



## IAPD Report

# GARRETT ANDREW AHRENS

CRD# 1999696

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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

### GARRETT ANDREW AHRENS (CRD# 1999696)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/05/2023**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
<b>IA</b> NEWEDGE ADVISORS	CRD# 171351	05/05/2023

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

**Note:** Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

### REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b> AHRENS INVESTMENT PARTNERS, LLC	222517	LAFAYETTE, LA	08/20/2015 - 05/05/2023
<b>IA</b> LPL FINANCIAL LLC	6413	LAFAYETTE, LA	06/10/1998 - 08/25/2015
<b>B</b> LPL FINANCIAL LLC	6413	LAFAYETTE, LA	06/09/1998 - 08/25/2015

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	5
Termination	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **NEWEDGE ADVISORS**  
Main Address: 858 CAMP STREET  
NEW ORLEANS, LA 70130  
Firm ID#: 171351

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	05/05/2023
	Texas	Investment Adviser Representative	Restricted Approval	05/05/2023

### Branch Office Locations

**NEWEDGE ADVISORS**  
412 Settlers Trace Blvd  
Lafayette, LA 70508




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



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/11/2000

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	08/25/2015
 General Securities Representative Examination (S7)	Series 7	10/21/1989

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/22/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/1989

### 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
IA	08/20/2015 - 05/05/2023	AHRENS INVESTMENT PARTNERS, LLC	CRD# 222517	LAFAYETTE, LA
IA	06/10/1998 - 08/25/2015	LPL FINANCIAL LLC	CRD# 6413	LAFAYETTE, LA
B	06/09/1998 - 08/25/2015	LPL FINANCIAL LLC	CRD# 6413	LAFAYETTE, LA
B	09/23/1996 - 06/06/1998	BALENTINE & COMPANY	CRD# 19396	ATLANTA, GA
B	10/25/1989 - 09/24/1996	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

### 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
08/2015 - Present	AHRENS INVESTMENT PARTNERS, LLC	MANAGING MEMBER	Y	LAFAYETTE, LA, 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. GARRETT AHRENS INSURANCE, SOLE PROPRIETOR, START: 1999, SOLE PROPRIETOR, 412 SETTLERS TRACE BLVD. LAFAYETTE, LA 70508, INSURANCE AGENCY/AGENT, INVESTMENT RELATED, 5 HOURS PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS.
2. SEVEN SIERRA, LLC, START: 05/01/14, 412 SETTLERS TRACE BLVD. LAFAYETTE, LA 70508, BUSINESS ENTITY FOR TAX PURPOSES, MEMBER/PASSIVE INVESTOR, NOT INVESTMENT RELATED, 3 HOURS PER MONTH, 0 HOURS PER DAY DURING TRADING
3. DREWPAUL, LLC, START: 01/25/2011, 412 TRACE SETTLERS BLVD. LAFAYETTE, LA 70508, BUSINESS ENTITY FOR TAX PURPOSES, MEMBER/PASSIVE INVESTOR, NOT INVESTMENT RELATED, 1 HOUR PER MONTH, 0 HOURS PER DAY DURING TRADING HOURS
4. SIDELINE HOLDINGS, LLC, STARTED 05/2016, 102 THORNHILL CIRCLE LAFAYETTE, LA 70503, HOLDING COMPANY FOR TAX PURPOSES, HOLDS OTHER INVESTMENTS, MEMBER AND OWNER, NOT INVESTMENT RELATED, 10 HOURS PER MONTH, NONE OF THE TIME DURING SECURITY TRADING HOURS.
5. FIND HER FILMS, LLC, START: 12/2020, 412 SETTLERS TRACE BLVD. LAFAYETTE, LA 70508, OWNS AND PRODUCES THE MOVIE FIND HER, OWNER, NOT INVESTMENT RELATED, 0 HOURS PER MONTH.
6. NewEdge Advisors, LLC. DBA Coastal Capital Advisors; Investment Related; 412 Settlers Trace Blvd. Lafayette LA; Start: 05/2023



## 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	5
Termination	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:**

**Date Initiated:** 10/06/2015

**Docket/Case Number:** [2013036001201](#)

**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC

**Product Type:** Other: private placements; real estate investment trusts

**Allegations:** Without admitting or denying the findings, Ahrens consented to the sanctions and to the entry of findings that he prepared a total of approximately 65 consolidated reports for at least four customers that inaccurately reflected the current value of investments and the performance of investments, including private placements and non-traded real estate investment trusts (REITs). The findings stated that the consolidated reports were false and misleading because the current values of the investments provided on the consolidated reports were shown at a significantly higher price than their actual values.

