IAPD Report

MARK JOHN ZIPFEL

CRD# 1179677

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

MARK JOHN ZIPFEL (CRD# 1179677)

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 **11/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/04/2018
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	01/04/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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	J.J.B. HILLIARD, W.L. LYONS, LLC	453	Grandview Heights, OH	05/10/2005 - 01/19/2018
B	J.J.B. HILLIARD, W.L. LYONS, LLC	453	Grandview Heights, OH	04/27/2005 - 01/19/2018
IA	FIFTH THIRD SECURITIES, INC.	628	COLUMBUS, OH	02/15/2005 - 03/23/2005

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	13
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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/04/2018
B	FINRA	General Securities Sales Supervisor	Approved	01/04/2018
B	California	Agent	Approved	01/04/2018
B	Colorado	Agent	Approved	01/04/2018
B	Florida	Agent	Approved	01/05/2018
B	Georgia	Agent	Approved	01/04/2018
B	Idaho	Agent	Approved	01/09/2018
B	Illinois	Agent	Approved	01/10/2018
B	Indiana	Agent	Approved	01/04/2018
B	Kentucky	Agent	Approved	01/22/2018
B	Louisiana	Agent	Approved	01/29/2018
B	New York	Agent	Approved	01/04/2018
B	North Carolina	Agent	Approved	08/28/2023

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	01/04/2018
IA	Ohio	Investment Adviser Representative	Approved	01/04/2018

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
888 High St
Worthington, OH 43085

AMERIPRISE FINANCIAL SERVICES, LLC
Columbus, OH

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	10/31/1986

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	09/17/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/1983

PROFESSIONAL DESIGNATIONS

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

No information reported.

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
IA	05/10/2005 - 01/19/2018	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	Grandview Heights, OH
B	04/27/2005 - 01/19/2018	J.J.B. HILLIARD, W.L. LYONS, LLC	CRD# 453	Grandview Heights, OH
IA	02/15/2005 - 03/23/2005	FIFTH THIRD SECURITIES, INC.	CRD# 628	COLUMBUS, OH
B	09/23/1983 - 03/23/2005	FIFTH THIRD SECURITIES, INC.	CRD# 628	CINCINNATI, OH

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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Worthington, OH, United States
01/2018 - 03/2020	Ameriprise Financial Services Inc	REGISTERED REP	Y	Upper Arlington, OH, United States
04/2005 - 01/2018	J.J.B. HILLIARD, W.L. LYONS, INC.	FINANCIAL CONSULTANT	Y	COLUMBUS, 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.

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	13
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 13

Reporting Source: Firm

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

Allegations: CLIENT ALLEGES THAT REPRESENTATIVE INVESTED HIM IN VOLATILE STOCKS AROUND 1998.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $150,000.00

Customer Complaint Information

Date Complaint Received: 12/18/2008

Complaint Pending? No

Status: Denied

Status Date: 01/09/2009

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT REPRESENTATIVE INVESTED HIM IN VOLATILE STOCKS AROUND 1998.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $150,000.00

Customer Complaint Information

Date Complaint Received: 12/18/2008

Complaint Pending? No

Status: Denied

Status Date: 01/09/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 13

Reporting Source: Firm

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

Allegations: CLIENT ALLEGED THAT REGISTERED REPRESENTATIVE MISREPRESENTED AN UNSUITABLE CMO DURING A SOLICITATION, WHICH LED TO SUBSEQUENT PURCHASE IN 2004.

Product Type: Debt - Asset Backed

Alleged Damages: $23,611.50

Customer Complaint Information

Date Complaint Received: 07/26/2007

Complaint Pending? No

Status: Denied

Status Date: 05/09/2008

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

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

Allegations: CLIENT ALLEGED THAT REGISTERED REPRESENTATIVE MISREPRESENTED AN UNSUITABLE CMO DURING A SOLICITATION, WHICH LED TO SUBSEQUENT PURCHASE IN 2004.

Product Type: Debt - Asset Backed

Alleged Damages: $23,611.50

Customer Complaint Information

Date Complaint Received: 07/26/2007

Complaint Pending? No

Status: Denied

Status Date: 05/09/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 13

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGE THAT REGISTERED REPRESENTATIVE MARK ZIPFEL MISREPRESENTED THE RETURN ON A SECURITIES PRODUCT.

