



IAPD Report

STEPHEN DEWEY GODFREY III

CRD# 1866559

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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

STEPHEN DEWEY GODFREY III (CRD# 1866559)

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 **06/25/2024**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA FINANCIAL PLANNING PARTNERS	CRD# 131832	02/28/2007

QUALIFICATIONS

This representative is currently registered in **0** 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 SIGNATOR INVESTORS, INC.	468	OVERLAND PARK, KS	03/15/1999 - 04/05/2005
B SIGNATOR INVESTORS, INC.	468	BOSTON, MA	03/09/1999 - 04/05/2005
B LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN	08/23/1988 - 03/09/1999

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	18



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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FINANCIAL PLANNING PARTNERS**
Main Address: 13401 MISSION RD
SUITE 203A
LEAWOOD, KS 66209
Firm ID#: 131832

	Regulator	Registration	Status	Date
	Kansas	Investment Adviser Representative	Approved	02/28/2007
	Missouri	Investment Adviser Representative	Approved	05/29/2008
	Texas	Investment Adviser Representative	Restricted Approval	10/03/2018

Branch Office Locations

FINANCIAL PLANNING PARTNERS
13401 MISSION RD
Suite 203A
LEAWOOD, KS 66209



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B General Securities Representative Examination (S7)	Series 7	08/20/1988
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	08/30/1988
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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	03/15/1999 - 04/05/2005	SIGNATOR INVESTORS, INC.	CRD# 468	OVERLAND PARK, KS
B	03/09/1999 - 04/05/2005	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	08/23/1988 - 03/09/1999	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	08/23/1988 - 03/09/1999	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	08/23/1988 - 01/03/1989	LINCOLN NATIONAL PENSION INSURANCE COMPANY	CRD# 10293	

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
03/2005 - Present	FINANCIAL PLANNING PARTNERS	PRINCIPAL	Y	LEAWOOD, KS, 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.

No information reported.



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	18

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:	MISSOURI
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	CONSENT
Date Initiated:	05/27/2008
Docket/Case Number:	AP-08-03
Employing firm when activity occurred which led to the regulatory action:	SIGNATOR INVESTORS, INC.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITIES

Allegations: THE DIVISION ALLEGES THAT GODFREY, THROUGH A SERIES OF SEMINARS AND MEETINGS, CONVINCED SEVERAL INVESTORS THAT, UPON RETIREMENT, THEY COULD MAINTAIN A SECURE FINANCIAL FUTURE BY ROLLING THEIR 401(K) RETIREMENT SAVINGS TO GODFREY FOR MANAGEMENT. GODFREY'S STRATEGY INCLUDED HAVING CLIENTS RECEIVE SYSTEMATIC DISTRIBUTIONS THROUGH THE USE OF IRS RULE 72(T) THAT REQUIRES SET DISTRIBUTIONS UNTIL THE CLIENT REACHES AGE 59 1/2. TO MAINTAIN PROJECTED RETURNS, CLIENTS' SAVINGS WERE INVESTED IN UNSUITABLY AGGRESSIVE STOCKS AND MUTUAL FUNDS. A DECLINE IN THE VALUE OF THEIR INVESTMENTS AS WELL AS THE CASH WITHDRAWALS REQUIRED BY IRS RULE 72(T) RESULTED IN LARGE DECLINES IN THE VALUE OF CLIENTS' ACCOUNTS. THIS CONSTITUTES



GROUNDS TO DENY GODFREY'S APPLICATION FOR INVESTMENT ADVISER REPRESENTATIVE REGISTRATION.

