



## IAPD Report

# ALAN KENT SUITER

CRD# 1217290

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



## **IAPD Information About Representatives**

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

### **What is included in a IAPD report?**

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

### **Where did this information come from?**

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

### **How current is this information?**

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

### **Need help interpreting this report?**

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

### **What if I want to check the background of an Individual Broker or Brokerage Firm?**

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

### **Are there other resources I can use to check the background of investment professionals?**

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



## Report Summary

### ALAN KENT SUITER (CRD# 1217290)

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 **01/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CORNERSTONE SELECT ADVISORS, LLC	CRD# 144044	01/02/2026

### 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	CREATIVEONE WEALTH, LLC	281213	Springfield, MO	09/08/2020 - 01/02/2026
B	CLIENT ONE SECURITIES LLC	152974	Springfield, MO	05/05/2017 - 12/31/2020
IA	CLIENT ONE SECURITIES LLC	152974	Springfield, MO	05/05/2017 - 12/31/2020

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	5



## 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 1

Firm Name: **CORNERSTONE SELECT ADVISORS, LLC**

Main Address: 13171 OLIVE BOULEVARD  
SUITE 302  
ST. LOUIS, MO 63141

Firm ID#: 144044

	Regulator	Registration	Status	Date
	Missouri	Investment Adviser Representative	Approved	01/02/2026

### Branch Office Locations

**CORNERSTONE SELECT ADVISORS, LLC**  
3816 S GREYSTONE CT.  
SUITE A  
SPRINGFIELD, MO 65804



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

#### Principal/Supervisory Exams

	Exam	Category	Date
B	Financial and Operations Principal Examination (S27)	Series 27	01/05/2024
B	General Securities Principal Examination (S24)	Series 24	01/05/2024
B	Registered Options Principal Examination (S4)	Series 4	01/05/2024

#### General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7TO)	Series 7TO	01/05/2024
B	Operations Professional Examination (S99TO)	Series 99TO	01/05/2024
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	12/17/1983

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/05/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1984



## 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	09/08/2020 - 01/02/2026	CREATIVEONE WEALTH, LLC	CRD# 281213	Springfield, MO
B	05/05/2017 - 12/31/2020	CLIENT ONE SECURITIES LLC	CRD# 152974	Springfield, MO
IA	05/05/2017 - 12/31/2020	CLIENT ONE SECURITIES LLC	CRD# 152974	Springfield, MO
IA	01/19/2012 - 05/25/2017	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	SPRINGFIELD, MO
B	09/27/2002 - 05/25/2017	SAXONY SECURITIES, INC.	CRD# 115547	SPRINGFIELD, MO
IA	08/29/1997 - 05/30/2006	GREYSTONE INVESTMENT ADVISORS, INC.	CRD# 112727	SPRINGFIELD, MO
B	02/23/1995 - 02/14/2003	GREYSTONE SECURITIES CORPORATION	CRD# 37792	SPRINGFIELD, MO
B	02/16/1990 - 01/12/1995	ANDOVER SECURITIES, INC.	CRD# 16903	KANSAS CITY, MO
B	06/24/1985 - 03/07/1990	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	12/21/1983 - 05/23/1986	FIRST AFFILIATED SECURITIES, INC.	CRD# 6871	

### 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
01/2026 - Present	CORNERSTONE SELECT ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SPRINGFIELD, MO, United States
06/1989 - Present	FIRST FINANCIAL CONSULTANTS, INC.	OTHER - PRESIDENT/ACCOUNT EXECUTIVE	N	SPRINGFIELD, MO, United States
09/2020 - 12/2025	CREATIVEONE WEALTH, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	LEAWOOD, KS, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2002 - 05/2017	SAXONY SECURITIES INC	REGISTERED REP	Y	ST LOUIS, MO, 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.

