



IAPD Report

DAVID MARK MULLEN

CRD# 1327419

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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

DAVID MARK MULLEN (CRD# 1327419)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HAZARD & SIEGEL, INC.	CRD# 2048	06/27/2003
IA	HAZARD & SIEGEL ADVISORY SERVICES LLC	CRD# 151462	08/06/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	NEWMAN, LADD CAPITAL, INC.	38841	SYRACUSE, NY	02/28/2006 - 10/17/2006
B	LEIGH BALDWIN & CO., LLC	38751	CAZENOVIA, NY	11/10/1995 - 06/13/2003
B	CYGNET SECURITIES, INC.	28686	WALDWICK, NJ	04/12/1994 - 09/28/1995

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	1
Customer Dispute	4
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 **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **HAZARD & SIEGEL, INC.**
Main Address: 5793 WIDEWATERS PARKWAY
DEWITT, NY 13214
Firm ID#: 2048

	Regulator	Registration	Status	Date
	FINRA	Direct Participation Programs	Approved	06/27/2003
	FINRA	General Securities Representative	Approved	06/27/2003
	FINRA	General Securities Sales Supervisor	Approved	06/27/2003
	FINRA	Invest. Co and Variable Contracts	Approved	06/27/2003
	FINRA	General Securities Principal	Approved	07/22/2003
	FINRA	Financial and Operations Principal	Approved	10/24/2003
	FINRA	Municipal Securities Principal	Approved	05/20/2004
	FINRA	Operations Professional	Approved	12/19/2011
	FINRA	Municipal Securities Representative	Approved	02/17/2013
	FINRA	Compliance Officer	Approved	10/01/2018
	Arizona	Agent	Approved	06/02/2010
	California	Agent	Approved	03/03/2016
	District of Columbia	Agent	Approved	04/20/2011



Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	03/05/2018
B	Illinois	Agent	Approved	02/07/2012
B	Massachusetts	Agent	Approved	11/12/2004
B	Nevada	Agent	Approved	07/21/2010
B	New Hampshire	Agent	Approved	07/23/2010
B	New Jersey	Agent	Approved	11/08/2004
B	New York	Agent	Approved	06/27/2003
B	North Carolina	Agent	Approved	02/19/2010
B	Ohio	Agent	Approved	11/08/2004
B	Pennsylvania	Agent	Approved	06/27/2003
B	Rhode Island	Agent	Approved	07/02/2010
B	South Carolina	Agent	Approved	05/25/2010
B	Utah	Agent	Approved	10/15/2024
B	Virginia	Agent	Approved	11/12/2010
B	West Virginia	Agent	Approved	08/24/2018

Branch Office Locations

5793 WIDEWATERS PARKWAY
DEWITT, NY 13214

Employment 2 of 2

Firm Name: **HAZARD & SIEGEL ADVISORY SERVICES LLC**



Qualifications

Main Address: 5793 WIDEWATERS PARKWAY
DEWITT, NY 13214

Firm ID#: 151462

	Regulator	Registration	Status	Date
IA	New York	Investment Adviser Representative	Approved	11/30/2021
IA	North Carolina	Investment Adviser Representative	Approved	07/19/2023
IA	Pennsylvania	Investment Adviser Representative	Approved	01/16/2024
IA	Virginia	Investment Adviser Representative	Approved	11/10/2010

Branch Office Locations

HAZARD & SIEGEL ADVISORY SERVICES LLC
5793 WIDEWATERS PARKWAY
DEWITT, NY 13214










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 7 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
 Municipal Securities Principal Examination (S53)	Series 53	05/19/2004
 Financial and Operations Principal Examination (S27)	Series 27	10/23/2003
 General Securities Principal Examination (S24)	Series 24	07/21/2003
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/09/1998

General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	08/13/1997
 Direct Participation Programs Representative Examination (S22)	Series 22	09/13/1985
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/21/1984



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/24/2021
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/1984

