986

Docket/Case Number: SEA-377

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

Product Type: No Product

Allegations: ARTICLE III, SECTIONS 1 AND 21 OF THE RULES OF FAIR PRACTICE: MEMBER FIRM, ACTING THROUGH MYSELF, FRANK T. DUNN, JR., FAILED TO: MAINTAIN A CURRENT GENERAL LEDGER AND PREPARED TRIAL BALANCES AND NET CAPITAL COMPUTATIONS ON A QUARTERLY BASIS



RATHER THAN A MONTHLY BASIS; MAINTAIN MINIMUM REQUIRED NET CAPITAL IN CONTRAVENTION OF SEC RULE 15C3-1; SUBMIT FOCUS IIA REPORTS WITHIN 17 BUSINESS DAYS AFTER THE END OF THE CALENDAR QUARTER; AND SUBMITTED AN INACCURATE ASSESSMENT REPORT FOR THE PERIOD 1984.

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: 07/14/1986

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: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 08/18/1986

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: OREGON

Sanction(s) Sought: Reprimand

Other Sanction(s) Sought: ORDER CONDITIONING LICENSE.

Date Initiated: 12/05/2007

Docket/Case Number: S-07-0002

Employing firm when activity occurred which led to the regulatory action: NONE

Product Type: No Product

Other Product Type(s):

Allegations: IN 1997 DUNN, WORKING OUTSIDE OF THE INDUSTRY, BORROWED FUNDS



FROM AN LLC HE WAS MANAGING WITHOUT EXPRESS CONSENT OF MEMBERS OR PROPER MEMORIALIZATION OF LOAN TERMS. FUNDS WERE RE-PAID PRIOR TO ANY GOVERNMENT INVESTIGATION.

Current Status: Final

Resolution: Consent

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: 12/05/2007

Sanctions Ordered: Monetary/Fine \$7,500.00

Other Sanctions Ordered: HEIGHTENED SUPERVISION; PROHIBITION ON ENGAGING IN MOST TYPES OF OUSTIDE BUSINESS ACTIVITY. BROKER-DEALER REQUIRED TO CONDUCT BOOKS AND RECORDS EXAMINATION EVERY SIX MONTHS; DUNN IS PROHIBITED FROM FORMING, MANAGING, OR SOLICITING FUNDS FOR CERTAIN TYPES OF ENUMERATED ENTITIES.

Sanction Details: HEIGHTENED SUPERVISION FOR 5-YEAR PERIOD; PROHIBITION ON ENGAGING IN MOST TYPES OF OUSTIDE BUSINESS ACTIVITY. BROKER-DEALER REQUIRED TO CONDUCT BOOKS AND RECORDS EXAMINATION EVERY SIX MONTHS; DUNN IS PROHIBITED FROM FORMING, MANAGING, OR SOLICITING FUNDS FOR CERTAIN TYPES OF ENUMERATED ENTITIES.

Regulator Statement IN 1997 DUNN, WORKING OUTSIDE OF THE INDUSTRY, BORROWED FUNDS FROM AN LLC HE WAS MANAGING WITHOUT EXPRESS CONSENT OF MEMBERS OR PROPER MEMORIALIZATION OF LOAN TERMS. FUNDS WERE RE-PAID PRIOR TO ANY GOVERNMENT INVESTIGATION.

Reporting Source: Individual

Regulatory Action Initiated By: OREGON DIVISION OF FINANCE AND CORPORATE SECURITIES

Sanction(s) Sought: Other: ADMINISTRATIVE EXPENSE REIMBURSEMENT

Date Initiated: 07/15/2005

Docket/Case Number: S-07-0002

Employing firm when activity occurred which led to the regulatory action: NONE

Product Type: Other: LLC LOANS

Allegations: DURING 1997, WHEN DUNN WAS NOT LICENSED WITH ANY SECURITIES BROKER-DEALER BUT WAS MANAGING REAL ESTATE PROJECTS, DUNN BORROWED MONEY FROM AN LLC OF WHICH HE WAS THE MANAGING MEMBER. THERE WAS NO PROMISSORY NOTE FOR THE LOAN, AND THE LLC AGREEMENT DID NOT SPECIFICALLY AUTHORIZE THE LOAN. ALTHOUGH DUNN REPAID THE LOAN IN FULL, THE OREGON REGULATOR FOUND THE LOAN WAS A VIOLATION OF ORS 59.205 (2).

Current Status: Final

Resolution: Consent



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:

11/20/2007

Sanctions Ordered:

Other: SEE BELOW

Broker Statement

BORROWED MONIES AS A MANAGING MEMBER OF AN LLC. PAID BACK MONIES AND LOANED THE LLC AN ADDITIONAL \$250K WHICH WAS NEVER RECOUPED. OPERATING AGREEMENT DID NOT PROHIBIT BORROWING OF MONIES. THERE WERE NO PROMISSORY NOTES SIGNED FOR BORROWING, RE-PAYING, OR LOANING OF MONIES. HOWEVER, ALL ACCOUNTING AND TAX RECORDS DISCLOSED ALL FINANCIAL DEALINGS. STATE DID NOT LIKE THE FACT THAT THERE WERE NO PROMISSORY NOTES ASSOCIATED WITH THESE TRANSACTIONS.

HEIGHTENED SUPERVISION CONCLUDED ON 11/20/2012.



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:	Individual
Employing firm when activities occurred which led to the complaint:	Waveland Capital Partners, LLC
Allegations:	Allegations include misrepresentation, breach of fiduciary duty and negligence in relation to TIC investment purchased in 2007.
Product Type:	Other: Tenant in Common (TIC) investment
Alleged Damages:	\$452,388.15
Alleged Damages Amount Explanation (if amount not exact):	The total compensatory damages are \$452,388.15, however the part attributed to the representative is \$102,249.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-00611
Filing date of arbitration/CFTC reparation or civil litigation:	02/29/2016

Customer Complaint Information

Date Complaint Received:	03/31/2016
Complaint Pending?	No
Status:	Settled
Status Date:	12/21/2016
Settlement Amount:	\$22,500.00
Individual Contribution Amount:	\$22,500.00
Broker Statement	This claim is without merit and should be dismissed.

Disclosure 2 of 2

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint:	EPLANNING SECURITIES, INC.
Allegations:	CLIENT ALLEGES MISREPRESENTATION, NEGLIGENCE AND BREACH OF FIDUCIARY DUTY IN CONNECTION WITH TIC INVESTMENTS PURCHASED IN 2007.
Product Type:	Real Estate Security
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	RESCISSION AND/OR DAMAGES IN AN AMOUNT EXCEEDING \$1,000,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-3742
Date Notice/Process Served:	12/10/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/18/2013
Monetary Compensation Amount:	\$67,000.00
Individual Contribution Amount:	\$67,000.00
Broker Statement	"THIS CLAIM WAS FALSE AND WITHOUT MERIT; AND IT SHOULD NEVER HAVE BEEN FILED. NEVERTHELESS, I SETTLED THE MATTER WITH A PAYMENT OF \$67,000 IN ORDER TO AVOID LEGAL FEES AND THE LOSS OF TIME PROVIDING SERVICES TO MY CLIENTS."



End of Report

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