FIRST FINANCIAL CONSULTANTS: DBA FOR SECURITIES BUSINESS & INSURANCE LICENSED, SELLING, LIFE, HEALTH, PROPERTY & CASUALTY, LONG TERM CARE & MALPRACTICE INSURANCE, 3816 S, GREYSTONE CT, SPRINGFIELD, MO 65804, INVESTMENT RELATED

SUITER INVESTIGATIONS, LLC: FIND INDIVIDUALS AND CORPORATIONS OWED MONEY OUT OF UNCLAIMED PROPERTY, NOT INVESTMENT RELATED, 5 HRS/MONTH, 3816 S GREYSTONE CT, SPRINGFIELD MO 65804

SUITER & GILL ENTERPRISES: RENTAL PROPERTY, 3816 S, GREYSTONE CT, SPRINGFIELD, MO 65804, OWNS 50% OF BUILDING, 2 HR/MONTH ON ACTIVITY, NOT INVESTMENT RELATED





## 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	5

### 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

**Sanction(s) Sought:**

**Date Initiated:** 12/05/2003

**Docket/Case Number:** C04030063

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

**Product Type:** No Product

**Allegations:** SEC RULE 10B-9, NASD RULES 1120(A), 2110, 3010 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, PERMITTED REGISTERED REPRESENTATIVES TO PERFORM DUTIES AS REGISTERED PERSONS WHILE THEIR REGISTRATION STATUS WAS INACTIVE DUE TO THEIR FAILURE TO TIMELY COMPLETE THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENTS. THE FINDINGS STATED THAT RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES DESIGNED TO FULFILL ITS OBLIGATION TO COMPLY WITH THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENTS. THE FINDINGS FURTHER STATED THAT RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, PARTICIPATED IN PRIVATE PLACEMENT CONTINGENCY OFFERINGS, FAILED TO PROMPTLY TRANSMIT FUNDS RECEIVED FROM INVESTORS TO AN APPROPRIATE ESCROW ACCOUNT AND TRANSMITTED FUNDS RECEIVED FROM INVESTORS TO THE OFFERING BEFORE THE MINIMUM CONTINGENCY WAS ATTAINED



	THUS RENDERING FALSE AND MISLEADING THE REPRESENTATIONS IN THE PLACEMENT MEMORANDUM THAT INVESTOR FUNDS WOULD BE RETURNED IF THE MINIMUM CONTINGENCY WAS NOT ATTAINED.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/05/2003
<b>Sanctions Ordered:</b>	Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Regulator Statement</b>	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, SUITER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED \$13,000. FINES PAID.
.....	
<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Censure
<b>Other Sanction(s) Sought:</b>	RELIEF SOUGHT
<b>Date Initiated:</b>	12/05/2003
<b>Docket/Case Number:</b>	C04030063
<b>Employing firm when activity occurred which led to the regulatory action:</b>	GREYSTONE SECURITIES CORPORATION
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	SEC RULE 10B-9, NASD RULES 1120(A), 2110, 3010 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM, PERMITTED REGISTERED REPRESENTATIVES TO PERFORM DUTIES AS REGISTERED PERSONS WHILE THEIR REGISTRATION STATUS WAS INACTIVE DUE TO THEIR FAILURE TO TIMELY COMPLETE THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENTS. THE FINDINGS STATED THAT RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN SUPERVISORY PROCEDURES DESIGNED TO FULFILL ITS OBLIGATION TO COMPLY WITH THE REGULATORY ELEMENT OF NASD'S CONTINUING EDUCATION REQUIREMENTS. THE FINDINGS FURTHER STATED THAT RESPONDENT, ACTING ON BEHALF OF HIS MEMBER FIRM, PARTICIPATED IN PRIVATE PLACEMENT CONTINGENCY OFFERINGS, FAILED TO PROMPTLY TRANSMIT FUNDS RECEIVED FROM INVESTORS TO AN APPROPRIATE ESCROW ACCOUNT AND TRANSMITTED FUNDS RECEIVED FROM INVESTORS TO THE OFFERING BEFORE THE MINIMUM CONTINGENCY WAS ATTAINED THUS RENDERING FALSE AND MISLEADING THE REPRESENTATIONS IN THE PLACEMENT MEMORANDUM THAT INVESTOR MISLEADING THE