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
B	02/28/2006 - 10/17/2006	NEWMAN, LADD CAPITAL, INC.	CRD# 38841	SYRACUSE, NY
B	11/10/1995 - 06/13/2003	LEIGH BALDWIN & CO., LLC	CRD# 38751	CAZENOVIA, NY
B	04/12/1994 - 09/28/1995	CYGNET SECURITIES, INC.	CRD# 28686	WALDWICK, NJ
B	01/14/1992 - 02/02/1994	CADARET, GRANT & CO., INC.	CRD# 10641	SYRACUSE, NY
B	12/24/1984 - 01/23/1992	G. R. PHELPS & CO., INC.	CRD# 173	

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
10/2009 - Present	HAZARD & SIEGEL ADVISORY SERVICES	REGISTERED INVESTMENT ADVISOR	Y	DEWITT, NY, United States
06/2003 - Present	HAZARD & SIEGEL, INC.	REGISTERED REPRESENTATIVE/PRINCIPAL	Y	SYRACUSE, NY, United States
09/1984 - Present	MULLEN FINANCIAL SERVICES	PRESIDENT - PRESIDENT	Y	CAZENOVIA, 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.

- 1) SALES AND SERVICE OF FIXED INSURANCE PRODUCTS AS AN INDEPENDENT CONTRACTOR 5793 WIDEWATERS PKWY DEWITT NY START DATE 09/1984 NON-INVESTMENT RELATED BUSINESS. HOURS DURING TRADING HOURS - 1-5 PER MONTH.
- 2) SOLICITOR AND IAR FOR HAZARD & SIEGEL ADVISORY SERVICES LLC 5793 WIDEWATERS PARKWAY DEWITT NY, START DATE 06/2003 REFER CLIENTS ACCOUNTS TO MONEY MANAGER REGISTERED INVESTMENT ADVISORS. INVESTMENT RELATED BUSINESS. 2-20 HRS PER MONTH.



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	1
Customer Dispute	4
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 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 11/15/2012

Docket/Case Number: [2011030781401](#)

Employing firm when activity occurred which led to the regulatory action: HAZARD & SIEGEL, INC.

Product Type: Annuity-Variable

Allegations: FINRA RULE 2010, NASD RULE 3010: MULLEN FAILED TO REASONABLY SUPERVISE REGISTERED REPRESENTATIVES, WHO WERE ALSO HUSBAND AND WIFE, AT HIS MEMBER FIRM, WHO PROVIDED FALSE AND MISLEADING INFORMATION ON FIRM DOCUMENTS AND CREATED INACCURATE BOOKS AND RECORDS FOR THE FIRM. MULLEN FIRST LEARNED THAT THE HUSBAND HAD BEEN SIGNING HIS SPOUSE'S NAME AS THE BROKER OF RECORD ON CERTAIN VARIABLE ANNUITY FORMS EVEN THOUGH SHE HAD NOT MET WITH THE CUSTOMERS. MULLEN FAILED TO TAKE APPROPRIATE ACTION TO SUPERVISE THESE REPRESENTATIVES THAT WAS REASONABLY DESIGNED TO PREVENT THEIR VIOLATIONS AND ACHIEVE COMPLIANCE WITH THE APPLICABLE RULES. MULLEN DID NOT REASONABLY RESPOND TO "RED FLAGS" OF POSSIBLE MISCONDUCT, SUCH AS A VERBAL ADMISSION TO MULLEN BY THE HUSBAND THAT HE HAD BEEN MEETING WITH THE CUSTOMERS AND SIGNING HIS WIFE'S



NAME AS THE BROKER OF RECORD TO THE DOCUMENTS AT ISSUE.

