



## IAPD Report

# MARK DAVID YADRON

CRD# 1520648

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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

### MARK DAVID YADRON (CRD# 1520648)

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 **03/11/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	08/06/2020
<b>IA</b>	KESTRA PRIVATE WEALTH SERVICES, LLC	CRD# 155193	08/07/2020

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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>B</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PRESCOTT, AZ	03/01/2013 - 08/07/2020
<b>IA</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PRESCOTT, AZ	03/01/2013 - 08/07/2020
<b>B</b>	MORGAN STANLEY	149777	PRESCOTT, AZ	06/01/2009 - 03/14/2013

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
Criminal	1
Customer Dispute	8
Judgment/Lien	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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 2

Firm Name: **KESTRA INVESTMENT SERVICES, LLC**  
Main Address: 5707 SOUTHWEST PARKWAY  
BUILDING 2, SUITE 400  
AUSTIN, TX 78735  
Firm ID#: 42046

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	08/06/2020
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	08/06/2020
<b>B</b>	FINRA	Municipal Securities Representative	Approved	08/06/2020
<b>B</b>	Arizona	Agent	Approved	08/06/2020
<b>B</b>	California	Agent	Approved	08/06/2020
<b>B</b>	Florida	Agent	Approved	12/17/2021
<b>B</b>	Idaho	Agent	Approved	07/23/2025
<b>B</b>	Indiana	Agent	Approved	01/19/2021
<b>B</b>	Kentucky	Agent	Approved	04/10/2024
<b>B</b>	New Mexico	Agent	Approved	02/19/2024
<b>B</b>	New York	Agent	Approved	08/06/2020
<b>B</b>	Oregon	Agent	Approved	08/04/2025
<b>B</b>	Wisconsin	Agent	Approved	08/06/2020



## Qualifications

### Branch Office Locations

**NFP ADVISOR SERVICES, LLC**  
325 W Gurley  
Suite 103  
Prescott, AZ 86301

**NFP ADVISOR SERVICES, LLC**  
PRESCOTT, AZ

### Employment 2 of 2

Firm Name: **KESTRA PRIVATE WEALTH SERVICES, LLC**  
Main Address: 5707 SOUTHWEST PARKWAY  
BLDG. 2 STE 400  
AUSTIN, TX 78735  
Firm ID#: 155193

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	08/07/2020

### Branch Office Locations

**KESTRA PRIVATE WEALTH SERVICES, LLC**  
325 West Gurley St Suite 103  
Prescott, AZ 86301

**KESTRA PRIVATE WEALTH SERVICES, LLC**  
PRESCOTT, AZ



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

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/18/2008
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/26/2007

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	05/27/2005
General Securities Representative Examination (S7)	Series 7	02/26/1996
Municipal Securities Representative Examination (S52)	Series 52	10/02/1995

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/02/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	10/12/1995

### 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	03/01/2013 - 08/07/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PRESCOTT, AZ
IA	03/01/2013 - 08/07/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	PRESCOTT, AZ
B	06/01/2009 - 03/14/2013	MORGAN STANLEY	CRD# 149777	PRESCOTT, AZ
IA	06/01/2009 - 03/14/2013	MORGAN STANLEY	CRD# 149777	PRESCOTT, AZ
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PRESCOTT, AZ
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PRESCOTT, AZ
IA	04/15/2005 - 04/02/2007	MORGAN STANLEY	CRD# 7556	PRESCOTT, AZ
B	04/15/2005 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	PRESCOTT, AZ
B	08/13/1997 - 04/20/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
IA	07/08/1997 - 04/20/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	SUN CITY, AZ
B	12/12/1995 - 07/22/1997	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

### 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
08/2020 - Present	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PRESCOTT, AZ, United States
08/2020 - Present	KESTRA PRIVATE WEALTH SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PRESCOTT, AZ, United States
05/2013 - Present	BANK OF AMERICA, N.A.	AVP; FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2013 - Present	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	AVP; FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, 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.