REPRESENTATIONS IN THE PLACEMENT MEMORANDUM THAT INVESTOR FUNDS BE RETURNED IF THE MINIMUM CONTINGENCY WAS NOT ATTAINED.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 12/05/2003

**Sanctions Ordered:** Censure  
Monetary/Fine \$13,000.00

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, SUITER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS CENSURED AND FINED \$13,000.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** THE NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 10/27/1999

**Docket/Case Number:** 04990042

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS ALAN KENT SUITER AND JOHN GRESHAM GILL, ROUTINELY PLACED ADVERTISEMENTS IN LOCAL NEWS PAPERS AND ROUTINELY DISSEMINATED SALES LITERATURE WHICH VIOLATED NASD CONDUCT RULE 2110 IN THAT THE ADVERTISEMENTS AND SALES LITERATURE OMITTED OR PROVIDED INADEQUATE INFORMATION REGARDING MATERIAL FACTS (NASD RULES , 2110,2210,2210(D)(1)(A), 2210(D)(2)(M), AND 2210 (D)(1)(B).

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 10/27/1999

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:** ON OCTOBER 27, 1999, DISTRICT NO. 4 NOTIFIED RESPONDENTS MEMBER, SUITER AND GILL THAT THE LETTER OF ACCEPTANCE, WAIVER, AND CONSENT WAS ACCEPTED; THEREFORE, THEY ARE CENSURED, FINED \$7,500, JOINTLY AND SEVERALLY, AND FOR A PERIOD OF ONE YEAR STARTING FROM THE ACCEPTANCE OF THE AWC, RESPONDENT MEMBER



SHALL FILE ALL ADVERTISEMENTS AND SALES LITERATURE AS DEFINED IN NASD CONDUCT CODE 2210(A)(1) AND 2210(A)(2) FOR APPROVAL WITH THE ADVERTISING REGULATION DEPARTMENT (DEPARTMENT) AT LEAST 10 DAYS PRIOR TO USE OR PUBLICATION. IF THE DEPARTMENT RECOMMENDS REVISIONS, THE ITEM SHALL BE WITHHELD FROM PUBLICATION OR CIRCULATION UNTIL SUCH REVISIONS HAVE BEEN MADE OR, IF EXPRESSLY DISAPPROVED, UNTIL THE ITEM HAS BEEN REFILED FOR REVIEW AND HAS RECEIVED THE DEPARTMENT'S APPROVAL. RESPONDENT MEMBER MUST PROVIDE WITH EACH FILING THE ACTUAL OR ANTICIPATED DATE OF FIRST USE AND THE NAME OF THE REGISTERED PRINCIPAL WHO APPROVED THE ADVERTISEMENTS AND SALES LITERATURE AND THE DATE OF APPROVAL.

**Regulator Statement**

ALSO, WITHIN 30 DAYS FROM THE ACCEPTANCE DATE OF THIS AWC, RESPONDENTS MEMBER, SUITER AND GILL MUST DEMONSTRATE TO THE SATISFACTION OF THE DISTRICT 4 STAFF THAT IT HAS SENT OR CAUSED TO BE SENT THE NOTIFICATION ATTACHED HERETO AND INCORPORATED HEREIN BY THIS REFERENCE AS EXHIBIT "G" TO ALL CURRENT HOLDERS OF THE COLLATERALIZED TIME CERTIFICATES.

