



IAPD Report

TODD ARNOLD HAVEMEISTER

CRD# 1942953

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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

TODD ARNOLD HAVEMEISTER (CRD# 1942953)

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 **03/20/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BLUESKYE INVESTMENT ADVISERS, LLC	CRD# 161097	02/14/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	GREAT POINT CAPITAL LLC	114203	Melbourne, FL	08/21/2018 - 05/05/2022
B	J.P. TURNER & COMPANY, L.L.C.	43177	MAITLAND, FL	09/08/2010 - 03/26/2012
B	JHS CAPITAL ADVISORS, INC.	112097	MAITLAND, FL	11/24/2008 - 09/03/2010

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	6
Termination	1
Judgment/Lien	4



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

Employment 1 of 1

Firm Name: **BLUESKYE INVESTMENT ADVISERS, LLC**

Main Address: 618 E. SOUTH ST
SUITE 500
ORLANDO, FL 32801

Firm ID#: 161097

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	02/14/2022

Branch Office Locations

BLUESKYE INVESTMENT ADVISERS, LLC

618 E. SOUTH ST
SUITE 500
ORLANDO, FL 32801



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

Principal/Supervisory Exams

	Exam	Category	Date
B	Registered Options Principal Examination (S4)	Series 4	08/13/1996
B	General Securities Principal Examination (S24)	Series 24	06/29/1995

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	08/15/2018
B	National Commodity Futures Examination (S3)	Series 3	10/29/2012

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/10/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1989



PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	08/21/2018 - 05/05/2022	GREAT POINT CAPITAL LLC	CRD# 114203	Melbourne, FL
B	09/08/2010 - 03/26/2012	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	MAITLAND, FL
B	11/24/2008 - 09/03/2010	JHS CAPITAL ADVISORS, INC.	CRD# 112097	MAITLAND, FL
B	08/05/2002 - 11/25/2008	EMPIRE FINANCIAL GROUP, INC.	CRD# 28759	MAITLAND, FL
B	12/14/1999 - 08/05/2002	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	02/26/1993 - 11/17/1999	FAIRCHILD FINANCIAL GROUP, INC.	CRD# 21404	NEW YORK, NY
B	07/10/1992 - 03/11/1993	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	04/18/1989 - 07/28/1992	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	

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
01/2022 - Present	Blueskye Investment Advisers LLC	Investment Adviser Representative	Y	Orlando, FL, United States
06/2018 - Present	Great Point Capital, LLC	Registered Representative	Y	Melbourne, FL, United States
10/2013 - 06/2018	GI Broadband	Contractor	N	Maitland, FL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

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	6
Termination	1
Judgment/Lien	4

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:

Date Initiated: 03/19/2024

Docket/Case Number: [2022074921901](#)

Employing firm when activity occurred which led to the regulatory action: Great Point Capital LLC

Product Type: Other: Unspecified Private Placements

Allegations: Without admitting or denying the findings, Havemeister consented to the sanctions and to the entry of findings that he sent numerous communications to prospective investors regarding various private placements that failed to comply with the content standards of FINRA Rule 2210(d), as they contained misleading, unwarranted, exaggerated, and/or promissory statements, and omitted explanations of the risks of the offerings, thus failing to provide a fair and balanced presentation. The findings stated that Havemeister sent communications identifying himself as an Investment Banker, a role he did not hold at his member firm and has never been registered with FINRA as. Havemeister also drafted and circulated several communications to more than 25 retail investors within 30 calendar-day periods, regarding different private placements, without obtaining approval from an appropriately qualified registered principal at his firm. Some of these communications made only positive claims about the prospects and



performance of the offering but did not explain any of the risks associated with investing in a speculative, illiquid private placement while others did not provide any factual basis for included claims, did not explain how he reached his estimates, and did not disclose any of the risks of investing. Additionally, at other times, Havemeister sent communications to prospective investors that contained prohibited projected investment performance in violation of FINRA Rule 2210(d)(1)(F).

