



IAPD Report

DELL RAYMOND HUGHES

CRD# 1804123

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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

DELL RAYMOND HUGHES (CRD# 1804123)

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 **10/23/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|-----------|----------------------------|-------------|------------------|
| B | CABOT LODGE SECURITIES LLC | CRD# 159712 | 05/30/2017 |
| IA | CL WEALTH MANAGEMENT LLC | CRD# 134922 | 06/27/2017 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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 | WILBANKS SECURITIES ADVISORY | 118304 | BROKEN ARROW, OK | 09/29/2006 - 06/27/2017 |
| B | WILBANKS SECURITIES, INC. | 40673 | JENKS, OK | 01/14/2002 - 06/27/2017 |
| B | SIGNATOR INVESTORS, INC. | 468 | BOSTON, MA | 07/11/1999 - 11/30/2001 |

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 | 2 |
| 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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CABOT LODGE SECURITIES LLC**
Main Address: 425 N MARTINGALE RD
SUITE 1220
SCHAUMBURG, IL 60173
Firm ID#: 159712

| Regulator | Registration | Status | Date |
|-------------------------|-----------------------------------|----------|------------|
| B FINRA | General Securities Representative | Approved | 05/30/2017 |
| B FINRA | Invest. Co and Variable Contracts | Approved | 05/30/2017 |
| B North Carolina | Agent | Approved | 11/14/2024 |
| B Oklahoma | Agent | Approved | 06/06/2017 |

Branch Office Locations

Broken Arrow, OK

Employment 2 of 2

Firm Name: **CL WEALTH MANAGEMENT LLC**
Main Address: 425 N. MARTINGALE RD.
SUITE 1220
SCHAUMBURG, IL 60173
Firm ID#: 134922

| Regulator | Registration | Status | Date |
|----------------------|-----------------------------------|----------|------------|
| IA California | Investment Adviser Representative | Approved | 07/16/2019 |
| IA Oklahoma | Investment Adviser Representative | Approved | 06/27/2017 |

Branch Office Locations



Qualifications

CL WEALTH MANAGEMENT LLC
Broken Arrow, OK



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, 3 general industry/product exams, and 3 state securities law exams.


Principal/Supervisory Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

No information reported.





General Industry/Product Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  General Securities Representative Examination (S7) | Series 7 | 07/07/2004 |
|  Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 04/23/1998 |

State Securities Law Exams

| Exam | Category | Date |
|------|----------|------|
|------|----------|------|

| | | |
|---|-----------|------------|
|   Uniform Combined State Law Examination (S66) | Series 66 | 09/14/2006 |
|  Uniform Investment Adviser Law Examination (S65) | Series 65 | 05/31/1995 |
|  Uniform Securities Agent State Law Examination (S63) | Series 63 | 05/23/1988 |

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 | 09/29/2006 - 06/27/2017 | WILBANKS SECURITIES ADVISORY | CRD# 118304 | BROKEN ARROW, OK |
| B | 01/14/2002 - 06/27/2017 | WILBANKS SECURITIES, INC. | CRD# 40673 | JENKS, OK |
| B | 07/11/1999 - 11/30/2001 | SIGNATOR INVESTORS, INC. | CRD# 468 | BOSTON, MA |
| B | 09/12/1995 - 05/18/1999 | MONY SECURITIES CORPORATION | CRD# 4386 | NEW YORK, NY |
| B | 05/25/1988 - 08/24/1995 | METLIFE SECURITIES INC. | CRD# 14251 | SPRINGFIELD, MA |
| B | 05/25/1988 - 08/24/1995 | METROPOLITAN LIFE INSURANCE COMPANY | CRD# 4095 | 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 |
|-------------------|------------------------------|-------------------------------|--------------------|----------------------------------|
| 06/2017 - Present | CL Wealth Management LLC | Registered Investment Advisor | Y | New York, NY, United States |
| 05/2017 - Present | Cabot Lodge Securities LLC | Registered Representative | Y | Broken Arrow, OK, United States |
| 05/2016 - 05/2017 | Wilbanks Securities Advisory | Registered Investment Advisor | Y | Oklahoma City, OK, United States |
| 01/2002 - 05/2017 | WILBANKS SECURITIES | REGISTERED REPRESENTATIVE | Y | OKLAHOMA CITY, OK, 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.

1) TRACK GUYS, LLC, BUSINESS MANAGER, PUT ON PERFORMANCE DRIVING EVENTS, 01/2007, NOT INVESTMENT RELATED, BROKEN ARROW, OK. 5 HOURS PER MONTH DURING NON-TRADING HOURS AND ZERO HOURS A MONTH DURING TRADING HOURS, NO COMPENSATION, SETS UP REGISTRATION WEBSITES, Q&A, SOLVES ISSUES, NEGOTIATE AND SIGN CONTRACTS FOR VENUES AND OTHER PARTS OF THE EVENTS, PAY ALL BILLS.