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? Yes

Resolution Date: 05/27/2008

Sanctions Ordered: Censure
Monetary/Fine \$25,000.00
Suspension

Other Sanctions Ordered: GODFREY IS CENSURED; GODFREY IS SUSPENDED FOR 15 DAYS (THE SUSPENSION WILL BE WAIVED PROVIDED GODFREY COMPLIES WITH THE PROVISIONS OF THE ORDER); GODFREY WILL NOT (A) CONDUCT INVESTMENT SEMINARS (B) DISCUSS OR RECOMMEND IRS CODE 72(T) DISTRIBUTIONS; (C) EXERCISE DISCRETIONARY AUTHORITY OVER CLIENT ACCOUNTS; (D) COMPILE PROJECTIONS OF POSSIBLE FUTURE INVESTMENT RETURNS OR INCOME STREAMS; (E) RECOMMEND SPECIFIC TRADING OR INVESTMENT SELECTIONS; GODFREY WILL PAY THE MO INVESTOR EDUCATION AND PROTECTION FUND \$25,000 (BUT \$15,000 OF THIS AMOUNT WILL BE SUSPENDED PROVIDED GODFREY COMPLIES WITH THE TERMS OF THE ORDER); GODFREY WILL DISGORGE \$25,168.46 IN INVESTMENT ADVISORY FEES COLLECTED FROM MO CLIENTS DURING THE PERIOD IN WHICH HE WAS NOT REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE; AND GODFREY WILL NOT BILL MO CLIENTS FOR ANY INVESTMENT ADVISORY ACTIVITY THAT OCCURRED DURING THE PERIOD IN WHICH HE WAS NOT REGISTERED.

Sanction Details: GODFREY IS CENSURED; GODFREY IS SUSPENDED FOR 15 DAYS (THE SUSPENSION WILL BE WAIVED PROVIDED GODFREY COMPLIES WITH THE PROVISIONS OF THE ORDER); GODFREY WILL NOT (A) CONDUCT INVESTMENT SEMINARS (B) DISCUSS OR RECOMMEND IRS CODE 72(T) DISTRIBUTIONS; (C) EXERCISE DISCRETIONARY AUTHORITY OVER CLIENT ACCOUNTS; (D) COMPILE PROJECTIONS OF POSSIBLE FUTURE INVESTMENT RETURNS OR INCOME STREAMS; (E) RECOMMEND SPECIFIC TRADING OR INVESTMENT SELECTIONS; GODFREY WILL PAY THE MO INVESTOR EDUCATION AND PROTECTION FUND \$25,000 (BUT \$15,000 OF THIS AMOUNT WILL BE SUSPENDED PROVIDED GODFREY COMPLIES WITH THE TERMS OF THE ORDER); GODFREY WILL DISGORGE \$25,168.46 IN INVESTMENT ADVISORY FEES COLLECTED FROM MO CLIENTS DURING THE PERIOD IN WHICH HE WAS NOT REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE; AND GODFREY WILL NOT BILL MO CLIENTS FOR ANY INVESTMENT ADVISORY ACTIVITY THAT OCCURRED DURING THE PERIOD IN WHICH HE WAS NOT REGISTERED.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF MISSOURI SECRETARY OF STATE - MISSOURI DIVISION OF SECURITIES

Sanction(s) Sought: Censure



Date Initiated:	10/06/2007
Docket/Case Number:	AP-0803
Employing firm when activity occurred which led to the regulatory action:	SIGNATOR INVESTORS
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Allegations:	CLAIMS SEMINARS CONVINCED INVESTORS TO ROLLOVER 401K AND USE 72T DISTRIBUTION METHOD TO DRAW FROM IRA'S UNTIL AGE 59.5
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?	Yes
Resolution Date:	05/15/2008
Sanctions Ordered:	Censure
Broker Statement	NO SEMINARS IN THE STATE OF MISSOURI - WAIVED SUSPENSION FOR 15 DAYS. THIS CASE WAS OPENED BY MISSOURI AFTER A LETTER OF CAUTION WAS SENT ON THE SAME FILES IN JULY OF 2005, THE CASE IS CLOSED AND ALL ORDERS ARE IN COMPLIANCE.



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 18

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SIGNATOR INVESTORS INC
Allegations:	COMPLAINANTS ALLEGE REPRESENTATIVE MADE UNSUITABLE INVESTMENTS ON COMPLAINANT'S BEHALF.
Product Type:	Mutual Fund
Alleged Damages:	\$594,000.00
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 ARBITRATION KANSAS CITY MISSOURI
Docket/Case #:	NUMBER 08-05027
Filing date of arbitration/CFTC reparation or civil litigation:	12/27/2008

Customer Complaint Information

Date Complaint Received:	01/10/2009
Complaint Pending?	No
Status:	Settled
Status Date:	12/27/2008
Settlement Amount:	\$96,250.00
Individual Contribution Amount:	\$56,558.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION KANSAS CITY MISSOURI
Docket/Case #:	NUMBER 08-05027
Date Notice/Process Served:	12/27/2008
Arbitration Pending?	No
Disposition:	Settled