Business Name: American Wealth Management Investment Related: Yes Address: 325 West Gurley #103 Prescott AZ 86303  
 Nature of Business: Registered Rep Activities through Kestra Investment Services, LLC using a DBA name; Insurance; Investment Advisory services through an independent outside RIA Position, Title or Relationship: Financial Advisor Start Date: 8/6/2020 Hours per month: 21% - 30% (33 - 48 hours) Hours per month during trading hours: 21% - 30% (29 - 42 hours) Duties: Executing trades on client behalf



## 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
Criminal	1
Customer Dispute	8
Judgment/Lien	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	LAKE HAYASU MUNICIPAL COURT 91CB260
<b>Charge Date:</b>	03/25/1991
<b>Charge Details:</b>	FALSE INFORMATION TO A POLICE OFFICER
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	03/26/1991
<b>Disposition Details:</b>	MISDEMEANOR, 1 YEAR UNSUPERVISED PROBATION, SUSPENDED JAIL SENTENCE OF 6 MONTHS \$72.00 FINE WAS PAID, 16 HOURS OF COMMUNITY SERVICE, BE A LAW -ABIDING CITIZEN AND NOTIFY THE COUR IF ANY CHANGE IN ADDRESS DURING PROBATIONARY PERIOD.
<b>Broker Statement</b>	THIS INCIDENT HAPPENED DURING SPRING BREAK AT LAKE HAVASO. I WAS DRINKING BEERS WITH MY FRIENDS WHEN AN OFFICER ASKED US OUR AGES. I TOLD HIM I WAS 21 YEARS OLD WHEN I WAS ONLY 20. I WAS SCARED TO TELL HIM I WAS ONLY 20 BECAUSE HE WOULD HAVE TO CONTACT MY PARENTS. WHEN I TOLD HIM MY REAL AGE I WAS ARRESTED FOR MINOR IN POS OF ALCHOHOL AND FALSE INFO TO POLICE. I PAID A \$72.00 FINE AND DID 16 HOURS OF COMMUNITY SERVICE AT MY CHURCH AND THE CASE WAS SETTLED. I DID NOT DISCLOSE THIS INCIDENT ON THE U-4 THE FIRST TIME BECAUSE I THOUGHT ONLY FELONIES & SECURITY RELATED MISDEMEANORS NEEDED TO BE DISCLOSED. I HOPE THE EXPLANATION BRINGS THIS CASE TO A POSITIVE CONCLUSION.



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## 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 8

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	KESTRA INVESTMENT SERVICES, LLC
<b>Allegations:</b>	The claimant alleges the representative misrepresented and recommended unsuitable annuities.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$200,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	26-00293
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	02/06/2026

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/09/2026
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Disclosure 2 of 8

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Merrill Lynch, Pierce, Fenner & Smith Incorporated
<b>Allegations:</b>	The customer alleges unsuitable investment recommendations in March 2020.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$0.00



**Alleged Damages Amount Explanation (if amount not exact):** Damages are not specified.

**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:** 10/02/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/24/2020

**Settlement Amount:** \$4,986.71

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Allegations:** The customer alleges unsuitable investment recommendations in March 2020.

**Product Type:** Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Damages are not specified.

**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:** 10/09/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/24/2020

**Settlement Amount:** \$4,986.71

**Individual Contribution Amount:** \$0.00



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Allegations:** The customer alleges unsuitable investment recommendations in November 2018.

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$129,584.00

**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:** 08/12/2019

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/24/2019

#### Settlement Amount:

**Individual Contribution Amount:**

### Disclosure 4 of 8

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Allegations:** The Customer alleges unauthorized trading in August 2016.

**Product Type:** Other: Closed end funds

**Alleged Damages:** \$5,095.35

**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:** 02/03/2017

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/23/2017

**Settlement Amount:** \$5,095.35

**Individual Contribution Amount:** \$0.00

**Disclosure 5 of 8**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Merrill Lynch, Pierce, Fenner & Smith Incorporated

**Allegations:** The Customers allege unauthorized trading from August 2016 to October 2016.

**Product Type:** Mutual Fund

**Alleged Damages:** \$8,983.26

**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:** 12/13/2016

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/23/2017

**Settlement Amount:** \$2,825.66

**Individual Contribution Amount:** \$0.00

**Disclosure 6 of 8**

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGES UNSUITABLE INVESTMENTS IN HER ACCOUNT.

