IAPD Report

JEFFREY STEPHEN GERACI

CRD# 1839469

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JEFFREY STEPHEN GERACI (CRD# 1839469)

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 **07/17/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	10/22/2024
IA	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	10/22/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	INTERVEST INTERNATIONAL EQUITIES CORPORATION	20289	VIRGINIA BEACH, VA	05/04/2010 - 11/15/2024
IA	INTERVEST INTERNATIONAL, INC.	111516	VIRGINIA BEACH, VA	05/04/2010 - 11/15/2024
IA	MICG INVESTMENT MANAGEMENT	104028	NORFOLK, VA	10/21/2008 - 05/06/2010

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

Employment 1 of 1

Firm Name: **AUSDAL FINANCIAL PARTNERS, INC.**
Main Address: 5187 UTICA RIDGE RD
DAVENPORT, IA 52807
Firm ID#: 7995

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	10/22/2024
B	FINRA	General Securities Representative	Approved	10/22/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	10/22/2024
B	FINRA	Investment Co./Variable Contracts Prin	Approved	10/22/2024
B	Alaska	Agent	Approved	02/05/2026
IA	Arizona	Investment Adviser Representative	Approved	11/07/2024
B	California	Agent	Approved	10/22/2024
B	Colorado	Agent	Approved	11/18/2024
B	Florida	Agent	Approved	10/23/2024
B	Georgia	Agent	Approved	10/23/2024
B	Hawaii	Agent	Approved	12/05/2024
B	Illinois	Agent	Approved	12/19/2024
B	Indiana	Agent	Approved	10/22/2024

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	10/22/2024
B	Louisiana	Agent	Approved	10/22/2024
B	Maryland	Agent	Approved	10/22/2024
B	Nevada	Agent	Approved	10/22/2024
B	New Jersey	Agent	Approved	07/17/2026
B	New Mexico	Agent	Approved	10/22/2024
B	North Carolina	Agent	Approved	11/18/2024
B	Oklahoma	Agent	Approved	10/22/2024
B	Pennsylvania	Agent	Approved	10/22/2024
B	Tennessee	Agent	Approved	10/22/2024
B	Texas	Agent	Approved	10/22/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	10/22/2024
B	Utah	Agent	Approved	05/19/2025
B	Virginia	Agent	Approved	10/22/2024
IA	Virginia	Investment Adviser Representative	Approved	10/22/2024
B	Washington	Agent	Approved	10/22/2024

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
2360 Great Neck Circle
Virginia Beach, VA 23454

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/27/2009
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	05/28/1999

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	11/02/2009
B	General Securities Representative Examination (S7)	Series 7	11/17/2008
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/23/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/24/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/23/1988

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	05/04/2010 - 11/15/2024	INTERVEST INTERNATIONAL EQUITIES CORPORATION	CRD# 20289	VIRGINIA BEACH, VA
IA	05/04/2010 - 11/15/2024	INTERVEST INTERNATIONAL, INC.	CRD# 111516	VIRGINIA BEACH, VA
IA	10/21/2008 - 05/06/2010	MICG INVESTMENT MANAGEMENT	CRD# 104028	NORFOLK, VA
B	10/21/2008 - 05/06/2010	MICG INVESTMENT MANAGEMENT, LLC	CRD# 104028	NORFOLK, VA
IA	06/20/2008 - 10/13/2008	FISHER INVESTMENTS	CRD# 107342	VIRGINIA BEACH, VA
B	06/01/2008 - 06/11/2008	INFINEX INVESTMENTS, INC.	CRD# 35371	VIRGINIA BEACH, VA
IA	06/01/2008 - 06/11/2008	INFINEX INVESTMENTS, INC.	CRD# 35371	VIRGINIA BEACH, VA
B	08/23/2007 - 06/01/2008	BI INVESTMENTS, LLC	CRD# 125437	VIRGINIA BEACH, VA
IA	08/23/2007 - 06/01/2008	BI INVESTMENTS, LLC	CRD# 125437	VIRGINIA BEACH, VA
IA	09/02/2005 - 11/29/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	TAMPA, FL
B	06/24/1988 - 11/29/2006	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	TAMPA, FL
IA	04/12/2004 - 09/02/2005	FIRST COMMAND BANK	CRD# 128851	FORT WORTH, TX
IA	09/26/2003 - 04/12/2004	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	TAMPA, 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
10/2024 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2010 - 10/2024	INTERVEST INTERNATIONAL EQUITIES CORP	REGISTERED REPRESENTATIVE	Y	COLORADO SPRINGS, CO, 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) MISSION CRITICAL FPI; INVESTMENT RELATED; VIRGINIA BEACH, VA; OWNER/FINANCIAL CONSULTANT; ACTIVITY BEGAN 07/2020; I DEVOTE APPX 130 HOURS TO THIS ACTIVITY SOME DURING TRADING HOURS; DBA USED FOR BUSINESS PURPOSES.