Disposition Date: 08/10/2010
Monetary Compensation Amount: \$96,250.00
Individual Contribution Amount: \$56,558.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS
Allegations: CLAIMS OF UNSUITABLE INVESTMENTS AND MARKET LOSSES AND A HIGH 72T DISTRIBUTION FROM PORTFOLIO
Product Type: Mutual Fund
Alleged Damages: \$594,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Settled
Status Date: 08/16/2010
Settlement Amount: \$96,250.00
Individual Contribution Amount: \$48,125.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD
Docket/Case #: 08-05027
Date Notice/Process Served: 01/10/2009
Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/16/2010
Monetary Compensation Amount: \$96,250.00
Individual Contribution Amount: \$48,125.00

Disclosure 2 of 18

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS INC
Allegations: COMPLAINANTS ALLEGE REPRESENTATIVE MADE RECOMMENDATIONS OF UNSUITABLE INVESTMENTS, MADE MATERIAL MISREPRESENTATIONS AND



OMMISSIONS RELATED TO VARIOUS RISK ASSOCIATED WITH THE INVESTMENTS RECOMMENDED AND ALSO MISMANAGED CLAIMANTS RETIREMENT ACCOUNTS.

Product Type: Mutual Fund
Alleged Damages: \$188,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 08-04918

Date Notice/Process Served: 12/30/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/14/2009

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$30,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS

Allegations: UNSUITABLE INVESTMENTS AND MISMANAGEMENT OF ASSETS FROM NOVEMBER 2000 TO SEPTEMBER 2008 MARKET LOSS

Product Type: Mutual Fund

Alleged Damages: \$173,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 11/06/2009

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$16,666.67

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 08-04918

Date Notice/Process Served: 01/03/2009



Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/06/2009
Monetary Compensation Amount: \$50,000.00
Individual Contribution Amount: \$16,666.67

Civil Litigation Information

Type of Court: State Court
Name of Court:
Location of Court:
Docket/Case #:
Date Notice/Process Served:
Litigation Pending?

Disclosure 3 of 18

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: COMPLAINANT ALLEGES UNSUITABLE INVESTMENTS OF RETIREMENT FUNDS.
Product Type: Other
Other Product Type(s): FEE BASED ACCOUNT
Alleged Damages: \$158,000.00

Customer Complaint Information

Date Complaint Received: 07/17/2007
Complaint Pending? No
Status: Denied
Status Date: 08/22/2007
Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 18

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: CUSTOMER ALLEGE THE HEARTLAND GALLOGLY AGENCY WAS THE SUPERVISOR OF STEPHEN GODFREY WHO WAS THEIR FINANCIAL ADVISOR AND CUSTOMERS ARE COMPLAINING ABOUT INVESTMETN



RECOMMENDATIONS AND THAT ACCOUNT VALUES DROPPED DURING THE STOCK MARKET DECLINE

Product Type: Mutual Fund(s)
Other Product Type(s): EQUITY LISTED COMMON STOCK
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 01/03/2005
Complaint Pending? No
Status: Litigation
Status Date: 09/20/2005
Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIVIL LITIGATION, 04-2502 US DISTRICT COURT FOR KANSAS, WYANDOTTE COUNTY
Date Notice/Process Served: 09/20/2005
Litigation Pending? No
Disposition: Settled
Disposition Date: 04/30/2007
Monetary Compensation Amount: \$100,100.00
Individual Contribution Amount: \$66,733.33

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS
Allegations: MARKET LOSS, MISMANAGEMENT OF ACCOUNTS
Product Type: Mutual Fund
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Settled
Status Date: 01/23/2007
Settlement Amount: \$165,000.00
Individual Contribution Amount: \$55,000.00

**Civil Litigation Information**

Type of Court: Federal Court
Name of Court: US DISTRICT COURT KANSAS
Location of Court: WYANDOTTE COUNTY
Docket/Case #: 04-2502-CM
Date Notice/Process Served: 09/20/2005
Litigation Pending? No
Disposition: Settled
Disposition Date: 01/23/2007
Monetary Compensation Amount: \$165,000.00
Individual Contribution Amount: \$55,000.00

Disclosure 5 of 18

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: MARKET LOSS AND POOR INVESTMENT DIRECTIONS
Product Type: Mutual Fund(s)
Other Product Type(s): EQUITIES STOCKS
Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2003
Complaint Pending? No
Status: Litigation
Status Date: 09/20/2005
Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIVIL LITIGATION 04-2501, US DISTRICT COURT FOR KANSAS, WYANDOTTE COUNTY
Date Notice/Process Served: 09/20/2005
Litigation Pending? No
Disposition: Settled
Disposition Date: 04/30/2007
Monetary Compensation Amount: \$167,870.00