Product Type: Mutual Fund(s)

Alleged Damages: $110,000.00

Customer Complaint Information

Date Complaint Received: 06/28/2006

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/24/2006

Settlement Amount: $0.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

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

Allegations: CUSTOMERS ALLEGE THAT REGISTERED REPRESENTATIVE MARK ZIPFEL MISREPRESENTED THE RETURN ON A SECURITY.

Product Type: Mutual Fund(s)

Alleged Damages: $110,000.00

Customer Complaint Information

Date Complaint Received: 06/28/2006

Complaint Pending? No

Status:	Closed/No Action
Status Date:	07/24/2006
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Disclosure 4 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC.
Allegations:	CUSTOMER ALLEGED REGISTERED REPRESENTATIVE PROVIDED UNSUITABLE INVESTMENT RECOMMENDATIONS FROM 6/15/1988 THROUGH 7/14/2004.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	$19,465.00

Customer Complaint Information

Date Complaint Received:	06/15/2005
Complaint Pending?	No
Status:	Denied
Status Date:	07/18/2005
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC
Allegations:	CUSTOMER ALLEGES REGISTERED REPRESENTATIVE PROVIDED UNSUITABLE INVESTMENT RECOMMENDATIONS FROM 06/15/1988 THROUGH 07/14/2004.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Alleged Damages:	$19,465.00

Customer Complaint Information

Date Complaint Received:	09/06/2005
Complaint Pending?	No
Status:	Denied
Status Date:	09/06/2005
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Disclosure 5 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITES, INC.
Allegations:	CUSTOMER ALLEGES THAT THE REGISTERED REPRESENTATIVE GAVE HIM AN UNSUITABLE INVESTMENT RECOMMENDATION ON 1/28/2005.
Product Type:	Debt - Corporate
Alleged Damages:	$6,000.00

Customer Complaint Information

Date Complaint Received:	06/02/2005
Complaint Pending?	No
Status:	Settled
Status Date:	07/02/2007
Settlement Amount:	$15,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION, DOCKET/CASE NUMBER 06-01923
Date Notice/Process Served:	05/05/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/02/2007
Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIFTH THIRD SECURITIES, INC
Allegations:	CUSTOMER ALLEGES THAT THE REGISTERED REPRESENTATIVE GAVE HIM AN UNSUITABLE INVESTMENT ON 01/28/2005
Product Type:	Debt - Corporate
Alleged Damages:	$6,000.00

Customer Complaint Information

Date Complaint Received:	06/02/2005
Complaint Pending?	No

Status:	Settled
Status Date:	07/02/2007
Settlement Amount:	$15,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION, DOCKET/CASE NUMBER 06-01923
Date Notice/Process Served:	05/05/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/02/2007
Monetary Compensation Amount:	$15,000.00
Individual Contribution Amount:	$0.00

Disclosure 6 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CUSTOMERS ALLEGED $60,000.00 INVESTMENT LOSS AND $30,000.00 LOSS OF INTEREST BASED UPON NOT FULLY EXPLAINING THE "WORKINGS OR RISK OF BRUNNER LIMITED PARTNERSHIP".
Product Type:	
Alleged Damages:	$60,000.00

Customer Complaint Information

Date Complaint Received:	03/21/1997
Complaint Pending?	No
Status:	Settled
Status Date:	06/10/1997
Settlement Amount:	$10,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED FOR $10,000. I DID NOT CONTRIBUTE TO THE SETTLEMENT. Not Provided

Disclosure 7 of 13

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:

Allegations: MISREPRESENTATIONS, CLAIMING $60,000 IN DAMAGES

Product Type:

Alleged Damages: $60,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: A9300131

Date Notice/Process Served: 01/07/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/31/1994

Monetary Compensation Amount: $15,000.00

Individual Contribution Amount:

Broker Statement SETTLED FOR $15,000.00

Disclosure 8 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CLIENTS ALLEGED MISREPRESENTATION, CLAIMING $150,000 IN DAMAGES.

