# IAPD Report

# KELLY STOLTE MILLER

CRD# 1336841

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# 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

## KELLY STOLTE MILLER (CRD# 1336841)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **11/14/2025**.

## CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|---|---|---|---|
| B | KOVACK SECURITIES INC. | CRD# 44848 | 10/15/2014 |
| IA | KOVACK ADVISORS, INC. | CRD# 140808 | 01/02/2015 |

## QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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 | RESOURCE HORIZONS INVESTMENT ADVISORY, INC. | 143384 | MARIETTA, GA | 10/09/2007 - 12/31/2014 |
| B | RESOURCE HORIZONS GROUP LLC | 104368 | MARIETTA, GA | 03/02/2001 - 10/15/2014 |
| IA | RESOURCE HORIZONS GROUP, L.L.C. | 104368 | MARIETTA, GA | 01/05/2005 - 12/31/2007 |

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 | 2 |

 

# 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 **37** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **KOVACK SECURITIES INC.**

Main Address: 6451 N. FEDERAL HWY.
SUITE 1201
FT. LAUDERDALE, FL 33308

Firm ID#: 44848

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Principal | Approved | 10/15/2014 |
| B | FINRA | General Securities Representative | Approved | 10/15/2014 |
| B | FINRA | Investment Banking Representative | Approved | 10/15/2014 |
| B | FINRA | Municipal Fund | Approved | 10/15/2014 |
| B | FINRA | Registered Options Principal | Approved | 10/15/2014 |
| B | FINRA | Investment Banking Principal | Approved | 10/01/2018 |
| B | Alabama | Agent | Approved | 10/15/2014 |
| B | Arizona | Agent | Approved | 10/15/2014 |
| B | Arkansas | Agent | Approved | 04/01/2019 |
| B | California | Agent | Approved | 10/15/2014 |
| B | Colorado | Agent | Approved | 10/15/2014 |
| B | Connecticut | Agent | Approved | 10/15/2014 |
| B | Delaware | Agent | Approved | 05/28/2015 |

 

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Florida | Agent | Approved | 11/25/2014 |
| B | Georgia | Agent | Approved | 10/15/2014 |
| B | Illinois | Agent | Approved | 10/15/2014 |
| B | Indiana | Agent | Approved | 12/22/2014 |
| B | Iowa | Agent | Approved | 03/31/2015 |
| B | Kansas | Agent | Approved | 10/15/2014 |
| B | Kentucky | Agent | Approved | 01/28/2015 |
| B | Louisiana | Agent | Approved | 12/10/2014 |
| B | Maine | Agent | Approved | 12/01/2014 |
| B | Maryland | Agent | Approved | 10/15/2014 |
| B | Michigan | Agent | Approved | 08/21/2015 |
| B | Minnesota | Agent | Approved | 06/24/2015 |
| B | Mississippi | Agent | Approved | 10/15/2014 |
| B | Missouri | Agent | Approved | 10/15/2014 |
| B | Nevada | Agent | Approved | 10/15/2014 |
| B | New Hampshire | Agent | Approved | 10/15/2014 |
| B | New York | Agent | Approved | 10/15/2014 |
| B | North Carolina | Agent | Approved | 12/04/2014 |
| B | Oklahoma | Agent | Approved | 12/02/2014 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| B | Oregon | Agent | Approved | 10/15/2014 |
| B | Pennsylvania | Agent | Approved | 10/15/2014 |
| B | Rhode Island | Agent | Approved | 10/15/2014 |
| B | South Carolina | Agent | Approved | 10/15/2014 |
| B | Tennessee | Agent | Approved | 10/15/2014 |
| B | Texas | Agent | Approved | 10/15/2014 |
| B | Vermont | Agent | Approved | 10/15/2014 |
| B | Virginia | Agent | Approved | 10/15/2014 |
| B | Washington | Agent | Approved | 01/16/2015 |
| B | West Virginia | Agent | Approved | 10/14/2015 |
| B | Wisconsin | Agent | Approved | 10/16/2015 |

