



IAPD Report

TERRY BURTON PRILLAMAN

CRD# 1157859

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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

TERRY BURTON PRILLAMAN (CRD# 1157859)

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 **03/24/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA NORTHSTAR INVESTMENT PARTNERS	CRD# 127432	04/17/2015
IA NORTHSTAR INVESTMENT PARTNERS	CRD# 340596	05/01/2026

QUALIFICATIONS

This representative is currently registered in **0** 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
IA GEORGIA ADVISORY GROUP LLC	306815	ALPHARETTA, GA	11/04/2024 - 02/18/2025
IA NORTHSTAR INVESTMENT PARTNERS	127432	ALPHARETTA, GA	06/18/2010 - 12/31/2014
B CAPE SECURITIES INC.	7072	DAWSONVILLE, GA	11/10/2008 - 12/31/2010

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	8



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

Employment 1 of 2

Firm Name: **NORTHSTAR INVESTMENT PARTNERS**
Main Address: 3255 NORTH POINT PKWY
STE 103
ALPHARETTA, GA 30005
Firm ID#: 340596

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	05/01/2026

Branch Office Locations

NORTHSTAR INVESTMENT PARTNERS
3255 NORTH POINT PKWY
STE 103
ALPHARETTA, GA 30005

Employment 2 of 2

Firm Name: **NORTHSTAR INVESTMENT PARTNERS**
Main Address: 3255 NORTH POINT PARKWAY
SUITE 103
ALPHARETTA, GA 30005
Firm ID#: 127432

Regulator	Registration	Status	Date
IA Georgia	Investment Adviser Representative	Approved	04/17/2015

Branch Office Locations

NORTHSTAR INVESTMENT PARTNERS
3255 NORTH POINT PARKWAY
SUITE 103
ALPHARETTA, GA 30005




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	03/19/1990

General Industry/Product Exams

Exam	Category	Date
 National Commodity Futures Examination (S3)	Series 3	12/16/1993
 Interest Rate Options Examination (S5)	Series 5	02/19/1985
 General Securities Representative Examination (S7)	Series 7	07/16/1983

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/18/1990
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/25/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	11/04/2024 - 02/18/2025	GEORGIA ADVISORY GROUP LLC	CRD# 306815	ALPHARETTA, GA
IA	06/18/2010 - 12/31/2014	NORTHSTAR INVESTMENT PARTNERS	CRD# 127432	ALPHARETTA, GA
B	11/10/2008 - 12/31/2010	CAPE SECURITIES INC.	CRD# 7072	DAWSONVILLE, GA
IA	12/10/2008 - 12/31/2009	NORTHSTAR INVESTMENT PARTNERS	CRD# 127432	CUMMING, GA
IA	07/24/2007 - 11/10/2008	VSR ADVISORY SERVICES	CRD# 14503	CUMMING, GA
B	07/18/2007 - 11/10/2008	VSR FINANCIAL SERVICES, INC.	CRD# 14503	CUMMING, GA
IA	09/14/2004 - 07/25/2007	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	CUMMING, GA
B	09/02/2004 - 07/25/2007	SECURITIES AMERICA, INC.	CRD# 10205	CUMMING, GA
IA	06/08/2004 - 09/15/2004	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	ATLANTA, GA
B	03/16/2004 - 09/15/2004	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	03/06/2002 - 03/16/2004	TRIAD ADVISORS, INC.	CRD# 25803	ATLANTA, GA
B	03/11/1992 - 03/11/2002	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	04/21/1993 - 04/27/1993	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	04/04/1990 - 02/27/1992	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL
B	06/13/1989 - 04/18/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	07/21/1983 - 04/18/1990	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	NEW YORK, NY
B	01/18/1988 - 06/22/1989	ALEX. BROWN & SONS INCORPORATED	CRD# 20	



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
09/2004 - Present	NORTHSTAR INVESTMENT PARTNERS	PRESIDENT - INSURANCE AGENCY	Y	CUMMING, GA, 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.

No information reported.



