IAPD Report

ALAN MASON

CRD# 1302190

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

ALAN MASON (CRD# 1302190)

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 **07/07/2025**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	WESTPARK CAPITAL, INC.	39914	NEW YORK, NY	03/22/2018 - 09/27/2022
IA	WILMINGTON CAPITAL SECURITIES, LLC	133839	New York, NY	01/04/2016 - 07/21/2016
IA	GUNNALLEN FINANCIAL, INC	17609	NEW YORK, NY	08/15/2006 - 03/29/2010

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
Regulatory Event	2
Customer Dispute	5
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 not currently registered as an Investment Adviser Representative.

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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/23/1992

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	03/22/2018 - 09/27/2022	WESTPARK CAPITAL, INC.	CRD# 39914	NEW YORK, NY
IA	01/04/2016 - 07/21/2016	WILMINGTON CAPITAL SECURITIES, LLC	CRD# 133839	New York, NY
IA	08/15/2006 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	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
03/2023 - Present	Bradley Woods & Co. Ltd.	Registered Representative	Y	New York, NY, United States
03/2018 - 03/2023	Westpark Capital LLC	Registered Representative	Y	New York, NY, United States
06/2016 - 02/2018	New Providence Asset Management	Head of Development / MD	Y	New York, NY, 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.

MASON FINANCIAL PARTNERS
POSITION: partner NATURE: dba mason financial partners INVESTMENT RELATED: Yes NUMBER OF HOURS: 40
SECURITIES TRADING HOURS: 40 START DATE: 03/13/2018
ADDRESS: 126 east 56th street, new york NY 10022, United States
DESCRIPTION: Investment management

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
Termination	1

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:	Maryland
Sanction(s) Sought:	Revocation
Date Initiated:	08/09/2024
Docket/Case Number:	2024-0308
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Bradley Woods & Co., Ltd.
Product Type:	No Product
Allegations:	In May 2024, without admitting or denying the findings, Mason entered into an Acceptance, Waiver and Consent ("AWC") with FINRA wherein Mason consented to the entry of findings that, in February 2020, he opened an individual account for a customer with a reported moderate risk tolerance, a liquid net worth between $200,001 and $500,000 and a stated investment objective of growth and income that did not include speculation. In February 2020 and July 2020, he recommended that the customer invest $50,000 each in GWG L Bonds, whose offering document stated that the bonds were speculative, involved a high degree of risk, were illiquid, and were only suitable for persons with substantial financial resources and no need for liquidity. The customer's investment in the GWG L Bonds represented at least 20 percent of her liquid net worth. The AWC further found that Respondent's recommendation that the customer invest an additional $50,000 in GWG L Bonds in July 2020 was not in her best interest based on her

	investment profile, including moderate risk tolerance, considering the high degree of risk associated with the GWG L Bonds. Mason agreed to a two-month suspension from associating with any FINRA member in all capacities, the payment of a fine in the amount of $5,000, and the disgorgement of $1,324.38 plus interest.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/31/2024
Sanctions Ordered:	Revocation

Reporting Source:	Firm
Regulatory Action Initiated By:	Maryland Securities Division
Sanction(s) Sought:	Revocation
Date Initiated:	08/09/2024
Docket/Case Number:	2024-0308
Employing firm when activity occurred which led to the regulatory action:	BRADLEY WOODS & CO. LTD.
Product Type:	No Product
Allegations:	On August 09, 2024, the Maryland Securities Commissioner (the "Commissioner"), pursuant to the authority granted by section 11-413(a) of the Maryland Securities Act, Corporations & Associations Article, Title 11, Annotated Code of Maryland, (2014 Repl. Vol. & Supp. 2023) (the "Act"), issued an Order to Show Cause (the "Order") requiring Alan Mason (the " Respondent ") to show cause why Respondent's agent registration should not be revoked based on section(s) 11-412(a)(6) and (7) of the Act, which Order is incorporated by reference herein. The Order provided that the failure to file a written answer, including a request for a hearing, within fifteen (15) days of the date of receipt of the Order, would result in the entry of an Order of Revocation of Agent Registration. Respondent did not file a written answer or request a hearing.
Current Status:	Final
Resolution:	Order
Resolution Date:	10/31/2024
Sanctions Ordered:	Revocation

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? **(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?** **(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or** **(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**	No

Firm Statement	Mason failed to respond to a August 9, 2024 order to show cause why Mason's Maryland agent registration should not be revoked based on actions that occurred while Mason was a registered representative with WESTPARK CAPITAL, INC. The Maryland Securities Commissioner determined that it is in the public interest to revoke Mason's agent registration.