**Product Type:** Equity - OTC

**Alleged Damages:** \$93,000.00

**Customer Complaint Information**

**Date Complaint Received:** 02/01/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/15/2002

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**



**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD 02-03843

**Date Notice/Process Served:** 07/15/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/01/2004

**Monetary Compensation Amount:** \$9,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** MR. YADRON WAS DISMISSED FROM THIS MATTER ON 3/19/04.

#### Disclosure 7 of 8

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGED THAT THE SALE OF APPLIED MATERIALS COMMON STOCK ON APRIL 13, 1999 WAS UNAUTHORIZED. NO SPECIFIC DAMAGES WERE CLAIMED.

**Product Type:** Equity - OTC

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 06/17/2000

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/13/2000

**Settlement Amount:** \$5,199.00

**Individual Contribution Amount:** \$2,599.00

**Broker Statement** MERRILL LYNCH DENIED CUSTOMER'S CLAIM OF UNAUTHORIZED TRADING, WHICH WAS 14 MONTHS AFTER THE TRADE IN QUESTION. HOWEVER, MERRILL LYNCH REIMBURSED COMMISSIONS TOTALING \$5,199, WHICH WAS THE DIFFERENCE BETWEEN THE COMMISSION CHARGED AND THE AGREED UPON DISCOUNT.

#### Disclosure 8 of 8

**Reporting Source:** Firm

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

**Allegations:** CUSTOMER ALLEGED UNAUTHORIZED BUY OF 85K BONDS



**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 05/19/1997

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement**

THE TRADE WAS NOT UNAUTHORIZED THERE WAS A DISPUTE IN THE QUANTITY. CUSTOMER HAS AGREED TO KEEP 10K AND OLDE WILL TAKE BACK 75K.  
Not Provided

**Reporting Source:**

Individual

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

OLDE DISCOUNT CORPORATION

**Allegations:**

CUSTOMER ALLEGED UNAUTHORIZED BUY OF 85 BONDS

**Product Type:**

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 05/19/1997

**Complaint Pending?** No

**Status:** Settled

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THIS TRADE WAS NOT UNAUTHORIZED. THERE WAS A DISPUTE IN THE QUANTITY. CUSTOMER HAS AGREED TO KEEP 10 AND OLDE WILL TAKE BACK THE 75.  
THE CUSTOMER HAD 85 BONDS THAT HAD MATURED. I PRESENTED HIM WITH 85 SAN DIEGO PORT AUTHORITY AAA INSURED BONDS. HE AGREED TO THE PURCHASE. I READ BACK THE ORDER A MINIMUM OF 2 TIMES IN FRONT OF MY BRANCH MANAGER AND ANOTHER BROKER BECAUSE OF THE SIZE OF THE TRADE. HE CONFIRMED THE PURCHASE. I RAN THE TRADE. AFTER THE MARKET CLOSED AROUND 3PM PACIFIC TIME HE CALLED BACK AND SAID HE DIDNT WANT ALL THE BONDS, JUST SOME CAUSE HE REALIZED HE NEEDED THE MONEY TO BUY A HOUSE. I SAID SORRY THEY ARE LONG IN YOUR ACCT & THE MARKET IS CLOSED & I WAS NOT GOING TO BUST THE TRADE BASED ON BUYERS ROMORSE. I TOLD HIM ID CALL HIM TOMORROW. THE NEXT DAY HE



CALLED CUSTOMER SERVICE & FROM THERE IT WAS HANDLED BY MY DISTRICT MANAGER & CUSTOMER SERVICE.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	State of Arizona
<b>Judgment/Lien Amount:</b>	\$18,832.48
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	04/12/2023
<b>Date Individual Learned:</b>	05/26/2023
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	State of Arizona
<b>Location of Court:</b>	Maricopa, AZ
<b>Docket/Case #:</b>	20230217573
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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