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	8

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 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	VSR FINANCIAL SERVICES, INC
Allegations:	ALLEGED UNSUITABLE INVESTMENT.
Product Type:	Promissory Note
Alleged Damages:	\$55,000.00
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/23/2011
Complaint Pending?	No
Status:	Settled
Status Date:	06/23/2011
Settlement Amount:	\$55,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 8



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES MISREPRESENTATION AND UNSUITABILITY.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01280

Filing date of arbitration/CFTC reparation or civil litigation: 03/31/2011

Customer Complaint Information

Date Complaint Received: 04/13/2011

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$23,209.70

Individual Contribution Amount: \$0.00

Firm Statement 10/12/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: VSR FINANCIAL SERVICES, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATIONS, AND BREACH OF ORAL CONTRACT.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes



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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-00168

Filing date of arbitration/CFTC reparation or civil litigation: 01/13/2011

Customer Complaint Information

Date Complaint Received: 01/31/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/18/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 11-00168

Date Notice/Process Served: 07/18/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/22/2012

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: VSR FINANCIAL SERVICES, INC & SECURITIES AMERICA, INC.

Allegations: ALLEGED MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, BREACH OF WRITTEN CONTRACT, BREACH OF ORAL CONTRACT, AND NEGLIGENCE. ACTIVITIES DATED 02/28/2008-01/13/2011.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Alleged Damages Amount Explanation (if amount not exact): PLUS PUNITIVE DAMAGES IN THE AMOUNT OF \$150,000.00.

**Arbitration Information**

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

Docket/Case #: 11-00168

Date Notice/Process Served: 04/14/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/22/2012

Monetary Compensation Amount: \$45,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY, AND MISREPRESENTATIONS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$425,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-00550

Filing date of arbitration/CFTC reparation or civil litigation: 02/07/2011

Customer Complaint Information

Date Complaint Received: 02/22/2011

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$197,282.48

Individual Contribution Amount: \$0.00

Firm Statement 10/12/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY



SECURITIES AMERICA, INC.

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: VSR FINANCIAL SERVICES, INC

Allegations: ALLEGES MISREPRESENTATION, FAILURE TO DISCLOSE FACTS AND UNSUITABILITY

Product Type: Promissory Note

Alleged Damages: \$200,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10/02194

Filing date of arbitration/CFTC reparation or civil litigation: 05/18/2010

Customer Complaint Information

Date Complaint Received: 05/24/2010

Complaint Pending? No

Status: Settled

Status Date: 02/14/2011

Settlement Amount: \$47,500.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: VSR FINANCIAL SERVICES INC

Allegations: TERRY PRILLAMAN WAS FOUND TO HAVE NO WRONG DOING, THE BROKER/DEALER WAS FOUND TO HAVE FAILED TO PERFORM ADEQUATE DUE DILIGENCE AND MISREPRESENTATION.

Product Type: Promissory Note

Alleged Damages: \$200,000.00

Is this an oral complaint? No

Is this a written complaint? Yes



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

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

Docket/Case #: 10-02194

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/18/2010

Customer Complaint Information

Date Complaint Received: 05/24/2010

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 06/15/2011

Settlement Amount: \$50,000.00

**Individual Contribution
Amount:** \$0.00

Arbitration Information

Disposition: Award to Customer

Disposition Date: 06/01/2011

Disclosure 6 of 8

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$350,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

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

Docket/Case #: 10-02187

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/21/2010



Complaint Pending? No
Status: Settled
Status Date: 09/29/2011
Settlement Amount: \$162,467.92
Individual Contribution Amount: \$0.00
Firm Statement 10/12/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA INC
Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS BY BROKER/DEALER. REPRESENTATIVE WAS FOUND TO HAVE DONE NO WRONG DOING.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$350,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 10-02187
Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/21/2010
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 06/15/2011
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00

Disclosure 7 of 8

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$218,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-02189

Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/20/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$69,629.11

Individual Contribution Amount: \$0.00

Firm Statement 10/12/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

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Reporting Source: Individual

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

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS BY BROKER/DEALER. THE REPRESENTATIVE COMMITTED NO WRONG DOING.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$218,000.00

Is this an oral complaint? No

Is this a written complaint? Yes



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

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

Docket/Case #: 10-02189

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/20/2010

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 06/15/2011

Settlement Amount: \$50,000.00

**Individual Contribution
Amount:** \$0.00

Disclosure 8 of 8

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$350,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

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

Docket/Case #: 10-02193

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/24/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011



Settlement Amount: \$162,467.92
Individual Contribution Amount: \$0.00
Firm Statement 10/12/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA INC
Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION AND OMISSION OF MATERIAL FACTS BY BROKER/DEALER REPRESENTATIVE WAS NOT CHARGED.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$350,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 10-02193
Filing date of arbitration/CFTC reparation or civil litigation: 05/04/2010

Customer Complaint Information

Date Complaint Received: 05/24/2010
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 06/15/2011
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00



End of Report

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