



IAPD Report

B. David Goldstein

CRD# 1718066

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

B. David Goldstein (CRD# 1718066)

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 **12/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTHPLAN PARTNERS	CRD# 305026	06/30/2022
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	SECURITIES AMERICA, INC.	10205	RANCHO MIRAGE, CA	06/22/2022 - 06/14/2024
IA	WESTERN INTERNATIONAL SECURITIES	39262	Rancho Mirage, CA	05/29/2015 - 06/22/2022
B	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Rancho Mirage, CA	05/29/2015 - 06/22/2022

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	10



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

Employment 1 of 2

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 Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Idaho	Agent	Approved	06/14/2024
B	Nebraska	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
B	Oregon	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
RANCHO MIRAGE, CA



Qualifications

Employment 2 of 2

Firm Name: **WEALTHPLAN PARTNERS**
Main Address: 101 SOUTH 108TH AVENUE
OMAHA, NE 68154
Firm ID#: 305026

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	06/30/2022

Branch Office Locations

WEALTHPLAN PARTNERS
Rancho Mirage, CA



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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	01/21/1997

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	11/21/1987

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/25/1990



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	06/22/2022 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	RANCHO MIRAGE, CA
IA	05/29/2015 - 06/22/2022	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Rancho Mirage, CA
B	05/29/2015 - 06/22/2022	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	Rancho Mirage, CA
IA	10/12/2009 - 06/05/2015	UNITED ADVISORS	CRD# 133668	BOCA RATON, FL
B	10/01/2009 - 06/05/2015	SECURITIES AMERICA, INC.	CRD# 10205	NORTHRIDGE, CA
IA	08/09/2007 - 10/15/2009	GUNNALLEN FINANCIAL, INC	CRD# 17609	NORTHRIDGE, CA
B	08/07/2007 - 10/15/2009	GUNNALLEN FINANCIAL, INC	CRD# 17609	NORTHRIDGE, CA
IA	11/13/1992 - 08/14/2007	LINSKO/PRIVATE LEDGER CORP.	CRD# 6413	NORTHRIDGE, CA
B	11/12/1992 - 08/14/2007	LINSKO/PRIVATE LEDGER CORP.	CRD# 6413	NORTHRIDGE, CA
B	01/22/1990 - 11/09/1992	SUTRO & CO. INCORPORATED	CRD# 801	SAN FRANCISCO, CA
B	11/25/1987 - 01/30/1990	MUNICICORP OF CALIFORNIA	CRD# 7184	WOODLAND HILLS, CA

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	RANCHO MIRAGE, CA, United States
06/2022 - Present	WealthPlan Partners, LLC	Investment Adviser Representative.	Y	Omaha, NE, United States
04/2000 - Present	Wealth Plan Network, Inc.	DBA for Securities & Insurance Business	Y	Northridge, CA, United States
06/2022 - 06/2024	SECURITIES AMERICA, INC.	Registered Representative	Y	Rancho Mirage, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2015 - 05/2022	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, 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.

DBA: WealthPlan Partners

WEALTHPLANNETWORK,INC

POSITION: sales NATURE: insurance INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 01/01/2006

ADDRESS: 55 burgundy, Rancho Mirage CA 92270, United States

DESCRIPTION: sell insurance when needed long term care buy sells keyman premiumfinancing

WEALTHPLAN PARTNERS

POSITION: advisor NATURE: wealthplan partnersdavid goldstein trustinsurance INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 50 START DATE: 06/05/2023

ADDRESS: 55 burgundy, Rancho Mirage CA 92270, United States

DESCRIPTION: doing planning



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	10

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 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTERN INTERNATIONAL SECURITIES, INC.
Allegations:	Customer alleges that an investment recommendation was unsuitable and misleading.
Product Type:	Debt-Corporate
Alleged Damages:	\$75,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-00389
Filing date of arbitration/CFTC reparation or civil litigation:	02/25/2025

Customer Complaint Information

Date Complaint Received:	03/03/2025
Complaint Pending?	No



Status: Withdrawn

Status Date: 03/20/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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

Allegations: Per the Western International Securities, Inc. filing, customer alleges that an investment recommendation was unsuitable and misleading.

Product Type: Debt-Corporate

Alleged Damages: \$75,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-00389

Filing date of arbitration/CFTC reparation or civil litigation: 02/25/2025

Customer Complaint Information

Date Complaint Received: 03/04/2025

Complaint Pending? No

Status: Withdrawn

Status Date: 03/25/2025

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 10

Reporting Source: Firm

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

Allegations: Customer alleges that investment recommendation was unsuitable and misrepresented.

