



IAPD Report

GEORGE ROBERT VEATER

CRD# 1482361

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

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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

GEORGE ROBERT VEATER (CRD# 1482361)

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 **09/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **34** 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	SAGEPOINT FINANCIAL, INC.	133763	FRESNO, CA	11/05/2020 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	FRESNO, CA	11/04/2020 - 09/01/2023
IA	LPL FINANCIAL LLC	6413	FRESNO, CA	10/23/2012 - 11/11/2020

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	1
Customer Dispute	6



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/05/2024
B	Georgia	Agent	Approved	09/01/2023
B	Hawaii	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
B Kansas	Agent	Approved	09/01/2023
B Maine	Agent	Approved	09/01/2023
B Maryland	Agent	Approved	09/01/2023
B Minnesota	Agent	Approved	09/01/2023
B Missouri	Agent	Approved	09/01/2023
B Montana	Agent	Approved	09/01/2023
B Nevada	Agent	Approved	09/01/2023
B New Jersey	Agent	Approved	09/01/2023
B New Mexico	Agent	Approved	09/01/2023
B New York	Agent	Approved	09/01/2023
B North Carolina	Agent	Approved	09/01/2023
B Ohio	Agent	Approved	04/11/2024
B Oklahoma	Agent	Approved	09/01/2023
B Oregon	Agent	Approved	09/01/2023
B Pennsylvania	Agent	Approved	09/01/2023
B South Carolina	Agent	Approved	09/01/2023
B South Dakota	Agent	Approved	09/01/2023
B Tennessee	Agent	Approved	09/01/2023
B Texas	Agent	Approved	09/01/2023



Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B Utah	Agent	Approved	09/01/2023
B Virginia	Agent	Approved	09/01/2023
B Washington	Agent	Approved	09/01/2023
B Wisconsin	Agent	Approved	09/01/2023
B Wyoming	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
7108 NORTH FRESNO STREET
SUITE 410
FRESNO, CA 93720

OSAIC WEALTH, INC.
60 POINTE DRIVE
SUITE 101
BREA, CA 92821




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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/21/1988

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/08/1995
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/12/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/30/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/07/1995

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	11/05/2020 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	FRESNO, CA
IA	11/04/2020 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	FRESNO, CA
IA	10/23/2012 - 11/11/2020	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
B	10/19/2012 - 11/11/2020	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
IA	08/06/2002 - 10/22/2012	SPC	CRD# 110692	FRESNO, CA
B	10/29/1998 - 10/22/2012	SIGMA FINANCIAL CORPORATION	CRD# 14303	FRESNO, CA
B	11/06/1997 - 11/09/1998	APEX CAPITAL, L.L.C.	CRD# 40803	HARPER WOODS, MI
B	11/07/1995 - 12/18/1997	EAST - WEST CAPITAL CORPORATION	CRD# 16348	
B	05/13/1993 - 12/31/1994	NORTH AMERICAN MANAGEMENT, INC.	CRD# 624	SIOUX FALLS, SD
B	05/13/1986 - 04/27/1993	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	FRESNO, CA, United States
11/2020 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States
10/2012 - 11/2020	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States



Registration & Employment History



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. VEATER RANCH AND CATTLE CO

POSITION: Owner NATURE: Working Cattle Ranch, Rodeos, Bronc Riding School INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1995

ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States

DESCRIPTION: Working cattle, shipping, branding, gathering etc. Offers Bronc Riding School. Host Bronc/Rodeo Events.