### Branch Office Locations

**RK ADVISORS**
1337 Canton Rd
Suite A
Marietta, GA 30066

### Employment 2 of 2

| | |
|---|---|
| Firm Name: | **KOVACK ADVISORS, INC.** |
| Main Address: | 6451 N. FEDERAL HWY<br>SUITE 1201<br>FT. LAUDERDALE, FL 33308 |
| Firm ID#: | 140808 |

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Florida | Investment Adviser Representative | Approved | 02/09/2015 |

## Qualifications

| | Regulator | Registration | Status | Date |
|---|---|---|---|---|
| IA | Georgia | Investment Adviser Representative | Approved | 01/07/2015 |
| IA | Texas | Investment Adviser Representative | Restricted Approval | 01/05/2015 |

### Branch Office Locations

**KOVACK ADVISORS, INC.**
1337 Canton Rd
Suite A
Marietta, GA 30066

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

### Principal/Supervisory Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Municipal Fund Securities Principal Examination (S51) | Series 51 | 02/27/2003 |
| B | Registered Options Principal Examination (S4) | Series 4 | 10/27/2000 |
| B | General Securities Principal Examination (S24) | Series 24 | 12/20/1990 |

### General Industry/Product Exams

| | Exam | Category | Date |
|---|---|---|---|
| B | Investment Banking Registered Representative Examination (S79TO) | Series 79TO | 01/02/2023 |
| B | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B | General Securities Representative Examination (S7) | Series 7 | 03/16/1985 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination (S65) | Series 65 | 01/09/2007 |
| B | Uniform Securities Agent State Law Examination (S63) | Series 63 | 03/25/1985 |

## 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 | 10/09/2007 - 12/31/2014 | RESOURCE HORIZONS INVESTMENT ADVISORY, INC. | CRD# 143384 | MARIETTA, GA |
| B | 03/02/2001 - 10/15/2014 | RESOURCE HORIZONS GROUP LLC | CRD# 104368 | MARIETTA, GA |
| IA | 01/05/2005 - 12/31/2007 | RESOURCE HORIZONS GROUP, L.L.C. | CRD# 104368 | MARIETTA, GA |
| B | 09/26/1997 - 03/13/2001 | CENTENNIAL CAPITAL MANAGEMENT, INC. | CRD# 38988 | ATLANTA, GA |
| B | 09/03/1992 - 05/06/1998 | CANADA LIFE OF AMERICA FINANCIAL SERVICES, INC. | CRD# 24220 | GREENWOOD VILLAGE |
| B | 06/30/1992 - 10/17/1997 | CADARET, GRANT & CO., INC. | CRD# 10641 | SYRACUSE, NY |
| B | 01/13/1992 - 07/07/1992 | NORTH AMERICAN FINANCIAL GROUP, INC. | CRD# 22273 | WARREN, MI |
| B | 05/20/1991 - 12/26/1991 | KEOGLER, MORGAN & COMPANY, INC. | CRD# 16546 | ATLANTA, GA |
| B | 09/25/1990 - 05/23/1991 | INVESTACORP, INC. | CRD# 7684 | MIAMI, FL |
| B | 01/15/1990 - 08/10/1990 | RAYMOND JAMES & ASSOCIATES, INC. | CRD# 705 | ST. PETERSBURG, FL |
| B | 10/14/1988 - 01/16/1990 | INTERSTATE/JOHNSON LANE CORPORATION | CRD# 431 | CHARLOTTE, NC |
| B | 03/19/1985 - 10/14/1988 | JOHNSON, LANE, SPACE, SMITH & CO., INC. | CRD# 472 | |

## 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 |
|---|---|---|---|---|
| 01/2015 - Present | KOVACK ADVISORS, INC. | INVESTMENT ADVISOR REPRESENTATIVE | Y | FORT LAUDERDALE, FL, United States |
| 10/2014 - Present | KOVACK SECURITIES INC. | Mass Transfer | Y | MARIETTA, GA, United States |

# Registration & Employment History

## EMPLOYMENT HISTORY

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|---|---|---|---|---|
| 09/1990 - Present | OAK TREE GROUP | PRESIDENT | Y | ATLANTA, GA, United States |

## OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

MRS. MILLER IS THE OWNER OF OAK TREE GROUP WHICH OFFERS FINANCIAL PLANNING SERVICES. OAK TREE GROUP HAS BEEN IN EXISTENCE SINCE 1990. MRS. MILLER SPENDS 15 HOURS WEEKLY DEVOTED TO RUNNING THE ACTIVITIES OF THE FIRM. MRS. MILLER'S DUTIES INCLUDE CLIENT MANAGEMENT PRIMARILY AS IT RELATES TO ACCOUNT REVIEW. THE ADDRESS OF THE OFFICE IS LOCATED AT 1337 Canton Rd, Suite A, Marietta, GA 30066.
2) FIXED INSURANCE - 1337 Canton Rd, Suite A, Marietta, GA 30066; TERM, HEALTH, STD, LTC, DI AND UL; NON INVESTMENT RELATED; AGENT; AS PART OF MY BASIC HOLISTIC FINANCIAL PLANNING PRACTICE, AT TIMES INSURANCE IS RECOMMENDED; 5% OF TIME SPENT
3) PEO-CHAPTER AQ; TREASURER; MAINTAIN BOOKS AND RECORDS; NON-INVESTMENT RELATED ACTIVITY; 1% OF TIME SPENT

# 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 | 2 |

### 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:** | Individual |
| **Regulatory Action Initiated By:** | Office of Commissioner of Insurance State of Gerogia |
| **Sanction(s) Sought:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Date Initiated:** | 07/29/2016 |
| **Docket/Case Number:** | 11017017 |
| **Employing firm when activity occurred which led to the regulatory action:** | Kovack Securities, Inc. |
| **Product Type:** | No Product |
| **Allegations:** | Representative answered a question incorrectly when she submitted a license renewal application. |
| **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?** | Yes |
| **Resolution Date:** | 08/18/2016 |
| **Sanctions Ordered:** | Civil and Administrative Penalty(ies)/Fine(s) |

 

**Monetary Sanction 1 of 1**

| | |
|---|---|
| **Monetary Related Sanction:** | Civil and Administrative Penalty(ies)/Fine(s) |
| **Total Amount:** | $300.00 |
| **Portion Levied against individual:** | $300.00 |
| **Payment Plan:** | |
| **Is Payment Plan Current:** | |
| **Date Paid by individual:** | 08/18/2016 |
| **Was any portion of penalty waived?** | No |
| **Amount Waived:** | |
| **Broker Statement** | This order was issued when, by mistake, I answered a question on the State Insurance renewall application incorrectly. I had no intent whatsoever to mislead the agency, since all matters are fully disclosed on FINRA's BrokerCheck; I simply checked the wrong box in a clerical error. Upon receiving the Order with notice of the mistake, I immediately corrected the answer and paid the $300 penalty. The language in the order is excessively disproportionate to the event that caused it: a clerical mistake regarding events that are fully disclosed. |

## 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 2

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | RESOURCE HORIZONS GROUP, L.L.C. |
| **Allegations:** | CLIENT ALLEGES THAT SHE INVESTED IN ENCAP TECHNOLOGIES THROUGH ROBERT GIST AND THAT GIST COMMITTED FRAUD. CLAIMANT ALLEGES THAT RESOURCE HORIZONS AND ITS OFFICERS/CONTROL PERSONS FAILED TO SUPERVISE GIST. KELLY MILLER WAS NAMED AS RESPONDENT AS A CONTROL PERSON OF RESOURCE HORIZONS. |
| **Product Type:** | Other: PRIVATE PLACEMENT - ENCAP |
| **Alleged Damages:** | $79,000.00 |
| **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 DISPUTE RESOLUTION |
| **Docket/Case #:** | 14-02298 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 07/15/2014 |

### Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/02/2014 |
| **Complaint Pending?** | No |
| **Status:** | Evolved into Arbitration/CFTC reparation (the individual is a named party) |
| **Status Date:** | 09/02/2014 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |

### Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA DISPUTE RESOLUTION |
| **Docket/Case #:** | 14-02298 |
| **Date Notice/Process Served:** | 09/02/2014 |

