



IAPD Report

KIMBERLY JOAN DEPROSPERO

CRD# 1681944

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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

KIMBERLY JOAN DEPROSPERO (CRD# 1681944)

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 **04/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/09/2011
IA	IFG ADVISORY, LLC	CRD# 168012	08/28/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	LPL FINANCIAL LLC	6413	FORT MILL, SC	09/13/2011 - 12/05/2017
IA	SECURITIES AMERICA ADVISORS, INC.	110518	WESTON, FL	12/12/2003 - 08/09/2011
B	SECURITIES AMERICA, INC.	10205	WESTON, FL	12/02/2003 - 08/09/2011

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
Customer Dispute	9



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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/09/2011
B	FINRA	General Securities Representative	Approved	08/09/2011
B	FINRA	Invest. Co and Variable Contracts	Approved	08/09/2011
B	Alaska	Agent	Approved	04/03/2017
B	Colorado	Agent	Approved	02/24/2021
B	Connecticut	Agent	Approved	09/22/2016
B	Florida	Agent	Approved	09/13/2011
B	Georgia	Agent	Approved	09/19/2011
B	Illinois	Agent	Approved	06/14/2023
B	Maine	Agent	Approved	10/05/2011
B	Maryland	Agent	Approved	01/26/2016
B	Massachusetts	Agent	Approved	12/19/2013
B	Nevada	Agent	Approved	09/15/2011



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	01/14/2019
B New Jersey	Agent	Approved	09/26/2011
B New Mexico	Agent	Approved	02/07/2014
B New York	Agent	Approved	09/15/2011
B North Carolina	Agent	Approved	08/09/2011
B Ohio	Agent	Approved	09/14/2011
B Oregon	Agent	Approved	08/09/2011
B South Carolina	Agent	Approved	12/03/2018
B Texas	Agent	Approved	10/25/2011
B Virginia	Agent	Approved	10/06/2011
B Washington	Agent	Approved	08/21/2023
B Wyoming	Agent	Approved	04/04/2014

Branch Office Locations

LPL FINANCIAL LLC
6301 NW 5TH WAY STE 2000
FORT LAUDERDALE, FL 33309

Employment 2 of 2

Firm Name: **IFG ADVISORY, LLC**
Main Address: 200 ASHFORD CENTER NORTH
SUITE 400
ATLANTA, GA 30338
Firm ID#: 168012



Qualifications

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	08/28/2017

Branch Office Locations

IFG ADVISORY, LLC

500 Sawgrass Corporate Parkway
Suite 100
Sunrise, FL 33325



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
B General Securities Principal Examination (S24)	Series 24	08/13/1999

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	02/12/1996
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/24/1990

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1997
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/20/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/13/2011 - 12/05/2017	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	12/12/2003 - 08/09/2011	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	WESTON, FL
B	12/02/2003 - 08/09/2011	SECURITIES AMERICA, INC.	CRD# 10205	WESTON, FL
IA	12/17/2002 - 12/01/2003	VERAVEST INVESTMENT ADVISORS, INC.	CRD# 105796	MIRAMAR, FL
B	09/26/1990 - 12/01/2003	VERAVEST INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA
IA	03/03/1993 - 11/19/2002	ALLMERICA INVESTMENT MANAGEMENT CO INC	CRD# 105796	MIAMI LAKES, FL

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
08/2017 - Present	IFG ADVISORY, LLC d/b/a FINANCIAL STRATEGIES GROUP, INC.	PARTNER	Y	SUNRISE, FL, United States
08/2011 - Present	LPL Financial, LLC	Registered Representative	Y	Weston, FL, United States
01/2008 - Present	DMI	BROKER	N	HINGHAM, MA, United States
11/2003 - Present	Financial Strategies Group, Inc.	Partner/Financial Planner	Y	Weston, FL, 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.