2) DESTINY FINANCIAL SERVICES-DBA-ADVISORY AND INSURANCE BUSINESS, INVESTMENT RELATED, AGENT/OWNER BROKEN ARROW, OK 25 HOURS PER MONTH, 2 HOURS PER MONTH DURING TRADING HOURS.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

3) HALLETT MOTOR RACING CIRCUIT, NON-INVESTMENT RELATED, JENNINGS, OK, PRIVATE BUSINESS, CORNER WORKER/MARSHALL, 3/2018, 100 HOURS PER MONTH, 8 HOURS PER MONTH DURING TRADING HOURS, CORNER WORKER/MARSHALL FOR AUTO AND MOTORCYCLE RACING AND TRAINING EVENTS. THIS IS A SAFETY POSITION.

4) THE QUANTUM GROUP, USA, INC, WRITING FIXED ANNUITY WITH NATIONAWIDE, INVESTMENT RELATED, SCOTTSDALE, AZ, AGENT, 9/2020, FIVE HOURS PER MONTH, 2 HOURS DURING TRADING HOURS, SALES OF FIXED INDEXED ANNUITY PRODUCT AND SERVICING EXISTING CLIENTS WHO OWN THE ANNUITY.



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 | 2 |
| 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 2

| | |
|---|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | OKLAHOMA DEPARTMENT OF SECURITIES |
| Sanction(s) Sought: | Suspension |
| Other Sanction(s) Sought: | CIVIL PENALTY IN THE AMOUNT OF \$2,500 |
| Date Initiated: | 02/09/2007 |
| Docket/Case Number: | ODS FILE NO. 07-068 |
| Employing firm when activity occurred which led to the regulatory action: | WILBANKS SECURITIES, INC. |
| Product Type: | No Product |
| Other Product Type(s): | |
| Allegations: | FAILURE TO REPORT FILING OF MARCH 2002 BANKRUPTCY PETITION ON FORM U-4 IN RESPONSE TO QUESTION 14K. |
| 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: 03/20/2007

Sanctions Ordered: Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: HUGHES' AGENT AND INVESTMENT ADVISER REPRESENTATIVE REGISTRATIONS WERE SUBJECT TO A 5 DAY SUSPENSION BEGINNING MARCH 26, 2007 THROUGH MARCH 30, 2007. THE \$2500 CIVIL PENALTY IS DUE IN FULL ON MAY 15, 2007.

Regulator Statement HUGHES AGREED TO AMEND HIS FORM U-4 TO DISCLOSE HIS 2002 BANKRUPTCY PETITION.

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF OKLAHOMA DEPARTMENT OF SECURITIES

Sanction(s) Sought:

Date Initiated: 02/09/2007

Docket/Case Number: 07-068

Employing firm when activity occurred which led to the regulatory action: WILBANKS SECURITIES, INC

Product Type: No Product

Allegations: FAILURE TO DISCLOSE A BANKRUPTCY PETITION FILED MARCH 2002

Current Status: Final

Resolution: Settled

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: 03/07/2007

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 5 BUSINESS DAYS

Start Date: 03/26/2007

End Date: 03/30/2007

Broker Statement THERE IS NO ALLEGATION OF A WILLFUL OR DISHONEST ACT. THIS VIOLATION IS NOT RELATED TO SALES PRACTICES.



Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:
Other Sanction(s) Sought:

Date Initiated: 02/05/1998

Docket/Case Number: C05980001

Employing firm when activity occurred which led to the regulatory action:

Product Type:
Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/05/1998

Sanctions Ordered: Censure
 Monetary/Fine \$5,000.00
 Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement ON FEBRUARY 5, 1998, DISTRICT NO. 5 NOTIFIED RESPONDENT DELL R. HUGHES THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C05980001 WAS ACCEPTED; THEREFORE, HE IS CENSURED, FINED \$5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR ONE WEEK, AND REQUIRED TO REQUALIFY BY EXAM AS AN INVESTMENT COMPANY AND VARIABLE CONTRACTS PRODUCTS REPRESENTATIVE BY TAKING AND PASSING THE SERIES 6 EXAM WITHIN 90 DAYS OF THE ACCEPTANCE OF THIS LETTER OF ACCEPTANCE, WAIVER AND CONSENT. IF RESPONDENT HUGHES FAILS TO COMPLETE AND PASS THE APPROPRIATE EXAM WITHIN THAT TIME PERIOD, HE SHALL BE SUSPENDED FROM ACTING IN ANY REGISTERED CAPACITY UNTIL SUCH TIME AS HE COMPLETES AND PASSES SUCH EXAM - (NASD RULE 2110 - RESPONDENT HUGHES, IN CONNECTION WITH A CUSTOMER PURCHASE OF A VARIABLE ANNUITY PRODUCT, PROVIDED A DOCUMENT TO CUSTOMERS THAT CONTAINED MISLEADING INFORMATION).

THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON APRIL 20, 1998, AND WILL CONCLUDE AT THE CLOSE OF BUSINESS APRIL 24, 1998.

** \$5,000 FULLY PAID AS OF 11/10/98, INVOICE NO. 98-05-218 ****

Reporting Source: Individual
Regulatory Action Initiated NASD



By:

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 02/05/1998

Docket/Case Number: C05980001

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: THAT I, IN CONNECTION WITH A CUSTOMER PURCHASE OF A VARIABLE ANNUITY PRODUCT, PROVIDED A DOCUMENT TO CUSTOMERS THAT CONTAINED MISLEADING INFORMATION.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 02/05/1998

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: RESOLVED BY ACCEPTANCE, WAIVER AND CONSENT. THIS INCLUDED A ONE WEEK SUSPENSION--SERVED, A \$5,000 FINE--PAID, AND THE RETAKING OF SERIES 6 EXAM-- ACCOMPLISHED.

Broker Statement Not Provided



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:

Allegations: CLIENT ALLEGES MR. HUGHES PERPETRATED FRAUD BY INDUCING HER THROUGH FALSE STATEMENTS AND FRAUDULENT OMISSIONS TO TURN OVER MONIES, SOME OF WHICH WERE USED TO PURCHASE A VARIABLE UNIVERSAL LIFE INSURANCE POLICY WITHOUT HER KNOWLEDGE OR CONSENT.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 02/17/1997

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; TULSA COUNTY, OK; CJ 96 04354

Date Notice/Process Served: 09/26/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/17/1997

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount:

Firm Statement CASE WAS SETTLED FOR \$60,000.00.
Not Provided

.....
Reporting Source: Individual

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

Allegations: CLIENT ALLEGED THAT I BY FALSE STATEMENTS AND FRAUD CAUSED HER TO TURN OVER MONIES TO PURCHASE A VARIABLE LIFE INSURANCE POLICY WITHOUT HER CONSENT AND THAT I GUARANTEED HER AN INCOME OF \$400 PER MONTH.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 02/17/1997

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; TULSA COUNTY, OK; CJ 96 04354

Date Notice/Process Served: 09/26/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/17/1997

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount:

Broker Statement CASE SETTLED BY METLIFE WITH NO BIASIS TO ME FOR \$60,000. ALLEGATIONS ARE UNTRUE. [CUSTOMER] KNEW OF THE LIFE POLICY AND SIGNED APPLICATION AS OWNER. NO GUARANTEES WERE GIVEN ON ANY AMOUNT OF INCOME. AS LONG AS I WAS WITH METLIFE SHE RECEIVED NO MORE THAN \$300 PER MONTH IN COME, AND THIS AMOUNT WAS LOWERED AT LEAST ONCE. AT THE TIME OF THE COMPLAINT, [CUSTOMER]'S ORIGINAL INVESTMENT WAS STILL INTACT IN A METLIFE/STATE STREET MUTUAL FUND AND WAS STILL SENDING HER A MONTLY CHECK.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: IT WAS ALLEGED MR. HUGHES COMMITED FRAUD AND



DECEIVED THE [CUSTOMER] WHEN HE HAD THEM INVEST \$163,030.61 IN A METLIFE "SPLIT ANNUITY" CONSISTING OF A FIVE YR ANNUITY AND AN "ASSET GROWTH" FUND AND THAT MR. HUGHES PROVIDED A DOCUMENT ENTITLED "GUARANTEES" WHICH STATED THEIR INITIAL INVESTMENT OF \$83,229.61 IN THE ASSET GROWTH FUND WOULD GROW TO APPROX \$166,000 BY THE END OF FIVE YEARS. CLIENT STATE THEY ARE ENTITLED TO ACTUAL AND PUNITVE DAMAGES EACH IN EXCESS OF \$10,000.00

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 07/02/1997

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; TULSA COUNTY, OK; CJ 96 2594

Date Notice/Process Served: 06/07/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/02/1997

Monetary Compensation Amount: \$311,271.41

Individual Contribution Amount:

Firm Statement METLIFE HAS SETTLED WITH THE CLIENTS FOR \$311,271.41.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: MISREPRESENTATION. CLAIMED DAMAGES IN EXCESS OF \$10,000.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No



Status: Litigation

Status Date: 07/02/1997

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; TULSA COUNTY, OK; CJ 96 2594

Date Notice/Process Served: 06/07/1996

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/02/1997

Monetary Compensation Amount: \$311,271.41

Individual Contribution Amount:

Broker Statement CASE WAS SETTLES BY METLIFE WITH NO BIASIS TO ME FOR \$311,271.41.
NOT PROVIDED



End of Report

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