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

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:

03/19/2024

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
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:	All capacities
Duration:	Five months
Start Date:	04/01/2024
End Date:	08/31/2024

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	Deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No



Amount Waived:



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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	POINTE CAPITAL N/K/A JHS CAPITAL ADVISORS
Allegations:	PLAINTIFF ALLEGES VARIOUS CAUSES OF ACTION RELATED TO A PRIVATE PLACEMENT PURCHASE IN JUNE 2009. THESE INCLUDE, BUT ARE NOT LIMITED TO, FRAUD AND MISREPRESENTATION.
Product Type:	Other: PRIVATE PLACEMENT
Alleged Damages:	\$292,000.00
Alleged Damages Amount Explanation (if amount not exact):	GENERALLY ALLEGED THROUGH FACTS IN THE COMPLAINT, NOT AS SPECIFIED DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03798
Filing date of arbitration/CFTC reparation or civil litigation:	12/18/2012

Customer Complaint Information

Date Complaint Received:	12/21/2012
Complaint Pending?	No
Status:	Settled
Status Date:	02/27/2014
Settlement Amount:	\$70,000.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	CIRCUIT COURT ORANGE COUNTY FLORIDA
Location of Court:	ORLANDO, FLORIDA



Docket/Case #: 2011-CA-010568-0

Date Notice/Process Served: 10/18/2011

Litigation Pending? Yes

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: POINTE CAPITAL N/K/A JHS CAPITAL ADVISORS

Allegations: PLAINTIFF ALLEGES VARIOUS CAUSES OF ACTION RELATED TO A PRIVATE PLACEMENT PURCHASE IN JUNE 2009. THESE INCLUDE, BUT ARE NOT LIMITED TO, FRAUD AND MISREPRESENTATION.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$292,000.00

Alleged Damages Amount Explanation (if amount not exact): GENERALLY ALLEGED THROUGH FACTS IN THE COMPLAINT, NOT AS SPECIFIED DAMAGES.

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-03798

Filing date of arbitration/CFTC reparation or civil litigation: 12/18/2012

Customer Complaint Information

Date Complaint Received: 12/18/2012

Complaint Pending? No

Status: Settled

Status Date: 02/27/2014

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: CIRCUIT COURT OF ORANGE COUNTY FLORIDA

Location of Court: ORLANDO, FLORIDA

Docket/Case #: 2011-CA-010568-0

Date Notice/Process Served: 11/07/2011

Litigation Pending? No



Disposition: No Action
Disposition Date: 12/19/2012

Disclosure 2 of 6

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: EMPIRE FINANCIAL GROUP, INC. AND JESUP & LAMONT SECURITIES CORP.
Allegations: MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY
Product Type: Promissory Note
Alleged Damages: \$100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #09-02695](#)

Date Notice/Process Served: 05/06/2009

Arbitration Pending? No

Disposition: Award

Disposition Date: 03/22/2010

Disposition Detail: RESPONDENT IS LIABLE ON ALL OF THE CLAIMS ASSERTED BY CLAIMANTS. RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE AMOUNT OF \$100,000 PLUS INTEREST AT THE FLORIDA STATUTORY RATE, ACCRUING FROM AUGUST 4, 2006 UNTIL THE AWARD IS PAID IN FULL. RESPONDENT IS ALSO JOINTLY AND SEVERALLY LIABLE TO CLAIMANTS FOR PUNITIVE DAMAGES IN THE AMOUNT OF \$40,000, HAVING BEEN FOUND TO BE GUILTY OF INTENTIONAL MISCONDUCT AND GROSS NEGLIGENCE.