**Amount:****Individual Contribution** \$111,913.33**Amount:**
.....**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** SIGNATOR INVESTORS**Allegations:** MARKET LOSS AND MISMANAGEMENT OF ACCOUNTS**Product Type:** Mutual Fund**Alleged Damages:** \$500,000.00**Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Status:** Settled**Status Date:** 09/20/2005**Settlement Amount:** \$165,000.00**Individual Contribution Amount:** \$55,000.00**Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** U.S> DISTRICT COURT FOR DISTRICT OF KANSAS**Docket/Case #:** 04-2501**Date Notice/Process Served:** 09/20/2005**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 01/23/2007**Monetary Compensation Amount:** \$165,000.00**Individual Contribution Amount:** \$55,000.00**Disclosure 6 of 18****Reporting Source:** Firm**Employing firm when activities occurred which led to the complaint:** SIGNATOR INVESTORS, INC.**Allegations:** MARKET LOSS, MISMANAGEMENT OF ACCOUNTS**Product Type:** Mutual Fund(s)**Alleged Damages:** \$350,000.00**Customer Complaint Information**



Date Complaint Received: 09/20/2005

Complaint Pending? No

Status: Litigation

Status Date: 09/20/2005

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: CIVIL LITIGATION 04-2500 US DISTRICT COURT FOR KANSAS, WYANDOTTE COUNTY

Date Notice/Process Served: 09/20/2005

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/30/2007

Monetary Compensation Amount: \$227,030.00

Individual Contribution Amount: \$151,353.33

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS

Allegations: MARKET LOSS, MISMANAGEMENT OF ACCOUNTS

Product Type: Mutual Fund

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 01/23/2007

Settlement Amount: \$165,000.00

Individual Contribution Amount: \$55,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): US DISTRICT COURT OF KANSAS

Docket/Case #: 04-2500

Date Notice/Process Served: 09/20/2005

Arbitration Pending? No



Disposition: Settled
Disposition Date: 01/23/2007
Monetary Compensation Amount: \$165,000.00
Individual Contribution Amount: \$55,000.00

Disclosure 7 of 18

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL ADVISORS

Allegations: CLAIMANTS ALLEGE THE SUFFERED LOSSES IN THEIR INVESTMENTS AS A RESULT OF BEING MISMANAGED BY RESPONDENTS. FURTHER, THEY ALLEGE THE RISKS ASSOCIATED WITH SOME OF THEIR INVESTMENTS WERE NOT DISCLOSED. CO-RESPONDENT GODFREY IS A FORMER REGISTERED REPRESENTATIVE WITH LINCOLN.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 03/08/2007
Complaint Pending? No
Status: Settled
Status Date: 07/02/2008
Settlement Amount: \$150,000.00
Individual Contribution Amount: \$75,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 0700653
Date Notice/Process Served: 03/05/2007
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/02/2008
Monetary Compensation Amount: \$150,000.00
Individual Contribution Amount: \$75,000.00

Firm Statement THE PREVIOS FILING TO SHOW DISMISSAL ON INDIVIDUAL WAS FILED IN ERROR.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: CLAIMANTS ALLEGE BREACH OF CONTRACT; NEGLIGENCE; BREACH OF FIDUCIARY DUTY; MISREPRESENTATIONS/NON-DISCLOSURES; OMISSION OF FACTS; SUITABILITY.

Product Type: Mutual Fund(s)

Other Product Type(s): COMMON STOCK, CORPORATE BONDS, OPTIONS

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 02/27/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/03/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA CASE NUMBER 07-00653

Date Notice/Process Served: 03/08/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/03/2008

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$100,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS AND LINCOLN FINANCIAL

Allegations: MARKET LOSS

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 03/05/2007

Complaint Pending? No



Status: Settled

Status Date: 07/02/2008

Settlement Amount: \$150,000.00

Individual Contribution Amount: \$75,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 0700653

Date Notice/Process Served: 03/05/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/02/2008

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$75,000.00

Disclosure 8 of 18

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: CLAIMANTS ALLEGE NEGLIGENT MANAGEMENT OF THE ACCOUNTS; BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; VIOLATION OF KANSAS SECURITIES ACT; VIOLATION OF THE FEDERAL SECURITIES ACT; VIOLATION OF THE KANSAS CONSUMER PROTECTION ACT; BREACH OF THE DUTY OF GOOD FAITH AND FAIR DEALINGS.