2) INSURANCE; INVESTMENT RELATED; VIRGINIA BEACH, VA; INSURANCE SALES; AGENT; ACTIVITY BEGAN IN 1988; I DEVOTE APPX 40 HOURS PER MONTH TO THIS ACTIVITY ALL DURING TRADING HOURS;ADVISE CLIENTS ON SALE OF INSURANCE PRODUCTS.

3) JEFFREY S GERACI, LLC; NOT INVESTMENT RELATED; VIRGINIA BEACH, VA; S CORP; PRESIDENT; ACTIVITY BEGAN 11/2024; I DEVOTE APPX 5 HOURS PER MONTH TO THIS ACTIVITY WITH ALL OF THOSE HOURS DURING TRADING HOURS; ALLOWS FILING OF TAXES AS A S CORP.

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	1
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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/09/2011
Docket/Case Number:	2010023044101
Employing firm when activity occurred which led to the regulatory action:	MICG INVESTMENT MANAGEMENT, LLC
Product Type:	Other: CONVERTIBLE NOTES
Allegations:	FINRA RULE 2010, NASD RULE 2310, INTERPRETATIVE MATERIAL 2310-2: GERACI RECOMMENDED TO A CUSTOMER, WHO WAS NOT AN ACCREDITED INVESTOR AND DID NOT OTHERWISE HAVE SUBSTANTIAL NET WORTH, THAT SHE PURCHASE A HIGH-RISK ILLIQUID SECURITY, A CONVERTIBLE NOTE, WITHOUT HAVING REASONABLE GROUNDS TO BELIEVE THE SECURITY WAS SUITABLE FOR HER. GERACI ASSISTED THE CUSTOMER IN COMPLETING THE NECESSARY FORMS TO EFFECT THE PURCHASE. THE PRIVATE PLACEMENT MEMORANDUM (PPM) STATED THAT THE NOTES HAD NOT BEEN AND WOULD NOT BE REGISTERED UNDER THE SECURITIES ACT OF 1933. IT ALSO STATED THAT THE NOTES INVOLVED A HIGH DEGREE OF RISK AND THAT THE NOTES WERE SUITABLE ONLY FOR PERSONS OF SUBSTANTIAL NET WORTH WHO HAD THE ABILITY TO PURCHASE A HIGH-RISK ILLIQUID INVESTMENT AND COULD "BEAR THE RISK OF A COMPLETE LOSS OF THEIR INVESTMENT." IN RECOMMENDING TO THE CUSTOMER THAT SHE PURCHASE A NOTE, AND IN CAUSING THE NOTE PURCHASE TO BE EFFECTED ON HER BEHALF,

	GERACI DID NOT HAVE REASONABLE GROUNDS TO BELIEVE THAT A NOTE WAS SUITABLE FOR THE CUSTOMER BASED ON FACTS AND INFORMATION KNOWN TO HIM. THE NOTE WAS NOT SUITABLE FOR THE CUSTOMER BECAUSE THE RISK CHARACTERISTICS OF THE NOTE WERE NOT COMPATIBLE WITH HER INVESTMENT OBJECTIVES OR WITH HER FINANCIAL NEEDS AND CIRCUMSTANCES. HER PRINCIPAL INVESTMENT OBJECTIVES WERE TO GENERATE INCOME TO PAY HER MONTHLY EXPENSES AND TO HAVE FUNDS AVAILABLE IF SHE WERE TO NEED LONG-TERM CARE. HER RISK PROFILE WAS CONSERVATIVE. THE COMPANY THAT ISSUED THE SECURITY DEFAULTED ON THE NOTES, WHICH ARE NOW EFFECTIVELY WORTHLESS AND THE CUSTOMER SUSTAINED A COMPLETE LOSS OF HER $50,000 INVESTMENT.
Current Status:	Final
Resolution:	Decision
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:	03/07/2013
Sanctions Ordered:	Restitution Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	TWO BUSINESS DAYS
Start Date:	03/18/2013
End Date:	03/19/2013