2. ZERO GRAVITY COWBOYS

POSITION: Owner NATURE: Bronc riding school with you tube videos and website INVESTMENT RELATED: No NUMBER OF HOURS: 25 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2019

ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States

DESCRIPTION: N/A

3. SENIOR STRATEGIES, INC

POSITION: President NATURE: S. Corp for tax purposes INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1990

ADDRESS: 7108 N Fresno Street Ste #410, Fresno CA 93720, United States

DESCRIPTION: N/A

4. VEATER FINANCIAL GROUP

POSITION: Financial Professional NATURE: DBA/Marketing Name INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 06/01/2021

ADDRESS: 7108 N. Fresno Street Ste #410, Fresno CA 93720, United States

DESCRIPTION: DBA/Marketing Name for securities business

5. AIR BNB

POSITION: Owner NATURE: Individual INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 09/01/2020

ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States

DESCRIPTION: Property Owner

6. 2.GEORGE VEATER

POSITION: Owner NATURE: Rental INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/21/2021 ADDRESS: 35729 HWY 41 Coarsegold CA 93614 DESCRIPTION: No duties other than an occasional visit if something is wrong.



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	6

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:	CALIFORNIA DEPARTMENT OF CORPORATIONS
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	02/01/2000
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	ORDERS WERE ISSUED BASED ON THE OFFER AND/OR SALE BY THIS INDIVIDUAL OF PROMISSORY NOTES ISSUED BY FIRST LENDERS INDEMNITY CORPORATION OF FLORIDA, BOSTON ACCEPTANCE COMPNAY, DBA FIRST LENDERS INDEMNITY COMPANY OF CALIFORNIA, JONATHON PIERPONT BOSTON, FKA JOHN R. MARSELLA, SHIRLEY FAINO, FKA SHIRLEY MARSELLA, AND/OR JIM CUNNINGHAM AND BY JETLEASE FINANCE CORPORATION, DAVID LACROIZ AND/OR MARK BLACHER. THE DEPARTMENT OF COPORATIONS HAS DETERMINED THAT SUCH PROMISSORY NOTES AND JOINT VENTURE INTERESTS ARE SECURITIES FOR WHICH NO EXEMPTION FROM QUALIFICATION APPLIES, AND THAT THE ISSUANCE OF SUCH ORDER/ORDERS IS IN THE PUBLIC INTEREST.
Current Status:	Final



Resolution: Order
Resolution Date: 02/01/2000
Sanctions Ordered: Cease and Desist/Injunction
Other Sanctions Ordered:
Sanction Details: DESIST AND REFRAIN ORDER ISSUED.
Regulator Statement DESIST AND REFRAIN ORDERS WERE ISSUED AGAINST THIS INDIVIDUAL FOR VIOLATIONS OF CALIFORNIA CORPORATIONS CODE SECTIONS 25100, SALE OF AN UNQUALIFIED SECURITY, AND 25401, SALE OF SECURITY BY MEANS OF A COMMUNICATION WHICH INCLUDES A MATERIAL MISREPRESENTATION OR OMISSION.

CONTACT PERSON: DAN O'DONNELL 916-445-3682

Reporting Source: Individual
Regulatory Action Initiated By: STATE OF CALIFORNIA DEPARTMENT OF CORPORATIONS
Sanction(s) Sought: Cease and Desist
Other Sanction(s) Sought:
Date Initiated: 02/01/2000
Docket/Case Number: ALPHA
Employing firm when activity occurred which led to the regulatory action: ALIRON SECURITIES
Product Type: Other
Other Product Type(s): UNREGISTERED PROMISSARY NOTES
Allegations: MR VEATER SOLD PROMISSORY NOTES IN 1995 IN WHICH THE STATE OF CALIFORNIA LATER ISSUED AN OPINION THAT SUCH NOTES REQUIRED QUALIFICATION UNDER THE CALIFORNIA SECURITIES LAWS OF 1968, SECTION 25110. MR. VEATER RELIED ON THE REPRESENTATIONS OF THE ISSUER AND ISSUER'S COUNSEL THAT SUCH NOTES WERE NOT CONSIDERED SECURITIES.
Current Status: Final
Resolution: Order
Resolution Date: 02/01/2000
Sanctions Ordered: Cease and Desist/Injunction
Other Sanctions Ordered:
Sanction Details: MR. VEATER MUST REFRAIN FROM OFFERING UNREGISTERED PROMISSORY NOTES TO HIS CLIENTS. MR VEATER HAS NOT OFFERED OR SOLD SUCH NOTES SINCE 1995.
Broker Statement MR. VEATER HAS VOLUNTATILY REFRAINED FROM OFFERING PROMISSARY NOTES TO HIS CLIENTS SINCE 1996. CEASE AND DESIST ONLY EFFECTS SUCH NON REGISTERED PROMISSARY NOTES.