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Maryland Securities Division
Sanction(s) Sought:	Revocation
Date Initiated:	08/09/2024
Docket/Case Number:	2024-0308
Employing firm when activity occurred which led to the regulatory action:	BRADLEY WOODS & CO. LTD.
Product Type:	No Product
Allegations:	On August 09, 2024, the Maryland Securities Commissioner (the "Commissioner"), pursuant to the authority granted by section 11-413(a) of the Maryland Securities Act, Corporations & Associations Article, Title 11, Annotated Code of Maryland, (2014 Repl. Vol. & Supp. 2023) (the "Act"), issued an Order to Show Cause (the "Order") requiring Alan Mason (the " Respondent ") to show cause why Respondent's agent registration should not be revoked based on section(s) 11-412(a)(6) and (7) of the Act, which Order is incorporated by reference herein. The Order provided that the failure to file a written answer, including a request for a hearing, within fifteen (15) days of the date of receipt of the Order, would result in the entry of an Order of Revocation of Agent Registration. Respondent did not file a written answer or request a hearing.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/31/2024
Sanctions Ordered:	Revocation
Broker Statement	Mason failed to respond to a August 9, 2024 order to show cause why Mason's Maryland agent registration should not be revoked based on actions that occurred while Mason was a registered representative with WESTPARK CAPITAL, INC. The Maryland Securities Commissioner determined that it is in the public interest to revoke Mason's agent registration.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA

Sanction(s) Sought:	
Date Initiated:	05/22/2024
Docket/Case Number:	2021070498102
Employing firm when activity occurred which led to the regulatory action:	WestPark Capital, Inc
Product Type:	Debt-Corporate
Allegations:	Without admitting or denying the findings, Mason consented to the sanctions and to the entry of findings that he willfully violated Rule 15/-1(a)(1) under the Securities Exchange Act of 1934 (Regulation Bl) by recommending that a retail customer invest at least 20 percent of her liquid net worth in a speculative, unrated debt security. The findings stated that the customer opened an individual account with Mason's member firm through Mason. The customer reported a moderate risk tolerance with a liquid net worth between $200,001 and $500,000. The customer's stated investment objective was growth and income, and it did not include speculation. Mason recommended that the customer invest $50,000 in bonds from a third offering of a publicly traded financial services company that focused on providing liquidity to holders of illiquid investments and alternative assets. Mason later recommended that the customer invest an additional $50,000 in a fourth offering of bonds by the company. As a result, Mason earned $1,324.38 in commissions in connection with his second recommendation. Mason's recommendation that the customer invest an additional $50,000 in the bonds was not in her best interest based on her investment profile , including her moderate risk tolerance, in light of the high degree of risk associated with the bonds. The customer brought and settled an arbitration against the firm relating to her bond investments.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/22/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension Other: plus interest.
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	Yes

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	Yes
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	No
(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	No
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Two months
Start Date:	08/05/2024

End Date:	10/04/2024
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Disgorgement
Total Amount:	$1,324.38
Portion Levied against individual:	$1,324.38
Payment Plan:	plus interest
Is Payment Plan Current:	
Date Paid by individual:	07/02/2024
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/02/2024
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension
Date Initiated:	05/22/2024
Docket/Case Number:	2021070498102
Employing firm when activity occurred which led to the regulatory action:	WestPark Capital, Inc
Product Type:	Debt-Corporate
Allegations:	Without admitting or denying the findings, Mason consented to the sanctions and to the entry of findings that he willfully violated Rule 15/-1(a)(1) under the Securities Exchange Act of 1934 (Regulation BI) by recommending that a retail customer invest at least 20 percent of her liquid net worth in a speculative, unrated debt security. The findings stated that the customer opened an individual account

	with Mason's member firm through Mason. The customer reported a moderate risk tolerance with a liquid net worth between $200,001 and $500,000. The customer's stated investment objective was growth and income, and it did not include speculation. Mason recommended that the customer invest $50,000 in bonds from a third offering of a publicly traded financial services company that focused on providing liquidity to holders of illiquid investments and alternative assets. Mason later recommended that the customer invest an additional $50,000 in a fourth offering of bonds by the company. As a result, Mason earned $1,324.38 in commissions in connection with his second recommendation. Mason's recommendation that the customer invest an additional $50,000 in the bonds was not in her best interest based on her investment profile , including her moderate risk tolerance, in light of the high degree of risk associated with the bonds. The customer brought and settled an arbitration against the firm relating to her bond investments.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/22/2024
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	2 Months
Start Date:	08/05/2024
End Date:	10/04/2024
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Disgorgement
Total Amount:	$1,324.38
Portion Levied against individual:	$1,324.38
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/02/2024
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/02/2024
Was any portion of penalty waived?	No
Amount Waived:	

