



## IAPD Report

# GREGORY LEE KEMPTON

CRD# 1757218

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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

### GREGORY LEE KEMPTON (CRD# 1757218)

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 **05/12/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	ONEAMERICA SECURITIES, INC.	CRD# 4173	10/29/2003
<b>IA</b>	ONEAMERICA SECURITIES, INC.	CRD# 4173	07/26/2004

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>IA</b>	NEW ENGLAND SECURITIES CORPORATION	615	TAMPA, FL	06/21/1988 - 10/16/2003
<b>B</b>	NEW ENGLAND SECURITIES	615	NEW YORK, NY	06/15/1988 - 10/16/2003

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	8
Customer Dispute	2



## Qualifications

### REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**  
Main Address: ONE AMERICAN SQUARE  
INDIANAPOLIS, IN 46282  
Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	10/29/2003
B	Arizona	Agent	Approved	04/12/2023
IA	Arizona	Investment Adviser Representative	Approved	04/12/2023
B	California	Agent	Approved	04/25/2024
B	Connecticut	Agent	Approved	02/08/2024
B	Florida	Agent	Approved	10/29/2003
IA	Florida	Investment Adviser Representative	Approved	07/26/2004
B	Georgia	Agent	Approved	10/30/2003
B	Illinois	Agent	Approved	04/30/2021
B	Indiana	Agent	Approved	04/14/2023
B	Iowa	Agent	Approved	12/16/2024
B	Maine	Agent	Approved	02/08/2023
B	Maryland	Agent	Approved	02/07/2023



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Mississippi	Agent	Approved	04/05/2016
<b>B</b> New Mexico	Agent	Approved	04/19/2016
<b>IA</b> New York	Investment Adviser Representative	Approved	02/06/2024
<b>B</b> New York	Agent	Approved	06/07/2024
<b>B</b> North Carolina	Agent	Approved	04/18/2023
<b>B</b> Ohio	Agent	Approved	05/06/2021
<b>B</b> Oklahoma	Agent	Approved	09/21/2022
<b>B</b> Pennsylvania	Agent	Approved	02/07/2007
<b>B</b> Texas	Agent	Approved	05/15/2026
<b>B</b> Vermont	Agent	Approved	02/06/2024

### Branch Office Locations

**ONEAMERICA SECURITIES, INC.**  
3030 North Rocky Point Drive W  
Suite 160  
Tampa, FL 33607



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/19/1988

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	05/20/1988
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### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	06/21/1988 - 10/16/2003	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	TAMPA, FL
B	06/15/1988 - 10/16/2003	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

### 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
10/2003 - Present	AMERICAN UNITED LIFE	AGENT	N	TAMPA, FL, United States
10/2003 - Present	ONEAMERICA SECURITIES, INC	REGISTERED REPRESENTATIVE	Y	TAMPA, 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.

Non-variable insurance sales (fixed life, fixed annuities, health)\*\*Owner: Showman Collectibles\*\*Owner: One Team Financial Group, LLC - insurance agency



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	8
Customer Dispute	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 8

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	SOUTH DAKOTA DIVISION OF INSURANCE
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	12/22/2011
<b>Docket/Case Number:</b>	999618
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ONEAMERICA SECURITIES, INC
<b>Product Type:</b>	No Product
<b>Allegations:</b>	FAILURE TO RESPOND TO STATE INQUIRY AND FAILURE TO REPORT OTHER STATE ACTION
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/22/2011
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$750.00**Portion Levied against individual:** \$750.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 12/06/2011**Was any portion of penalty waived?** No**Amount Waived:****Disclosure 2 of 8****Reporting Source:** Individual**Regulatory Action Initiated By:** PENNSYLVANIA INSURANCE DEPARTMENT**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 04/17/2007**Docket/Case Number:** 16155**Employing firm when activity occurred which led to the regulatory action:** ONEAMERICA SECURITIES, INC**Product Type:** No Product**Allegations:** DEMONSTRATED LACK OF FITNESS OR TRUSTWORTHINESS. FAILURE TO REPORT OTHER STATE ACTION**Current Status:** Final**Resolution:** Consent**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No**Resolution Date:** 05/08/2007**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$1,000.00**Portion Levied against individual:** \$1,000.00**Payment Plan:**



**Is Payment Plan Current:** No  
**Date Paid by individual:** 05/01/2007  
**Was any portion of penalty waived?** No  
**Amount Waived:**