Product Type: Mutual Fund(s)

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 08/17/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 08/17/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION, CASE # 05-04065



Date Notice/Process Served: 08/17/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/14/2006

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$8,333.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTOR

Allegations: MARKET LOSS, INVOLVING MUTUAL FUNDS AND COMMON STOCK

Product Type: Mutual Fund

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 10/26/2006

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$8,333.33

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: 05-04065

Date Notice/Process Served: 08/17/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2007

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$8,333.33

Disclosure 9 of 18

Reporting Source: Regulator



Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: MISREPRESENTATION AND OMISSION; NEGLIGENCE; BREACH OF FIDUCIARY DUTY

Product Type: Mutual Fund(s)

Other Product Type(s): STOCKS

Alleged Damages: \$250,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-06045](#)

Date Notice/Process Served: 08/24/2004

Arbitration Pending? No

Disposition: Other

Disposition Date: 04/11/2006

Disposition Detail: STIPULATED AWARD: CLAIMANTS' CLAIMS ARE DENIED WITH PREJUDICE

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS INC.

Allegations: ATTEMPT TO RECOVER MARKET LOSSES INSIDE INVESTMENT ACCOUNTS

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY LISTED STOCKS, COMMON

Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 09/01/2004

Complaint Pending? No

Status: Settled

Status Date: 08/15/2005

Settlement Amount: \$95,000.00

Individual Contribution Amount: \$31,666.67

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD-DR 04-06045](#)

Date Notice/Process Served: 09/01/2004

Arbitration Pending? No

Disposition: Settled



Disposition Date: 08/15/2005

Monetary Compensation Amount: \$95,000.00

Individual Contribution Amount: \$31,666.67

Disclosure 10 of 18

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: MISREPRESENTATION AND OMISSION; NEGLIGENCE; BREACH OF FIDUCIARY DUTY

Product Type: Mutual Fund(s)

Other Product Type(s): STOCKS

Alleged Damages: \$200,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #04-03373](#)

Date Notice/Process Served: 05/14/2004

Arbitration Pending? No

Disposition: Other

Disposition Date: 04/21/2006

Disposition Detail: STIPULATED AWARD: CLAIMANT'S CLAIMS ARE DENIED WITH PREJUDICE

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: ATTEMPT TO RECOVER MARKET LOSSES INSIDE INVESTMENT ACCOUNTS

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY LISTED STOCK, COMMON

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 05/24/2004

Complaint Pending? No

Status: Settled

Status Date: 05/24/2004

Settlement Amount: \$125,000.00



Individual Contribution Amount: \$41,666.67

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 04-03373](#)

Date Notice/Process Served: 05/17/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/19/2005

Monetary Compensation Amount: \$125,000.00

Individual Contribution Amount: \$41,666.67

Disclosure 11 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS INC.

Allegations: MARKET LOSS AND POOR INVESTMENT DIRECTIONS

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITIES STOCKS

Alleged Damages: \$300,000.00

Customer Complaint Information

Date Complaint Received: 01/28/2003

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/06/2003

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement WRITTEN COMPLIANT SUBMITTED TO SIGNATOR COMPLIANCE DEPARTMENT AND AN INVESTIGATION PROCESS WAS COMPLETED BY SIGNATOR COMPLIANCE AND THE COMPLAINT WAS CLOSED AFTER WRITTEN FINDING WERE SENT TO THE CLIENT

Disclosure 12 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS INC.

Allegations: MARKET LOSS, SUITABILITY



Product Type: Mutual Fund(s)
Other Product Type(s): EQUITY LITSTED SECURITIES
Alleged Damages: \$110,000.00

Customer Complaint Information

Date Complaint Received: 06/04/2003
Complaint Pending? No
Status: Settled
Status Date: 02/05/2004
Settlement Amount: \$56,200.00
Individual Contribution Amount: \$18,733.33

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS CASE NUMBER 03-CV-2295
Date Notice/Process Served: 06/04/2003
Litigation Pending? No
Disposition: Settled
Disposition Date: 02/05/2004
Monetary Compensation Amount: \$56,200.00
Individual Contribution Amount: \$18,733.33

Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 13 of 18

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS
Allegations: INVESTMENT LOSS ON BROKERAGE ACCOUNTS
Product Type: Mutual Fund(s)
Other Product Type(s): EQUITY LISTED COMMON STOCKS
Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 04/09/2003
Complaint Pending? No
Status: Settled
Status Date: 02/05/2004



Settlement Amount: \$127,672.00

Individual Contribution Amount: \$42,557.33

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS
03-CV-2176

Date Notice/Process Served: 04/09/2003

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/05/2004

Monetary Compensation Amount: \$127,672.00

Individual Contribution Amount: \$42,557.33

Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND SIGNED CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 14 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.