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 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: Client alleges that in 1997, he purchased investments that were unsuitable and misrepresented.

Product Type: Real Estate Security

Alleged Damages: \$137,000.00

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: 04/04/2022

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/06/2023

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: Client alleges that in 1997, he purchased investments that were unsuitable and misrepresented.

Product Type: Real Estate Security

Alleged Damages: \$137,000.00

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: 04/04/2022

Complaint Pending? No

Status: Denied

Status Date: 04/21/2022

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT DOES NOT SPECIFIC DAMAGE AMOUNT, BUT ALLEGES REGISTERED REP'S RECOMMENDATION TO PURCHASE VARIABLE ANNUITIES WAS UNSUITABLE. (DAMAGES AMT. ESTIMATED OVER \$5,000 BASED ON SURRENDER CHARGES IF CLIENT OPTED TO SURRENDER ALL OR PART OF VARIABLE ANNUITY POLICY).

Product Type: Annuity(ies) - Variable

Other Product Type(s): INSURANCE

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/20/2004

Complaint Pending? No

Status: Denied

Status Date: 01/06/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES MISMANAGEMENT OF INVESTMENT ACCOUNT BY REGISTERED REP HAS CAUSED INVESTMENT LOSSES.

Product Type: Mutual Fund(s)

Other Product Type(s): MANAGED ACCOUNT (FEE BASED)
EQUITIES - OTC, LISTED
OPTIONS

Alleged Damages: \$720,000.00

Customer Complaint Information



Date Complaint Received: 05/24/2004

Complaint Pending? No

Status: Denied

Status Date: 06/22/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: APEX CAPITAL

Allegations: UNSUITABLE RECOMMENDATIONS IN 1996&1997. PURCHASE OF (1) INTERSTATE DIVERSIFIED 12% NOTE (2) ADN/MOTORMALL USA LLC NT (FAILED IN 1998) (3) MCA PASS-THRU CERT #124 (FAILED IN 1999) (4) OPPENHEIMER INTERNATIONAL BOND FUND-B.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 08/08/2003

Complaint Pending? No

Status: Denied

Status Date: 09/01/2003

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: APEX CAPITAL & SIGMA FINANCIAL CORP.

Allegations: CLIENT ALLEGES THEY WERE SOLD UNSUITABLE INVESTMENTS, GIVEN THEIR OBJECTIVES & RISK EXPOSURE.

Product Type: Other

Other Product Type(s): SEPT. 1997 BOUGHT MCA MORTGAGE POOL INVESTMENTS WHICH LATER WENT INTO RECEIVERSHIP. IN MID-1999 BOUGHT BOTH LISTED OTC & LISTED EQUITES AND OPTIONS.

Alleged Damages: \$200,000.00

Customer Complaint Information



Date Complaint Received: 08/08/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 08/08/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 03-05437

Date Notice/Process Served: 08/08/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/29/2004

Monetary Compensation Amount: \$85,000.00

Individual Contribution Amount: \$40,000.00

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING AND UNSUITABLE TRADES IN A SIGNED WRAP (MANAGED) ACCOUNT AGREEMENT. CLIENT MAKES FURTHER CLAIMS AGAINST REGISTERED REP AND OUSIDE MONEY MANAGER WITH POOR PERFORMANCE RESULTS.

Product Type: Options

Other Product Type(s): WRAP ACCOUNT
MUTUAL FUNDS
OPTIONS - COVERED CALL WRITING
EQUITIES - LISTED & OTC, VARIOUS

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 05/23/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 03/10/2004

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 04-00630
Date Notice/Process Served:	03/10/2004
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/11/2004
Monetary Compensation Amount:	\$125,000.00
Individual Contribution Amount:	\$10,000.00



End of Report

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