**Disclosure 3 of 8**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** OHIO DEPARTMENT OF INSURANCE  
**Sanction(s) Sought:** Revocation  
**Date Initiated:** 06/01/2008  
**Docket/Case Number:** 1069670  
**Employing firm when activity occurred which led to the regulatory action:** ONEAMERICA SECURITIES, INC  
**Product Type:** No Product  
**Allegations:** FAILURE TO MAKE REQUIRED DISCLOSURE ON LICENSE APP  
**Current Status:** Final  
**Resolution:** Order  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes  
**Resolution Date:** 07/09/2008  
**Sanctions Ordered:** Revocation

**Disclosure 4 of 8**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** MISSOURI DEPARTMENT OF INSURANCE FINANCIAL INSTITUTIONS & PROFESSIONAL REGISTRATION  
**Sanction(s) Sought:** Other: REFUSAL TO RENEW INSURANCE LICENSE  
**Date Initiated:** 12/23/2010  
**Docket/Case Number:** 10-1118696C  
**Employing firm when activity occurred which led to the regulatory action:** ONEAMERICA SECURITIES, INC  
**Product Type:** No Product  
**Allegations:** FAILURE TO REPORT OTHER STATE ACTION



**Current Status:** Final  
**Resolution:** Order  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes  
**Resolution Date:** 12/23/2010  
**Sanctions Ordered:** Revocation  
Other: STATE REFUSED TO RENEW INSURANCE LICENSE

**Disclosure 5 of 8**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** GEORGIA DEPARTMENT OF INSURANCE  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
**Date Initiated:** 08/01/2008  
**Docket/Case Number:** 2008-1614  
**Employing firm when activity occurred which led to the regulatory action:** ONEAMERICA SECURITIES, INC  
**Product Type:** No Product  
**Allegations:** DEMONSTRATED LACK OF FITNESS OR TRUSTWORTHINESS FAILURE TO MAKE REQUIRED DISCLOSURE ON LICENSE APPOTHER STATES ACTION  
**Current Status:** Final  
**Resolution:** Order  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No  
**Resolution Date:** 08/28/2008  
**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
**Monetary Sanction 1 of 1**  
**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$300.00  
**Portion Levied against individual:** \$300.00  
**Payment Plan:**  
**Is Payment Plan Current:**



**Date Paid by individual:** 08/01/2008  
**Was any portion of penalty waived?** No  
**Amount Waived:**

**Disclosure 6 of 8**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** COLORADO DEPARTMENT OF INSURANCE  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
**Date Initiated:** 08/01/2005  
**Docket/Case Number:** 1334  
**Employing firm when activity occurred which led to the regulatory action:** ONEAMERICA SECURITIES, INC  
**Product Type:** No Product  
**Allegations:** FAILURE TO RESPONDFAILURE TO MAKE REQUIRED DISCLOSURE ON LICENSE APP  
**Current Status:** Final  
**Resolution:** Order  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No  
**Resolution Date:** 08/28/2008  
**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$2,500.00  
**Portion Levied against individual:** \$2,500.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:** 08/01/2005  
**Was any portion of penalty waived?** No  
**Amount Waived:**

**Disclosure 7 of 8**



**Reporting Source:** Individual

**Regulatory Action Initiated By:** THE TRESURER OF THE STATE OF FLORIDA, DEPARTMENT OF INSURANCE

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:** PROBATION FOR ONE YEAR

**Date Initiated:** 08/24/1995

**Docket/Case Number:** 11789-95-C&S

**Employing firm when activity occurred which led to the regulatory action:** NEW ENGLAND LIFE

**Product Type:** Insurance

**Other Product Type(s):**

**Allegations:** THE STATE CONDUCTED AN INVESTIGATION AND ALLEGED "RESPONDANT MISREPRESENTATED THE AMOUNT OF PREMIUM ON A LIFE INSURANCE POLICY."

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 12/22/1995

**Sanctions Ordered:** Monetary/Fine \$500.00

**Other Sanctions Ordered:** PROBATION FOR ONE YEAR.

**Sanction Details:** SETTLEMENT STIPULATION TO VACATE ORDER OF REVOACATION WAS ISSUED 12 DEC 1995. A COST TO THE STATE OF \$500.00 WAS AGREED UPON TO BE PAID BY THE RESPONDANT.