Product Type: Debt-Corporate

Alleged Damages: \$100,000.00



Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-01054

Filing date of arbitration/CFTC reparation or civil litigation: 05/14/2024

Customer Complaint Information

Date Complaint Received: 05/17/2024

Complaint Pending? No

Status: Withdrawn

Status Date: 05/31/2024

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

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

Allegations: As per Western International Securities, Inc. filing, customer alleges that investment recommendation was unsuitable and misrepresented.

Product Type: Debt-Corporate

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): As per Western International Securities, Inc. Filing.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-01054

Filing date of arbitration/CFTC reparation or civil litigation: 05/14/2024

Customer Complaint Information

Date Complaint Received: 06/18/2024



Complaint Pending? No
Status: Withdrawn
Status Date: 05/31/2024

Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 10

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.
Allegations: Misrepresentation
Product Type: Debt-Corporate
Alleged Damages: \$230,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 24-00718
Filing date of arbitration/CFTC reparation or civil litigation: 03/29/2024

Customer Complaint Information

Date Complaint Received: 04/03/2024
Complaint Pending? No
Status: Settled
Status Date: 11/29/2024
Settlement Amount: \$34,902.84
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.
Allegations: Misrepresentation
Product Type: Debt-Corporate
Alleged Damages: \$230,000.00



Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 24-00718

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/29/2024

Customer Complaint Information

Date Complaint Received: 04/03/2024

Complaint Pending? No

Status: Settled

Status Date: 11/29/2024

Settlement Amount: \$34,902.84

**Individual Contribution
Amount:** \$0.00

Broker Statement Please note that the client's total investment in the GWG L Bonds was \$50,000, not the \$230,000 that was stated.

Disclosure 4 of 10

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** Western International Securities, Inc.

Allegations: Negligence and Negligent Misrepresentation

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 23-01777

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/20/2023



Customer Complaint Information

Date Complaint Received: 06/26/2023

Complaint Pending? No

Status: Settled

Status Date: 04/08/2024

Settlement Amount: \$26,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: Negligence and Negligent Misrepresentation

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-01777

Filing date of arbitration/CFTC reparation or civil litigation: 06/20/2023

Customer Complaint Information

Date Complaint Received: 06/26/2023

Complaint Pending? No

Status: Settled

Status Date: 04/08/2024

Settlement Amount: \$26,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 10

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	Western International Securities, Inc.
Allegations:	Negligence and Negligent Misrepresentation
Product Type:	Debt-Corporate
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	FINRA Arbitration 23-00804
Filing date of arbitration/CFTC reparation or civil litigation:	04/04/2023

Customer Complaint Information

Date Complaint Received:	04/10/2023
Complaint Pending?	No
Status:	Settled
Status Date:	02/08/2024
Settlement Amount:	\$30,000.00
Individual Contribution Amount:	\$0.00

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WESTERN INTERNATIONAL SECURITIES, INC.
Allegations:	Negligence and Negligent Misrepresentation
Product Type:	Debt-Corporate
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	No



Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 23-00804

Filing date of arbitration/CFTC reparation or civil litigation: 04/04/2023

Customer Complaint Information

Date Complaint Received: 04/14/2023

Complaint Pending? No

Status: Settled

Status Date: 02/08/2024

Settlement Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Western International Securities, Inc.

Allegations: Unsuitable Recommendations, Misrepresentations and Omissions of Material Fact

Product Type: Debt-Corporate

Alleged Damages: \$75,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-01794

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2022

Customer Complaint Information

Date Complaint Received: 12/05/2022

Complaint Pending? No

Status: Settled

Status Date: 06/29/2023

Settlement Amount: \$76,273.00



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

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

Allegations: Unsuitable Recommendations, Misrepresentations and Omissions of Material Fact

Product Type: Debt-Corporate

Alleged Damages: \$75,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-01794

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2022

Customer Complaint Information

Date Complaint Received: 01/05/2023

Complaint Pending? No

Status: Settled

Status Date: 06/29/2023

Settlement Amount: \$76,273.00

Individual Contribution Amount: \$0.00

Disclosure 7 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Western International Securities, Inc.