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EMPIRE FINANCIAL GROUP
Allegations: MISREPRESENTATION
Product Type: Other: PRIVATE PLACEMENT
Alleged Damages: \$100,000.00

Arbitration Information

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

Docket/Case #: [09-02695](#)

Date Notice/Process Served: 05/26/2009

Arbitration Pending? No

Disposition: Award to Customer



Disposition Date: 03/19/2010
Monetary Compensation Amount: \$140,000.00
Individual Contribution Amount: \$140,000.00

Disclosure 3 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION
Allegations: CLIENT ALLEGED REPRESENTATIVE PLACED UNAUTHORIZED TRADES IN SPECULATIVE STOCKS.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2002
Complaint Pending? No
Status: Settled
Status Date: 07/29/2004
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION
Allegations: CLIENT ALLEGED REPRESENTATIVE PLACED UNAUTHORIZED TRADES IN SPECULATIVE STOCKS
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2002
Complaint Pending? No
Status: Settled
Status Date: 07/29/2004
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Broker Statement I HAVE NEVER RECEIVED ANY OTHER NOTIFICATION OF THIS COMPLAINT OR SETTLEMENT UNTIL THE NASD REQUESTED AN AMENDMENT ON MY



FILE IN JANUARY 2005.

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: ALLEGES UNAUTHORIZED TRADING ON MARGIN

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$58,000.00

Customer Complaint Information

Date Complaint Received: 09/23/2002

Complaint Pending? No

Status: Settled

Status Date: 05/13/2005

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO. 02-05288

Date Notice/Process Served: 09/23/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/13/2005

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLEMENT MADE ON BEHALF OF REP & FIRM.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: UNAUTHORIZED TRADING ON MARGN

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$58,000.00



Customer Complaint Information

Date Complaint Received: 09/23/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 09/23/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO 02-05288

Date Notice/Process Served: 09/23/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/03/2008

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FSC SECURITIES CORPORATION

Allegations: CLIENT ALLEGES REPRESENTATIVE PLACED UNAUTHORIZED TRADES IN SPECULATIVE STOCKS.

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 04/04/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

FAIRCHILD FINANCIAL GROUP, INC.

Allegations:

CUSTOMER COMPLAINED ABOUT MISREPRESENTATIONS PERTAINING TO THE RECOMMENDED INVESTMENTS DAMAGES ALLEGED AT \$45,475.

Product Type:

Other

Alleged Damages:

\$45,475.00

Customer Complaint Information

Date Complaint Received:

04/22/1999

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

11/02/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE FIRM INVESTIGATED THE COMPLAINT AND FOUND NO ACTION WARRANTED
I VEHIMENTLY DENY THE ALLEGATIONS SET FORTH IN THE AFOREMENTIONED COMPLAINT



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	GREAT POINT CAPITAL LLC
Termination Type:	Permitted to Resign
Termination Date:	04/08/2022
Allegations:	Todd Havemeister misrepresented himself in retail communications as a lead Investment Banker for a capital raise. Mr. Havemeister was not licensed to act in an investment banking capacity.
Product Type:	Other: Investment Banking Capital Raise



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$15,142.76
Judgment/Lien Type: Tax
Date Filed with Court: 02/29/2016
Date Individual Learned: 02/29/2016
Type of Court: State Court
Name of Court: Orange
Location of Court: Orange Florida
Docket/Case #: 20160101632
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$7,783.32
Judgment/Lien Type: Tax
Date Filed with Court: 02/07/2017
Date Individual Learned: 02/07/2017
Type of Court: State Court
Name of Court: Seminole
Location of Court: Seminole Florida
Docket/Case #: 2017013602
Judgment/Lien Outstanding? Yes

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$4,010.87
Judgment/Lien Type: Tax
Date Filed with Court: 06/11/2013
Date Individual Learned: 06/11/2013
Type of Court: State Court
Name of Court: Seminole



Location of Court: Seminole Florida

Docket/Case #: 2013077064

Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$22,075.45

Judgment/Lien Type: Tax

Date Filed with Court: 11/07/2011

Type of Court: IRS

Name of Court: INTERNAL REVENUE SERVICE

Location of Court: MAITLAND, FLORIDA

Judgment/Lien Outstanding? Yes



End of Report

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