- 06/06/2011 - Integrated Financial Group - DBA for LPL Business (entity for LPL business) - INV REL - AT REPORTED BUSINESS LOCATION(S) - 20% TIME SPENT
- 06/06/2011 - EFS Group/Cincinatti Life - NON-VARIABLE INSURANCE - INV REL - AT REPORTED BUSINESS LOCATION(S) - WRITING NEW FIXED BUSINESS. TERM LIFE, LTC, AND FIXED ANNUITY - 2% TIME SPENT



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3. 06/06/2011 - DMI - Non-Variable Insurance - INV REL - AT REPORTED BUSINESS LOCATION(S) - Fixed business and life insurance. - 5% TIME SPENT
4. 06/06/2011 - COMMONWEALTH ANNUITY AND LIFE - VA TRAILS - INV REL - AT REPORTED BUSINESS LOCATION(S) - OLD ALLMERICA VARIABLE ANNUITIES THAT WERE BOUGHT BY COMMONWEALTH - 1% TIME SPENT
5. 09/21/2011 - FINANCIAL STRATEGIES GROUP - DBA for LPL Business (entity for LPL business) - INV REL- AT REPORTED BUSINESS LOCATION(S)
6. 8/12/2015: THE NATIONAL BENEFITS CORPORATION - Non-Variable Insurance - INV REL - START 07/16/2015 - 1525 N. Park Drive, Suite 104 Weston, Florida 33326 - sell life, health, disability, Long term care through third part marketing firm - 2 HR/MO, 2 DURING SECS TRDG HRS - Non-Variable Insurance.
7. 10/12/2017 - Financial Strategies Group, Inc. - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 12/01/2003 - 40 Hours Per Month/0 Hours During Securities Trading.
8. 10/26/2017 - IFG Advisory, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Started 08/28/2017 - 40 Hours Per Month During Securities Trading - I provide investment advisory services through IFG Advisory, LLC, an independent investment advisor firm. I started this business activity on 10/10/2017. I expect to spend approximately 40 hours per month on this activity. Please see the advisory firms Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
9. 09/13/2021 - No Business Name - Investment Related - Tavernier, FL 33070 - Real Estate Rental - Start Date: 06/01/2021 - 4 Hours Per Month/0 Hours During Securities Trading.



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
Customer Dispute	9

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 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION, AND IMPROPER ASSET ALLOCATION.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$278,000.00
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
Docket/Case #:	10-03973
Filing date of arbitration/CFTC reparation or civil litigation:	09/03/2010

Customer Complaint Information

Date Complaint Received:	09/17/2010
Complaint Pending?	No



Status: Settled
Status Date: 09/29/2011
Settlement Amount: \$129,045.95
Individual Contribution Amount: \$0.00
Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.
Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION, AND IMPROPER ASSET ALLOCATION.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$278,000.00
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
Docket/Case #: 10-03973
Filing date of arbitration/CFTC reparation or civil litigation: 09/03/2010

Customer Complaint Information

Date Complaint Received: 09/17/2010
Complaint Pending? No
Status: Settled
Status Date: 09/29/2011
Settlement Amount: \$129,045.95
Individual Contribution Amount: \$0.00
Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY



SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 2 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$140,000.00

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

Docket/Case #: 10-03562

Filing date of arbitration/CFTC reparation or civil litigation: 08/09/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$64,987.17

Individual Contribution Amount: \$0.00

Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY

SECURITIES AMERICA, INC.
.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$140,000.00

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

Docket/Case #: 10-03562

Filing date of arbitration/CFTC reparation or civil litigation: 08/09/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$64,987.17

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 3 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.



Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$150,000.00

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

Docket/Case #: 10-03579

Filing date of arbitration/CFTC reparation or civil litigation: 08/09/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$62,629.11

Individual Contribution Amount: \$0.00

Firm Statement
 I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I , KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$150,000.00

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

Docket/Case #: 10-03579

Filing date of arbitration/CFTC reparation or civil litigation: 08/09/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$62,629.11

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 4 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$200,000.00

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

Docket/Case #: 10-03558



Filing date of arbitration/CFTC reparation or civil litigation: 08/06/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$92,838.81

Individual Contribution Amount: \$0.00

Firm Statement

I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$200,000.00

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

Docket/Case #: 10-03558

Filing date of arbitration/CFTC reparation or civil litigation: 08/06/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled



Status Date: 09/29/2011

Settlement Amount: \$92,838.81

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 5 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03682

Filing date of arbitration/CFTC reparation or civil litigation: 08/16/2010

Customer Complaint Information

Date Complaint Received: 08/30/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE



DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03682

Filing date of arbitration/CFTC reparation or civil litigation: 08/16/2010

Customer Complaint Information

Date Complaint Received: 08/30/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

**Disclosure 6 of 9**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES NEGLIGENCE AND MATERIAL MISREPRESENTATIONS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$233,000.00

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

Docket/Case #: 10-03216

Filing date of arbitration/CFTC reparation or civil litigation: 07/14/2010

Customer Complaint Information

Date Complaint Received: 07/28/2010

Complaint Pending? No

Status: Settled

Status Date: 11/23/2010

Settlement Amount: \$165,000.00

Individual Contribution Amount: \$0.00

Broker Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 7 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION.



Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$150,000.00

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

Docket/Case #: 10-02873

Filing date of arbitration/CFTC reparation or civil litigation: 06/18/2010

Customer Complaint Information

Date Complaint Received: 07/02/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$69,629.11

Individual Contribution Amount: \$0.00

Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY AND MISREPRESENTATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$150,000.00

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

Docket/Case #: 10-02873

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/18/2010

Customer Complaint Information

Date Complaint Received: 07/02/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$69,629.11

**Individual Contribution
Amount:** \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 8 of 9

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION AND OVERCONCENTRATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03106

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/06/2010



Customer Complaint Information

Date Complaint Received: 07/19/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I , KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE UNSUITABILITY, MISREPRESENTATION AND OVERCONCENTRATION.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03106

Filing date of arbitration/CFTC reparation or civil litigation: 07/06/2010

Customer Complaint Information

Date Complaint Received: 07/19/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011



Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.

Disclosure 9 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION TO THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES MISREPRESENTATION AND VIOLATION OF DUTIES OWED TO CLAIMANT.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03142

Filing date of arbitration/CFTC reparation or civil litigation: 07/06/2010

Customer Complaint Information

Date Complaint Received: 07/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Firm Statement I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING



MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL. 10/10/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITIES AMERICA, INC.

Allegations: IN CONNECTION TO THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES MISREPRESENTATION AND VIOLATION OF DUTIES OWED TO CLAIMANT.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

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

Docket/Case #: 10-03142

Filing date of arbitration/CFTC reparation or civil litigation: 07/06/2010

Customer Complaint Information

Date Complaint Received: 07/23/2010

Complaint Pending? No

Status: Settled

Status Date: 09/29/2011

Settlement Amount: \$46,419.41

Individual Contribution Amount: \$0.00

Broker Statement 10/10/11: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. I, KIMBERLY DEPROSPERO WAS NOT NAMED IN THE ARBITRATION. I, KIMBERLY DEPROSPERO WAS NOT RESPONSIBLE OR INVOLVED FOR THE DUE DILIGENCE ON MEDICAL CAPITAL. ALL MARKETING MATERIALS USED DURING THE SALES PROCESS WERE EITHER APPROVED BY SECURITIES AMERICA OR CREATED BY MEDICAL CAPITAL AND DISTRIBUTED BY SECURITIES AMERICA. I HAD NO KNOWLEDGE OF ANY FRAUD AT MEDICAL CAPITAL AND RELIED ON SECURITIES AMERICA FOR ALL INFORMATION REGARDING MEDICAL CAPITAL.



End of Report

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