Monetary Sanction 1 of 1

Monetary Related Sanction:	Restitution
Total Amount:	$50,000.00
Portion Levied against individual:	$50,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:	
Regulator Statement	HEARING PANEL DECISION RENDERED JANUARY 18, 2013 WHEREIN GERACI IS SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO BUSINESS DAYS AND ORDERED TO PAY RESTITUTION IN FULL TO A CUSTOMER IN THE AMOUNT OF $50,000, PLUS INTEREST, FOR MAKING AN UNSUITABLE RECOMMENDATION, IN VIOLATION OF FINRA RULE 2010, NASD RULE 2310 AND INTERPRETATIVE MATERIAL 2310-2. RESTITUTION SHALL BE PAYABLE ON A DATE SET BY FINRA BUT NOT LESS THAN 30 DAYS AFTER THIS DECISION BECOMES FINRA'S FINAL DISCIPLINARY ACTION. GERACI'S SUSPENSION WILL BE EFFECTIVE MARCH 18, 2013 THROUGH MARCH 19, 2013. THE DECISION IS FINAL MARCH 7, 2013.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/09/2011
Docket/Case Number:	2010023044101
Employing firm when activity occurred which led to the regulatory action:	MICG INVESTMENT MANAGEMENT LLC
Product Type:	Other: CONVERTIBLE NOTES
Allegations:	POSSIBLE VIOLATION OF SUITABILITY IN REGARD TO SALE OF CONVERTIBLE NOTES
Current Status:	Final
Resolution:	Decision
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:	01/18/2013
Sanctions Ordered:	Restitution Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	2 DAYS
Start Date:	03/18/2013
End Date:	03/19/2013
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution

Total Amount:	$50,000.00
Portion Levied against individual:	$50,000.00
Payment Plan:	PAYMENT DUE IN FULL BY APRIL 8, 2013
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	CLIENT HAS NOT MADE ANY COMPLAINT REGARDING THIS SALE. THIS WAS ORIGINALLY ENTERED ON 11/11/2011 AND WE HAVE A PRINTOUT SHOWING IT BUT FOR SOME REASON IT DID NOT PROCESS.

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:	Individual
Employing firm when activities occurred which led to the complaint:	MICG INVESTMENTS MANAGEMENT
Allegations:	FAILURE TO COMPLETE REDEMPTION INSTRUCTIONS ON INHERITED ACCOUNT (3 DAYS) FROM BROKER [BROKER] WHO RESIGNED FROM MICG.
Product Type:	Real Estate Security
Alleged Damages:	$164,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-03454
Date Notice/Process Served:	12/21/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/06/2013
Monetary Compensation Amount:	$110,000.00
Individual Contribution Amount:	$55,000.00
Broker Statement	BROKER [BROKER] RECEIVED INSTRUCTIONS TO LIQUIDATE KBS REAL ESTATE TRUST ON FEB 17, 2009. [BROKER] STATED HE GAVE THE INSTRUCTIONS TO MCIG BACK OFFICE PERSONEL ([OTHER FIRM EMPLOYEE]). [BROKER] RESIGNED 3 DAYS LATER ON FEB 20TH, 2009. INSTRUCTIONS WERE NEVER SENT TO KBS. MR GERACI INHERITED THE ACCOUNT WHEN [BROKER] RESIGNED. FORMER [CUSTOMER] BROKER PAYING $55,000 AS IS MR GERACI PAYING $55,000. IN LIEU OF THOSE PAYMENTS EACH WILL RECEIVE ONE HALF OF SHARES OF KBS REIT PER TERMS OF MEDIATED AGREEMENT.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	N/A
Allegations:	UNSUITABILITY; MISREPRESENTATION AND OMISSIONS

Product Type:	Other: CONVERTIBLE NOTE
Alleged Damages:	$50,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #10-02564
Date Notice/Process Served:	05/20/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/23/2011
Disposition Detail:	ON OR ABOUT APRIL 23, 2011, CLAIMANT ADVISED FINRA THAT SHE HAD ENTERED INTO A SETTLEMENT AGREEMENT WITH GERACI.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MICG WEALTH MANAGEMENT
Allegations:	CLIENT ALLEGES UNSUITABLE SALE OF MICG NOTE TO NON ACCREDITED INVESTOR
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$50,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-02564
Date Notice/Process Served:	06/18/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/22/2011
Monetary Compensation Amount:	$9,100.00
Individual Contribution Amount:	$9,100.00
Broker Statement	THERE ARE 2 OTHER PARTIES NAMED, BRIAN MATTHEW KROVIC & JEFFREY ALAN MARTINOVICH.

End of Report

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