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: 11/15/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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? No

(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?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY PRINCIPAL CAPACITY
Duration: TWO MONTHS
Start Date: 12/17/2012
End Date: 02/16/2013

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 12/13/2013
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, MULLEN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR TWO MONTHS. THE SUSPENSION IS IN EFFECT DECEMBER 17, 2012 THROUGH FEBRUARY 16, 2013. FINE PAID IN FULL ON DECEMBER 13, 2013.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 11/15/2012



Docket/Case Number:	2011030781401
Employing firm when activity occurred which led to the regulatory action:	HAZARD & SIEGEL INC
Product Type:	Annuity-Variable
Allegations:	FINRA RULE 2010, NASD RULE 3010. FAILED TO REASONABLY SUPERVISE REGISTERED REPRESENTATIVES, WHO WERE ALSO HUSBAND AND WIFE AT MEMBER FIRM WHO PROVIDED FALSE AND MISLEADING DOCUMENTS AND CREATED INACCURATE BOOKS AND RECORDS FOR THE FIRM.
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:	11/15/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	TWO MONTHS
Start Date:	12/17/2012
End Date:	02/16/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	HAZARD & SIEGEL INC
Allegations:	CUSTOMER ALLEGES THAT HAZARD & SIEGEL INC AND MR. MULLEN EXERCISED A FAILURE TO SUPERVISE A REGISTERED REPRESENTATIVE, [THIRD PARTY] REGARDING THE LIQUIDATION AND TRANSFER OF [CUSTOMER'S] ACCOUNT WITH MAINSTAY FUNDS
Product Type:	Mutual Fund
Alleged Damages:	\$109,128.32
Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER IS REQUESTING AMOUNT ABOVE PLUS INETEREST AND LEGAL FEES.
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:	FINARA DISPUTE RESOLUTION ARBITRATION
Docket/Case #:	10-03199
Filing date of arbitration/CFTC reparation or civil litigation:	07/13/2010

Customer Complaint Information

Date Complaint Received:	08/02/2010
Complaint Pending?	No
Status:	Settled
Status Date:	02/14/2012
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	NEW YORK STATE SUPREME COURT
Location of Court:	COUNTY RENSSELAER



Docket/Case #: 233658

Date Notice/Process Served:

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 02/14/2012

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement

THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. MULLEN'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT. MR. MULLEN ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HAZARD & SIEGEL INC

Allegations: AS A RESULT OF THE ACTIVITIES OF [third party]. [third party], A FORMER HAZARD & SIEGEL INC.'S INDEPENDENT CONTRACTOR, MR. MULLEN HAS BEEN NAMED AS A RESPONDENT, ALLEGING THAT HE FAILED TO SUPERVISE [third party's] ACTIVITIES. [third party] RECENTLY PLED GUILTY TO SECURITIES FRAUD. MR MULLEN IS ONE OF 9 RESPONDENTS IN THIS ARBITRATION

Product Type: Annuity-Variable

Alleged Damages: \$1,088,292.30

Alleged Damages Amount Explanation (if amount not exact): THIS IS THE DOLLAR AMOUNT OF THE CLAIM. THE CLAIM ALSO REQUEST RECOVERY OF VARIOUS FEES AND INTEREST ON ALL CLAIMS. ADDITIONALLY, THE AMOUNT CLAIMED BY TWO OF THE CLAIMANTS WAS NOT AVAILABLE.

Arbitration Information

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

Docket/Case #: 11-00312

Date Notice/Process Served: 02/10/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/24/2012



Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: STATE OF NEW YORK SUPREME COURT

Location of Court: COUNTY RENSSELAER

Docket/Case #: 00235553

Date Notice/Process Served: 06/13/2011

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 01/24/2012

Broker Statement THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. MULLEN FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT. MR. MULLEN ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HAZARD & SIEGEL INC.

Allegations: MR. MULLEN HAS BEEN NAMED AS A REPENDENT, ALLEGING FAILURE TO SUPERVISE ONE OF HAZARD & SIEGEL'S FORMER INDEPENDENT CONTRACTOR REGISTERED REPRESENTATIVES, [third party] [third party] RECENTLY PLED GUILTY TO SECURITIES FRAUD. IT IS ALLEGED THAT [third party] MADE FRADULENT WITHDRAWALS FROM CLIENTS ACCOUNTS AND INVESTED THEM IN SEVERAL BOGUS CORPORATIONS. MR. MULLEN IS ONE OF 10 RESPONDENTS IN THIS ARBITRATION.