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Censure

**Other Sanction(s) Sought:**

**Date Initiated:** 03/26/1999

**Docket/Case Number:** C04990042

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THAT CERTAIN ADVERTISING FAILED TO INCLUDE A RISK DISCLOSURE, THAT SOME ADVERTISING FAILED TO INCLUDE DISCLOSURE LANGUAGE REGARDING THE GUARANTEE OF PRINCIPAL AND INTEREST OF AN INVESTMENT PRODUCT, AND THAT THEY FAILED TO MAKE CERTAIN DISCLOSURES ON SLIDES USED IN SALES SEMINARS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 10/27/1999

**Sanctions Ordered:** Censure  
Monetary/Fine \$7,500.00

**Other Sanctions Ordered:**

**Sanction Details:** CENSURE, FINE AND REQUIREMENT TO FILE ADVERTISING FOR A PERIOD OF ONE YEAR.

**Broker Statement** GREYSTONE, GILL AND SUITER CORRECTED A NUMBER OF THE ALLEGED VIOLATIONS PRIOR TO NOTIFICATION BY THE NASD. GREYSTONE, GILL AND SUITER REQUIRED ALL PROSPECTIVE INVESTORS TO SIGN A RISK



DISCLOSURES AND REVIEW PROSPECTUSES PRIOR TO INVESTING.  
THERE WERE NO ALLEGATIONS THAT GREYSTONE, GILL OR SUITER  
MISREPRESENTED THE PRODUCT, ONLY THAT ADDITIONAL DISCLOSURES  
IN THE ADVERTISING SHOULD HAVE BEEN MADE.



## 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 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	GREYSTONE SECURITIES CORP
<b>Allegations:</b>	CLAIMANT CLAIMED THAT MR. SUITER AND TWO OTHER RESPONDENTS UNSUITABLY RECOMMENDED, OR MADE MISREPRESENTATIONS OR OMISSIONS IN CONNECTION WITH, OR BREACHED FIDUCIARY DUTIES IN CONNECTION WITH CLAIMANT'S INVESTMENT IN AMERICAN BUSINESS FINANCIAL SERVICES, INC. DURING SPRING OF 2000
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	PROMISSORY NOTES
<b>Alleged Damages:</b>	\$88,909.00

## Customer Complaint Information

<b>Date Complaint Received:</b>	05/09/2006
<b>Complaint Pending?</b>	No
<b>Status:</b>	Arbitration/Reparation
<b>Status Date:</b>	05/09/2006
<b>Settlement Amount:</b>	

**Individual Contribution Amount:**

## Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NASD - 06-2177
<b>Date Notice/Process Served:</b>	05/09/2006
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	11/29/2006
<b>Monetary Compensation Amount:</b>	\$29,279.54
<b>Individual Contribution Amount:</b>	\$22,279.54

### Disclosure 2 of 5

<b>Reporting Source:</b>	Individual
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**Employing firm when activities occurred which led to the complaint:** GREYSTONE SECURITIES CORP

**Allegations:** CLAIMANTS CLAIMED THAT MR SUITER UNSUITABLY RECOMMENDED OR MADE MISREPRESENTATIONS OR OMISSIONS IN CONNECTION WITH OR BREACHED FIDUCIARY DUTIES IN CONNECTION WITH THE CLAIMANTS PURCHASE OF A PRIVATELY PLACED PROMISSORY NOTE

**Product Type:** Other

**Other Product Type(s):** PRIVATE PLACEMENT-DEBT

**Alleged Damages:** \$72,000.00

### Customer Complaint Information

**Date Complaint Received:** 03/22/2006

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 03/22/2006

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DISPUTE RESOLUTION ARBITRATION NO. 06-01162

**Date Notice/Process Served:** 03/22/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/29/2006

**Monetary Compensation Amount:** \$30,410.05

**Individual Contribution Amount:** \$30,410.05

### Disclosure 3 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GREYSTONE SECURITIES CORP

**Allegations:** CLAIMANT CLAIMED THAT MR. SUITER AND ONE OTHER RESPONDENT UNSUITABLY RECOMMENDED OR MADE MISREPRESENTATIONS OR OMISSIONS IN CONNECTION WITH OR BREACHED FIDUCIARY DUTIES IN CONNECTION WITH CLAIMANTS PURCHASE OF A PRIVATELY PLACED PROMISSORY NOTE AND A FIXED ANNUITY IN AND AROUND JUNE OF 2000.