Allegations: Misrepresentation; Unsuitable recommendations

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): The firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000

Is this an oral complaint? No

Is this a written complaint? No



**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 22-02668

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/21/2022

Customer Complaint Information

Date Complaint Received: 11/28/2022

Complaint Pending? No

Status: Withdrawn

Status Date: 03/24/2023

Settlement Amount:

**Individual Contribution
Amount:**

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Reporting Source: Individual

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

Allegations: Misrepresentation; Unsuitable recommendations

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** The reporting firm has made a good faith determination that the damages from the
alleged conduct would be less than \$5,000

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 22-02668

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/21/2022

Customer Complaint Information

Date Complaint Received: 11/28/2022

Complaint Pending? No

Status: Withdrawn



Status Date: 03/24/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 8 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Western International Securities, Inc.

Allegations: Unsuitable Recommendations, Misrepresentations and Omissions of Material Fact

Product Type: Debt-Corporate

Alleged Damages: \$75,000.00

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 #: 22-01689

Filing date of arbitration/CFTC reparation or civil litigation: 07/28/2022

Customer Complaint Information

Date Complaint Received: 11/07/2022

Complaint Pending? No

Status: Settled

Status Date: 09/27/2023

Settlement Amount: \$41,337.92

Individual Contribution Amount: \$0.00

Reporting Source: Individual

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

Allegations: Unsuitable Recommendations, Misrepresentations and Omissions of Material Fact

Product Type: Debt-Corporate

Alleged Damages: \$75,000.00

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 #: 22-01689

Filing date of arbitration/CFTC reparation or civil litigation: 07/28/2022

Customer Complaint Information

Date Complaint Received: 11/07/2022

Complaint Pending? No

Status: Settled

Status Date: 10/20/2023

Settlement Amount: \$41,337.92

Individual Contribution Amount: \$0.00

Disclosure 9 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Western International Securities, Inc.

Allegations: Negligence

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000

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 #: 22-02271

Filing date of arbitration/CFTC reparation or civil litigation: 10/05/2022

Customer Complaint Information

Date Complaint Received: 10/11/2022

Complaint Pending? No

Status: Settled



Status Date: 12/14/2023

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

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

Allegations: Negligence

Product Type: Debt-Corporate

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): The reporting firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.

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 #: 22-02271

Filing date of arbitration/CFTC reparation or civil litigation: 10/05/2022

Customer Complaint Information

Date Complaint Received: 11/04/2022

Complaint Pending? No

Status: Settled

Status Date: 12/14/2023

Settlement Amount: \$40,000.00

Individual Contribution Amount: \$0.00

Disclosure 10 of 10

Reporting Source: Firm

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

Allegations: CUSTOMERS INDIVIDUALLY AND ON BEHALF OF THEIR TRUST ALLEGE UNSUITABLE INVESTMENTS INTO NOW ILLIQUID REIT AND LP SECURITIES.

Product Type: Other: REIT & LIMITED PARTNERSHIP



Alleged Damages: \$315,000.00

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 #: 12-02786

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/24/2012

Customer Complaint Information

Date Complaint Received: 09/05/2012

Complaint Pending? No

Status: Settled

Status Date: 10/08/2013

Settlement Amount: \$38,500.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Individual

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

Allegations: CUSTOMERS INDIVIDUALLY AND ON BEHALF OF THEIR TRUST ALLEGE UNSUITABLE INVESTMENTS BETWEEN NOVEMBER 2004 AND SEPTEMBER 2006 INTO NOW ILLIQUID REIT AND LP SECURITIES.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$315,000.00

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 #: 12-02786

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/24/2012

Customer Complaint Information

Date Complaint Received: 09/14/2012



Complaint Pending?	No
Status:	Settled
Status Date:	10/10/2013
Settlement Amount:	\$38,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	<p>I WAS NOT A NAMED RESPONDENT IN THIS MATTER AND I DENY ALL IMPLIED CLAIMS AGAINST ME. THE CLIENTS WHO FILED THIS CLAIM AGAINST MY FORMER BROKER DEALER, LPL, HAVE BEEN WITH ME FOR 21 YEARS. ON 10/08/2013, THE BROKER DEALER, LPL, SETTLED THIS MATTER WITH MY CLIENTS FOR \$38,500. I WAS NOT A PARTY TO THIS SETTLEMENT AND I WAS NOT ASKED TO, NOR DID I CONTRIBUTE TO THE SETTLEMENT. DESPITE MY CLIENTS CASE AGAINST LPL, THEY REMAIN TO THIS DAY, LOYAL AND SATISFIED CLIENTS OF MINE.</p>



End of Report

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