IAPD Report

SAMUEL KILLGORE ROSS

CRD# 1111825

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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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

SAMUEL KILLGORE ROSS (CRD# 1111825)

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 **10/30/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE O.N. EQUITY SALES COMPANY	CRD# 2936	06/08/2007
IA	ON INVESTMENT MANAGEMENT CO	CRD# 105662	06/08/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	SOUTHEAST INVESTMENTS, N.C., INC.	43035	BRISTOL, TN	04/27/2005 - 06/07/2007
B	WILLIAM E. HOPKINS & ASSOCIATES, INC.	46947	JACKSON, TN	03/17/2005 - 05/06/2005
IA	METLIFE SECURITIES INC.	14251	KINGSPORT, TN	03/15/2004 - 02/24/2005

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

Employment 1 of 2

Firm Name: **THE O.N. EQUITY SALES COMPANY**

Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242

Firm ID#: 2936

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/08/2007
B	FINRA	General Securities Principal	Approved	08/15/2007
B	Alabama	Agent	Approved	05/23/2014
B	Colorado	Agent	Approved	10/04/2007
B	Florida	Agent	Approved	08/22/2007
B	Georgia	Agent	Approved	07/28/2011
B	Illinois	Agent	Approved	08/22/2007
B	Kentucky	Agent	Approved	11/13/2007
B	Maryland	Agent	Approved	03/17/2021
B	Missouri	Agent	Approved	08/07/2012
B	New Mexico	Agent	Approved	08/29/2011
B	North Carolina	Agent	Approved	10/22/2013
B	Ohio	Agent	Approved	06/16/2023

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	06/05/2012
B	Pennsylvania	Agent	Approved	03/09/2011
B	South Carolina	Agent	Approved	03/25/2015
B	Tennessee	Agent	Approved	06/08/2007
B	Texas	Agent	Approved	02/02/2011
B	Virginia	Agent	Approved	06/08/2007
B	Washington	Agent	Approved	02/25/2009
B	West Virginia	Agent	Approved	08/25/2016
B	Wisconsin	Agent	Approved	02/22/2011

Branch Office Locations

1810 Highway 394
Blountville, TN 37617

Employment 2 of 2

Firm Name: **ON INVESTMENT MANAGEMENT CO**

Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242

Firm ID#: 105662

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	09/25/2017
IA	Florida	Investment Adviser Representative	Approved	12/11/2019
IA	Georgia	Investment Adviser Representative	Approved	06/03/2019
IA	Kentucky	Investment Adviser Representative	Approved	09/11/2017

Qualifications

	Regulator	Registration	Status	Date
IA	Maryland	Investment Adviser Representative	Approved	08/31/2021
IA	Missouri	Investment Adviser Representative	Approved	01/24/2017
IA	New Mexico	Investment Adviser Representative	Approved	07/08/2021
IA	North Carolina	Investment Adviser Representative	Approved	01/29/2018
IA	South Carolina	Investment Adviser Representative	Approved	10/29/2018
IA	Tennessee	Investment Adviser Representative	Approved	06/08/2007
IA	Texas	Investment Adviser Representative	Restricted Approval	01/17/2012
IA	Virginia	Investment Adviser Representative	Approved	06/11/2007
IA	Wisconsin	Investment Adviser Representative	Approved	05/25/2018

Branch Office Locations

ON INVESTMENT MANAGEMENT CO
1810 Highway 394
Blountville, TN 37617

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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/14/2007
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/20/1998

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/17/1986
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/05/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/01/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	04/27/2005 - 06/07/2007	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	BRISTOL, TN
B	03/17/2005 - 05/06/2005	WILLIAM E. HOPKINS & ASSOCIATES, INC.	CRD# 46947	JACKSON, TN
IA	03/15/2004 - 02/24/2005	METLIFE SECURITIES INC.	CRD# 14251	KINGSPORT, TN
B	04/06/1983 - 02/24/2005	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	04/06/1983 - 02/24/2005	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY

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
06/2007 - Present	THE O.N. EQUITY SALES COMPANY	REGISTERED REPRESENTATIVE	Y	CINCINNATI, OH, United States
03/2005 - Present	OHIO NATIONAL FINANCIAL SERVICES	PGA	N	CINCINNATI, OH, 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) SECURE MONEY MASTERS; NOT INVESTMENT RELATED; 1810 Highway 394, Blountville, TN 37617; SELLING INSURANCE; VICE PRESIDENT; START DATE: 02/20/2005; 200 HOURS PER MONTH(200 HOURS DURING TRADING) SELLING LIFE, HEALTH, DISABILITY, LONG TERM CARE, FIXED AND INDEXED ANNUITIES. 2) SAMUEL ROSS; NOT INVESTMENT RELATED; 1810 Highway 394, Blountville, TN 37617; TAX PREPARATION; SOLE PROPRIETOR; START DATE: 04/01/1982; 30 HOURS PER MONTH(5 HOURS DURING TRADING) 3) SAMUEL ROSS; NOT INVESTMENT RELATED;1810 Highway 394, Blountville TN 37617; NOTARY; START DATE: 07/30/2006; 3 HOURS PER MONTH(1 HOUR DURING TRADING) 4) TASC; NOT INVESTMENT RELATED; 2302 INTERNATIONAL LANE MADISON WI 53704; PROVIDER OF CAFETERIA PLANS & MEDICAL REIMBURSEMENT PLANS; AGENT; START DATE: 05/10/2011; 2 HOURS PER MONTH (2 HOURS DURING MARKET HOURS); REFERS BUSINESS CLIENTS SEEKING HEALTH SAVINGS PLANS AND MEDICAL REIMBURSEMENT PLANS TO PRODUCT PROVIDER.5) AMERIESTATE LEGAL PLAN; NOT INVESTMENT RELATED; 3525 HYLAND AVE SUITE 150 COSTA MESA CA 92626; PREPAID LEGAL & ESTATE PLANS; SALES REP; START DATE 11/30/2012; HOURS/MONTH 2; HOURS/TRADING 2; SALE OF PREPAID LEGAL & ESTATE PLANS; 6) MR LEASING LLC; INVESTMENT RELATED; 1058 HIDDEN VALLEY RD KINGSPORT TN 37663; PROPERTY LEASING; MANAGING MEMBER; START DATE 08/20/2013; HOURS/MONTH 2; HOURS/TRADING 0; OVERSEE 1 PROPERTY ON LEASE; .7) 1810 Partnership;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

not investment related; 1810 Hwy 394 Blountville TN 37617; leasing real estate; partner; 01/14/2022; 5 hours/month (0 during security hours); managing property and maintenance

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	1
Termination	1

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:	Individual
Employing firm when activities occurred which led to the complaint:	The O.N. Equity Sales Company
Allegations:	Customer alleges representative failed to properly complete death claim form resulting in forfeit of lifetime income option
Product Type:	Annuity-Variable
Alleged Damages:	$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/18/2020
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

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:	METLIFE SECURITIES, INC.
Termination Type:	Discharged
Termination Date:	02/18/2005
Allegations:	UNDISCLOSED OUTSIDE BUSINESS ACTIVITY
Product Type:	No Product
Other Product Types:	
Broker Statement	THEY ARE ALLEGING THAT I WAS AN EMPLOYEE OF SECURE MONEY MASTERS, INC. I WAS NOT AN EMPLOYEE AND RECEIVED NO COMPENSATION, NOR DID I HAVE ANY OWNERSHIP IN SECURE MONEY MASTERS.

End of Report

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