**Product Type:** Other

**Other Product Type(s):** PRIVATE PLACEMENT- DEBT & FIXED ANNUITY

**Alleged Damages:** \$100,000.00





## Customer Complaint Information

**Date Complaint Received:** 02/27/2006

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/27/2006

**Settlement Amount:**

**Individual Contribution Amount:**

## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DISPUTE RESOLUTION ARBITRATION NUMBER 06-00803

**Date Notice/Process Served:** 02/27/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/29/2006

**Monetary Compensation Amount:** \$23,893.61

**Individual Contribution Amount:** \$23,893.61

## Disclosure 4 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GREYSTONE SECURITIES

**Allegations:** CLAIMANTS CLAIMED THAT MR SUITER UNSUITABLY RECOMMENDED OR MADE MISREPRESENTATIONS OR OMISSIONS IN CONNECTION WITH OR BREACHED FIDUCIARY DUTIES IN CONNECTION WITH CLAIMANTS PURCHASE OF A PRIVATELY PLACED PROMISSORY NOTE, A FIXED ANNUITY AND VARIOUS MUTUAL FUNDS BETWEEN JUNE OF 2000 AND NOVEMBER OF 2003

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** PRIVATE PLACEMENT-DEBT, FIXED ANNUITIES

**Alleged Damages:** \$260,000.00

## Customer Complaint Information

**Date Complaint Received:** 02/27/2006

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 02/27/2006

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DISPUTE RESOLUTION ARBITRATION NUMBER 06-00804

**Date Notice/Process Served:** 02/27/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/29/2006

**Monetary Compensation Amount:** \$54,303.66

**Individual Contribution Amount:** \$54,303.66

**Disclosure 5 of 5**

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:**

**Allegations:** MISREPRESENTATIONS; OMISSIONS; NEGLIGENCE; BREACH OF FIDUCIARY DUTY

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** VARIABLE ANNUITY, LIMITED PARTNERSHIP

**Alleged Damages:** \$150,000.00

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #05-06530](#)

**Date Notice/Process Served:** 12/20/2005

**Arbitration Pending?** No

**Disposition:** Award

**Disposition Date:** 10/18/2006

**Disposition Detail:** SUITER IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANTS \$104,000, PLUS INTEREST, IN COMPENSATORY DAMAGES. SUITER IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANTS \$74,000 IN PUNITIVE DAMAGES.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GREYSTONE SECURITIES CORP

**Allegations:** CLAIMANTS CLAIMED THAT MR SUITER AND ONE OTHER RESPONDENT UNSUITABLY RECOMMENDED OR MADE MISREPRESENTATIONS OR OMISSIONS IN CONNECTION WITH OR BREACHED FIDUCIARY DUTIES IN CONNECTION WITH CLAIMANTS PURCHASE OF A PRIVATELY PLACED



PROMISSORY NOTE IN JUNE OF 2000 AND VARIOUS MUTUAL FUNDS  
AROUND THE SAME TIME

**Product Type:** Mutual Fund(s)  
**Other Product Type(s):** PRIVATE PLACEMENT-DEBT  
**Alleged Damages:** \$150,000.00

### Customer Complaint Information

**Date Complaint Received:** 02/15/2005  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/29/2006  
**Settlement Amount:** \$89,113.14  
**Individual Contribution Amount:** \$89,113.14

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD DISPUTE RESOLUTION CASE NUMBER 05-06530](#)

**Date Notice/Process Served:** 12/27/2005  
**Arbitration Pending?** No  
**Disposition:** Award to Customer  
**Disposition Date:** 10/18/2006  
**Monetary Compensation Amount:** \$212,320.00  
**Individual Contribution Amount:** \$89,113.14



## End of Report

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