**Broker Statement** THIS WAS CONSUMER COMPLAINT THAT ESCALATED TO A FORMAL COMPLAINT TO THE STATE. THE POLICY IN QUESTION THAT WAS SOLD TO THE CONSUMER WAS A TRADITIONAL UL POLICY. CUSTOMER UNDERSTOOD THE RAMIFICATIONS OF LOWER INTERST, MORTALITY AND COSTS ASSOCIATED WITH THE POLICY. WHEN THE POLICY FAILED TO PERFORM THE CONSUMER FELT THE AGENT HAD MISREPRESENTED THE POLICY. A SERIES OF LETTERS AND LEDGERS WERE PROVIDED TO THE STATE ON BEHALF OF THE RESPONDANT TO NO AVAIL. THIS DOCUMENTS IN MY OPINION ILLUSTRATED TO THE STATE THAT THE CONSUMER FULLY UNDERSTOOD THE POLICY AND IT'S FUTURE PERFORMANCE. THE ATTACHED AN ADMINISTRATIVE PENALTY AND I FAILED TO PAY IT ON TIMNE. THE REVOKED MY LICENSE , I PAID THE ADMIN PENALTY AND THE STATE REINSTATED MY LICENSE.

**Disclosure 8 of 8**

**Reporting Source:** Individual

**Regulatory Action Initiated By:** OFFICE OF THE COMISSIONER OF INSURANCE , THE STATE OF WISCONSIN.

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 11/19/1999



**Docket/Case Number:** 99-C26095

**Employing firm when activity occurred which led to the regulatory action:** NEW ENGLAND LIFE

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** "RESPONDANT FAILED TO REPORT ADMINISTRATIVE ACTION TAKEN BY ANOTHER STATE ON HIS APPLICATION FOR AN NON-RESIDENT LICENSE..."

**Current Status:** Final

**Resolution:** Stipulation and Consent

**Resolution Date:** 01/01/2000

**Sanctions Ordered:** Monetary/Fine \$500.00

**Other Sanctions Ordered:**

**Sanction Details:** ADMIN PENALTY WAS PAID \$250.00 WITH STIPULATION SIGNED AND \$250.00 ON OR BEFORE JAN 1, 2000. PENALTIES WERE PAID IN FULL ON OR BEFORE JANUARY 1, 2000.



### Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

#### Disclosure 1 of 2

**Reporting Source:** Firm

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

**Allegations:** CLIENT ALLEGES THAT MR. KEMPTON MISLED HIM INTO PURCHASING A VARIABLE UNIVERSAL LIFE INSURANCE POLICY IN OCTOBER OF 2001.

**Product Type:** Insurance

**Alleged Damages:** \$71,400.00

#### Customer Complaint Information

**Date Complaint Received:** 05/25/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/28/2006

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

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

**Allegations:** CLIENT ALLEGES THAT HE WAS MISLED INTO PURCHASING A VARIABLE UNIVERSAL LIFE INSURANCE POLICY IN OCTOBER OF 2001.

**Product Type:** Insurance

**Alleged Damages:** \$71,400.00

#### Customer Complaint Information

**Date Complaint Received:** 05/25/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/28/2006

**Settlement Amount:**

**Individual Contribution Amount:**



**Disclosure 2 of 2**

**Reporting Source:** Firm

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

**Allegations:** CLIENT IS ALLEGING THAT HE WAS TOLD THAT THE AMOUNT OF HIS PREMIUM WOULD NEVER CHANGE. HE RECENTLY RECEIVED A NOTICE OF CANCELLATION AS ADDITIONAL PREMIUMS WERE DUE.

**Product Type:** Insurance

**Alleged Damages:** \$10,627.14

**Customer Complaint Information**

**Date Complaint Received:** 08/24/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/01/2004

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** CLIENT'S ALLEGATIONS WERE INVESTIGATED. IT WAS DETERMINED THAT HE RECEIVED THE PROPER INFORMATION REGARDING HIS POLICY, AND HIS CLAIM WAS DENIED.

.....

**Reporting Source:** Individual

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

**Allegations:** CLIENT IS ALLEGING THAT HE WAS TOLD THAT THE AMOUNT OF HIS PREMIUM WOULD NEVER CHANGE. HE RECENTLY RECEIVED A NOTICE OF CANCELLATION AS ADDITIONAL PREMIUMS WERE DUE.

**Product Type:** Insurance

**Alleged Damages:** \$10,627.14

**Customer Complaint Information**

**Date Complaint Received:** 08/24/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/01/2004

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** CLIENT'S ALLEGATIONS WERE INVESTIGATED. IT WAS DETERMINED THAT HE RECEIVED THE PROPER INFORMATION REGARDING HIS POLICY AND HIS CLAIM WAS DENIED.



## End of Report

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