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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Claimant alleges breach of fiduciary duty, unsuitability, Florida Statutory Violations, negligence and gross negligence, breach of implied covenant of good faith and fair dealing and industry rules, breach of contract, violation of the securities exchange act of 1934 and rule 10B-5, common law fraud, failure to supervise, unjust enrichment and respondeat superior in conjunction with their purchase of GWG.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$5,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01793
Filing date of arbitration/CFTC reparation or civil litigation:	08/10/2022

Customer Complaint Information

Date Complaint Received:	08/10/2022
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2024
Settlement Amount:	$250,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Breach of Fiduciary Duty; Unsuitability; The client purchased an investment and the company filed for Chapter 11 bankruptcy

Product Type:	Other: GWG L Bonds
Alleged Damages:	$5,000,000.00
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 Boca Raton Florida
Docket/Case #:	22-01793
Filing date of arbitration/CFTC reparation or civil litigation:	08/09/2022

Customer Complaint Information

Date Complaint Received:	08/16/2022
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Improper Recommendation; Failure to perform Due Diligence; Unsuitability
Product Type:	Other: GWG L Bond
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01262
Filing date of arbitration/CFTC reparation or civil litigation:	06/06/2022

Customer Complaint Information

Date Complaint Received:	06/07/2022
Complaint Pending?	No
Status:	Settled

Status Date:	03/27/2023
Settlement Amount:	$33,200.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Improper Recommendation; Failure to perform Due Diligence; Unsuitability
Product Type:	Other: GWG L Bond
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01262
Filing date of arbitration/CFTC reparation or civil litigation:	06/06/2022

Customer Complaint Information

Date Complaint Received:	06/07/2022
Complaint Pending?	No
Status:	Settled
Status Date:	03/27/2023
Settlement Amount:	$33,200.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GUNNALLEN FINANCIAL, INC.
Allegations:	CUSTOMER ALLEGES UNAUTHORIZED TRANSACTIONS AND UNSUITABLE TRANSACTIONS. CUSTOMER ALLEGES THESE MATTERS OCCURRED FROM NOVEMBER 2008 THROUGH FEBRUARY 2009.
Product Type:	Mutual Fund
Alleged Damages:	$5,000.00
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: 02/23/2009

Complaint Pending? No

Status: Settled

Status Date: 05/12/2009

Settlement Amount: $25,000.00

Individual Contribution Amount: $25,000.00

Disclosure 4 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GRUNTAL & CO., L.L.C.

Allegations: [CUSTOMER] AS TRUSTEE OF HER OWN TRUST ALLEGES THAT AE MASON OVERLY CONCENTRATED HER PORTFOLIO WITH UNSUITABLE, SPECULATIVE SECURITIES.

Product Type: No Product

Alleged Damages: $525,000.00

Customer Complaint Information

Date Complaint Received: 05/21/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 05/21/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [CUSTOMER], AS TRUSTEE OF THE [CUSTOMER] TRUST V. GRUNTAL & CO., L.LC. AND ALAN M MASON; NYSE #2002-010176

Date Notice/Process Served: 05/21/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/17/2002

Monetary Compensation Amount: $30,000.00

Individual Contribution Amount: $30,000.00

Disclosure 5 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES INC.
Allegations:	CUSTOMER COMPLAINS OF UNAUTHORIZED PURCHASES AND SALES OF LAM RESEARCH, BROAD VISION, EXCITES, SIBEL, STM, AMGEN, TYCO, GATEWAY, AOL, AND HOME DEPOT DURING THE PERIOD OF DECEMBER 1999 THROUGH JULY 2000, LOSSES ON TRANSACTIONS APPROXIMATELY $47,000.00.
Product Type:	Equity - OTC
Alleged Damages:	$47,000.00

Customer Complaint Information

Date Complaint Received:	08/10/2000
Complaint Pending?	No
Status:	Settled
Status Date:	11/27/2000
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES
Allegations:	CUSTOMER COMPAINS OF UNAUTHORIZED TRADES WHICH HAVE NO MERIT CUSTOMER ALLEGED TRANSACTION IN 12/99, JAN/00, FEB/00 AND MAR/00.
Product Type:	Equity - OTC
Alleged Damages:	$47,000.00

Customer Complaint Information

Date Complaint Received:	08/09/2000
Complaint Pending?	No
Status:	Settled
Status Date:	11/27/2000
Settlement Amount:	$50,000.00
Individual Contribution Amount:	$0.00

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:	FIRST UNION SECURITIES
Termination Type:	Permitted to Resign
Termination Date:	08/23/2000
Allegations:	FAILURE TO ADHERE TO FIRM POLICY WITH RESPECT TO DISCRETIONARY ACCOUNT PROCEDURES.
Product Type:	Equity - OTC
Other Product Types:	
Broker Statement	CUSTOMER ALLEGED UNAUTHORIZED TRADES WITHOUT MERIT.

End of Report

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