Product Type:

Alleged Damages: $150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	New York Stock Exchange; 1991-001621
Date Notice/Process Served:	11/01/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/1992
Monetary Compensation Amount:	$107,500.00
Individual Contribution Amount:	
Firm Statement	SETTLED FOR $107,500 Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENTS ALLEGED MISREPRESENTATION, CLAIMING $150,000.00 IN DAMAGES.
Product Type:	
Alleged Damages:	$150,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NEW YORK STOCK EXCHANGE; 1991-001621
Date Notice/Process Served:	11/01/1991
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/1992

Monetary Compensation Amount:	$107,500.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR $107,500.00

Disclosure 9 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OHIO COMPANY
Allegations:	CUSTOMER'S ATTORNEY CLAIMED BRUNNER LIMITED PARTNERSHIP INVESTMENT WAS UNSUITABLE.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	02/20/1992
Complaint Pending?	No
Status:	Settled
Status Date:	
Settlement Amount:	$75,000.00
Individual Contribution Amount:	
Broker Statement	THE OHIO COMPANY PAID $75,000.00 IN EXCHANGE FOR THE SECURITY. Not Provided

Disclosure 10 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THE OHIO COMPANY
Allegations:	THE SUIT CLAIMED THAT ZIPFEL AND THE OHIO COMPANY VIOLATED CHAP. 1707 ORC REGARDING 10,000 UNITS OF LIMITED PARTNERSHIP INTEREST IN BRUNNER I AND II.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: A9108831

Date Notice/Process Served: 10/09/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/23/1992

Monetary Compensation Amount: $85,000.00

Individual Contribution Amount:

Broker Statement THE OHIO COMPANY PAID $85,000.00 IN EXCHANGE FOR THE BRUNNER UNITS.
Not Provided

Disclosure 11 of 13

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER ALLEGED UNSUITABILITY AND MISREPRESENTATION.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: Unknown Conversion; 1992-002059

Date Notice/Process Served: 02/28/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/30/1992

Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR $50,000.00. Not Provided

Disclosure 12 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLIENTS ALLEGED UNSUITABLE STOCKS AND LIMITED PARTNERSHIP.
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DIST.; C-1-91-412
Date Notice/Process Served:	07/01/1991
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/30/1992
Monetary Compensation Amount:	$200,000.00
Individual Contribution Amount:	
Broker Statement	SETTLED FOR $200,000.00 WITH CLIENTS ASSIGNING THEIR INTERESTS IN CERTAIN SECURITIES. Not Provided

Disclosure 13 of 13

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	

Allegations: UNSUITABLE RECOMMENDATIONS INCLUDING BREACH OF CONTRACT AND FIDUCIARY OBLIGATIONS, 10B-5, 1707.44 OHIO REV. CODE, 292.320 KENTUCKY REV. STATUES, COMMON LAW FRAUD.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	US DIST.; C-1-91-475
Date Notice/Process Served:	07/01/1991
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/18/1991
Monetary Compensation Amount:	$42,000.00
Individual Contribution Amount:	

Broker Statement CASE DISMISSED PENDING PAYMENT OF $42,000.00 IN SETTLEMENT IN EXECUTING SETTLEMENT AGREEMENT.
Not Provided

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:	Firm
Firm Name:	FIFTH THIRD SECURITIES
Termination Type:	Discharged
Termination Date:	03/21/2005
Allegations:	VIOLATION OF WRITTEN SUPERVISORY PROCEDURES
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Firm Statement	COMPLIANCE DEPARTMENT STAFF IDENTIFIED THAT REGISTERED REPRESENTATIVE PERSONAL ACCOUNTS WERE TRANSACTING THE SAME SECURITY AS WERE TRANSACTED IN CUSTOMER ACCOUNTS. FURTHER REVIEW BY COMPLIANCE IDENTIFIED A BREACH OF WRITTEN SUPERVISORY PROCEDURES AND PARENT COMPANY CODE OF CONDUCT.

Reporting Source:	Individual
Firm Name:	FIFTH THIRD SECURITIES
Termination Type:	Discharged
Termination Date:	03/31/2005
Allegations:	VIOLATION OF WRITTEN SUPERVISORY PROCEDURES - FIFTH THIRD SECURITIES ALLEGES THAT REGISTERED REPRESENTATIVE PERSONAL ACCOUNTS WERE TRANSACTING IN THE SAME SECURITY AS WERE BEING TRANSACTED IN CUSTOMER ACCOUNTS.
Product Type:	Equity Listed (Common & Preferred Stock)
Other Product Types:	
Broker Statement	THESE ARE ALLEGATIONS THAT I VIOLATED MY PREVIOUS FIRM'S WRITTEN CODE OF CONDUCT. I AM CURRENTLY DISPUTING THE ALLEGATIONS THAT WERE MADE BY FIFTH THIRD SECURITIES.

End of Report

This page is intentionally left blank.