 

| | |
|---|---|
| **Arbitration Pending?** | No |
| **Disposition:** | Settled |
| **Disposition Date:** | 08/07/2015 |
| **Monetary Compensation Amount:** | $500.00 |
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | CLAIMANT WAS NOT A CUSTOMER OF RESOURCE HORIZONS GROUP. THE FIRM DENIES IT FAILED TO SUPERVISE GIST AND INTENDS TO VIGOROUSLY DEFEND ITSELF.<br>AMENDMENT OF 4/27/15 WAS FILED TO CORRECTLY PLACE INFORMATION IN FIELDS 12 - 16; PLS. NOTE DRP FORMS DOES NOT ALLOW FOR CLEARING INFORMATION PREVIOUSLY SHOWN IN #7 - 11. NAME RESPONDENT COMPLAINT ONLY. |

**Disclosure 2 of 2**

| | |
|---|---|
| **Reporting Source:** | Regulator |
| **Employing firm when activities occurred which led to the complaint:** | RESOURCE HORIZONS GROUP, LLC |
| **Allegations:** | NEGLIGENT HIRING/RETENTION; FAILURE TO SUPERVISE PURSUANT TO NASD CONDUCT RULE 3010; RESPONDEAT SUPERIOR/AGENCY BY ESTOPPEL; AND VIOLATIONS OF GEORGIA'S BLUE SKY LAW. |
| **Product Type:** | No Product |
| **Alleged Damages:** | $3,503,628.56 |

## Arbitration Information

| | |
|---|---|
| **Arbitration/Reparation Claim filed with and Docket/Case No.:** | FINRA - CASE #13-01901 |
| **Date Notice/Process Served:** | 06/26/2013 |
| **Arbitration Pending?** | No |
| **Disposition:** | Award |
| **Disposition Date:** | 09/19/2014 |
| **Disposition Detail:** | RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANTS TOTAL COMPENSATORY DAMAGES OF $3,303,628.56 PLUS INTEREST. |
| **Regulator Statement** | The award against Kelly Miller was discharged through Bankruptcy filed in U.S. Bankruptcy Ct., GA, Case # 14-70697 |

| | |
|---|---|
| **Reporting Source:** | Individual |
| **Employing firm when activities occurred which led to the complaint:** | RESOURCE HORIZONS GROUP, L.L.C. |
| **Allegations:** | CLAIMANTS ALLEGE THAT [THIRD PARTY] COMMITTED FRAUD AND MISAPPROPRIATED FUNDS. IN ADDITION, CLAIMANTS ALLEGE RESOURCE HORIZONS AND ITS OFFICERS/CONTROL PERSONS FAILED TO SUPERVISE |

| | |
|---|---|
| | [THIRD PARTY]. KELLY MILLER WAS NAMED AS RESPONDENT AS A CONTROL PERSON OF RESOURCE HORIZONS GROUP. |
| **Product Type:** | Other: NOT PROVIDED |
| **Alleged Damages:** | $2,900,000.00 |
| **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 DISPUTE RESOLUTION |
| **Docket/Case #:** | 13-01901 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 08/27/2013 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 09/03/2013 |
| **Complaint Pending?** | No |
| **Status:** | Evolved into Arbitration/CFTC reparation (the individual is a named party) |
| **Status Date:** | 09/03/2013 |
| **Settlement Amount:** | |
| **Individual Contribution Amount:** | |

## Arbitration Information

| | |
|---|---|
| **Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** | FINRA DISPUTE RESOLUTION |
| **Docket/Case #:** | 13-01901 |
| **Date Notice/Process Served:** | 09/03/2013 |
| **Arbitration Pending?** | No |
| **Disposition:** | Award to Customer |
| **Disposition Date:** | 09/19/2014 |
| **Monetary Compensation Amount:** | $5,750,765.50 |
| **Individual Contribution Amount:** | $0.00 |
| **Broker Statement** | RESOURCE HORIZONS DENIES THAT IT FAILED TO REASONABLY SUPERVISE ROBERT GIST. ARBITRATION AWARD FOUND RESOURCE HORIZONS GROUP, DAVID MILLER AND KELLY MILLER JOINTLY AND SEVERALLY LIABLE. |

 

## End of Report

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