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$61,460.15

Alleged Damages Amount Explanation (if amount not exact): THE ARBITRATION CLAIM ALSO REQUESTS RELIEF FROM VARIOUS FEES AND INTEREST ON ANY AWARD.

Arbitration Information

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

Docket/Case #: 11-00397



Date Notice/Process Served: 02/10/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/07/2012

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: STATE OF NEW YORK SUPREME COURT

Location of Court: COUNTY RENSSELAER

Docket/Case #: 00235609

Date Notice/Process Served: 06/13/2011

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 03/07/2012

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. MULLEN'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT. MR. MULLEN ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: HAZARD & SIEGEL INC.

Allegations: AS A RESULT OF THE ACTIVITIES OF [THIRD PARTY] A FORMER HAZARD 7 SIEGEL INC. INDEPENDENT CONTRACTOR REGISTERED REPRESENTATIVE, MR. MULLEN HAS BEEN NAMED AS A RESPONDENT, ALLEGING THAT HE FAILED TO SUPERVISE [THIRD PARTY'S] ACTIVITIES. [THIRD PARTY] RECENTLY PLED GUILTY TO SECURITIES FRAUD. MR. MULLEN IS ONE OF 8 RESPONDENTS IN THE CASE.

Product Type: Annuity-Variable

Alleged Damages: \$323,752.71



Alleged Damages Amount Explanation (if amount not exact):

THE ARBITRATION ALSO REQUESTS RECOVERY OF VARIOUS FEES AND INTEREST ON ALL CLAIMS.

Arbitration Information

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

FINRA

Docket/Case #:

11-00476

Date Notice/Process Served:

02/18/2011

Arbitration Pending?

No

Disposition:

Settled

Disposition Date:

12/30/2011

Monetary Compensation Amount:

\$13,000.00

Individual Contribution Amount:

\$0.00

Civil Litigation Information

Type of Court:

State Court

Name of Court:

NEW YORK STATE SUPREME COURT

Location of Court:

COUNTY RENSSELAER

Docket/Case #:

00235661

Date Notice/Process Served:

06/13/2011

Litigation Pending?

No

Disposition:

Dismissed

Disposition Date:

12/30/2011

Monetary Compensation Amount:

\$0.00

Individual Contribution Amount:

\$0.00

Broker Statement

THE AMOUNT LISTED IN THE SETTLEMENT AMOUNT IS AN APPROXIMATION OF THE AMOUNT PAID BY MR. MULLEN'S FIRM. THIS IS THE ONLY PART OF THE SETTLEMENT TO WHICH WE ARE PRIVY. IT WAS PART OF A GLOBAL SETTLEMENT REACHED, AND THE AMOUNTS CONTRIBUTED BY THE OTHER PARTIES WERE NOT DISCLOSED, SUBJECT TO A CONFIDENTIALITY AGREEMENT. MR. MULLEN ASSUMED NO LIABILITY IN THE SERIES OF EVENTS, AND WAS NEVER THE SUBJECT OF ANY REGULATORY INQUIRIES. THE CASE WAS SETTLED IN ORDER TO ALLOW EVERYONE TO MOVE FORWARD.



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:	CADARET GRANT & CO
Termination Type:	Discharged
Termination Date:	01/28/1994
Allegations:	E11940272 MULLEN (R.R.) GUARANTEED CLIENT AGAINST LOSS IN SELLING KRUPP ON SECONDARY MARKET IN VIOLATION OF ARTICLE III, SECTION 19(E) ALLEGED DAMAGES \$0
Product Type:	
Other Product Types:	
Broker Statement	N/A CADARET, GRANT TERMINATED AS A RESULT OF CUSTOMER COMPLAINT FILED ON 1/28/94



End of Report

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