Allegations: INVESTMENT LOSSES DUE TO MARKET DECLINE, IMPROPER INVESTMENTS

Product Type: Mutual Fund(s)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 04/09/2003

Complaint Pending? No

Status: Settled

Status Date: 02/05/2004

Settlement Amount: \$144,635.00

Individual Contribution Amount: \$48,211.67

Civil Litigation Information

Court Details: [CUSTOMER] AND [CUSTOMER]
UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS
03-2211-KHV-CM

Date Notice/Process Served: 04/09/2003

Litigation Pending? No

Disposition: Settled



Disposition Date: 02/05/2004
Monetary Compensation Amount: \$144,635.00
Individual Contribution Amount: \$48,211.67
Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND SIGNED CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 15 of 18

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: INVESTMENT LOSS DUE TO MARKET DECLINE, IMPROPER INVESTMENTS
Product Type: Mutual Fund(s)
Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 04/09/2003
Complaint Pending? No
Status: Settled
Status Date: 02/05/2004
Settlement Amount: \$256,740.00
Individual Contribution Amount: \$85,580.00

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS
03-CV-2176
Date Notice/Process Served: 04/09/2003
Litigation Pending? No
Disposition: Settled
Disposition Date: 02/05/2004
Monetary Compensation Amount: \$256,740.00
Individual Contribution Amount: \$85,580.00
Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND SIGNED CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 16 of 18



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: INVESTMENT LOSS DUE TO MARKET DECLINE, IMPROPER INVESTMENT SELECTION
Product Type: Mutual Fund(s)
Other Product Type(s): EQUITY LISTED STOCKS COMMON
Alleged Damages: \$250,000.00

Customer Complaint Information

Date Complaint Received: 02/03/2003
Complaint Pending? No
Status: Settled
Status Date: 02/06/2004
Settlement Amount: \$381,101.00
Individual Contribution Amount: \$127,033.67

Arbitration Information

Disposition: Settled
Disposition Date: 02/06/2004

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS
03-2081-GTV-CM
Date Notice/Process Served: 02/03/2003
Litigation Pending? No
Disposition: Settled
Disposition Date: 02/06/2004
Monetary Compensation Amount: \$381,101.00
Individual Contribution Amount: \$127,033.67

Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND SIGNED CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 17 of 18

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC.
Allegations: INVESTMENT LOSS DUE TO MARKET DECLINE, IMPROPER INVESTMENTS



Product Type: Mutual Fund(s)

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received: 03/07/2003

Complaint Pending? No

Status: Settled

Status Date: 02/12/2004

Settlement Amount: \$30,360.00

Individual Contribution Amount: \$10,120.00

Civil Litigation Information

Court Details: UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS
03-2099-KHV-CM

Date Notice/Process Served: 03/07/2003

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/12/2004

Monetary Compensation Amount: \$30,360.00

Individual Contribution Amount: \$10,120.00

Broker Statement CASE DISMISSED WITH PREJUDICE BASED ON COMPLETION OF SETTLEMENT AND SIGNED CONFIDENTIAL SETTLEMENT AGREEMENT; CLAIMS NOT MERITORIOUS AND SETTLEMENT AMOUNTS REFLECT AS MUCH

Disclosure 18 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS/JOHN HANCOCK

Allegations: BEGINNING IN MARCH OF 2000
PERFORMANCE RESULTS AND MARKET DECLINE

NASD-DR CASE NUMBER 02-02736

Product Type: Mutual Fund(s)

Other Product Type(s): EQUITY LISTED

Alleged Damages: \$900,000.00

Customer Complaint Information

Date Complaint Received: 05/24/2002

Complaint Pending? No

Status: Arbitration/Reparation



Status Date:	05/24/2002
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR CASE NUMBER 02-02736
Date Notice/Process Served:	05/24/2002
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	12/08/2003
Monetary Compensation Amount:	\$341,000.00
Individual Contribution Amount:	\$170,500.00



End of Report

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