**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:**

10/06/2015

**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:** Any capacity  
**Duration:** One month  
**Start Date:** 10/12/2015  
**End Date:** 11/11/2015

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$5,000.00  
**Portion Levied against individual:** \$5,000.00  
**Payment Plan:** deferred  
**Is Payment Plan Current:**  
**Date Paid by individual:**  
**Was any portion of penalty waived?** No

**Amount Waived:**

.....  
**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINRA  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension  
**Date Initiated:** 08/04/2015  
**Docket/Case Number:** 20130360012



<b>Employing firm when activity occurred which led to the regulatory action:</b>	LPL
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Violations of NASD Rule 2210(d)(1) (for conduct prior to February 4, 2013), FINRA Rule 2210(d)(1) (for conduct after February 3, 2013) and FINRA Rule 2010 in connection with consolidated reports prepared by Mr. Ahrens.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	10/06/2015
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities with a FINRA Member firm
<b>Duration:</b>	one-month
<b>Start Date:</b>	10/12/2015
<b>End Date:</b>	11/11/2015
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	10/06/2015
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	Mr. Ahrens entered into the AWC with FINRA to avoid the costs and time associated with a full proceeding.



### 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 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL, LLC

**Allegations:** CUSTOMERS ALLEGED THAT THE EXCHANGE OF NAVY MUTUAL INSURANCE POLICIES TO FORETHOUGHT VARIABLE ANNUITIES WAS SUITABLE. CUSTOMERS ASKED TO BE MADE WHOLE ON POLICIES.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES UNSPECIFIED BUT REASONALY BELIEVED TO BE GREATER THAN \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 10/22/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/22/2016

**Settlement Amount:**

#### Individual Contribution Amount:

.....

**Reporting Source:** Individual

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

**Allegations:** On September 14, 2015, [REDACTED] alleged in an email that my recommendation to transfer assets from a Navy Mutual Aid Association product to a ForeThought Annuity was unsuitable. [REDACTED] stated in the email that the value of the ForeThought Annuity was currently worth less than initially invested and he wanted me to correct the situation.



<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Mr. Sasser did not allege a specific damage amount in his written request. However, the surrender costs associated with the ForeTHought Annuity are in excess of \$5000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/14/2015
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	The recommended investments were suitable for the customers. The characteristics of the investments were fully explained, both verbally and in writing. Representative intends to vigorously defend against the allegations.

### Disclosure 2 of 5

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	LPL FINANCIAL
<b>Allegations:</b>	CLAIMANTS ALLEGE THAT LIMITED PARTNERSHIPS AND REIT INVESTMENTS WERE UNSUITABLE AND THAT RISKS WERE NOT EXPLAINED. ACTIVITY PERIOD WAS 6/19/03 THROUGH 1/30/13.
<b>Product Type:</b>	Other: LIMITED PARTNERSHIPS & REITS
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES UNSPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN \$5,000

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	13-00316
<b>Date Notice/Process Served:</b>	02/15/2013
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	04/21/2014



**Monetary Compensation Amount:** \$97,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** IN ORDER TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION THE FIRM MADE THE BUSINESS DECISION TO SETTLE THIS MATTER. THE REGISTERED REPRESENTATIVE WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT AND CONTINUES TO DENY ANY WRONGDOING.

### Disclosure 3 of 5

**Reporting Source:** Individual

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

**Allegations:** FINRA ARBITRATION STATEMENT OF CLAIMS ALLEGES UNSUITABLE INVESTMENTS IN REITS, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE, MISREPRESENTATION, FAILURE TO SUPERVISE AND VIOLATION OF CERTAIN STATE AND FEDERAL STATUTES WITH RESPECT TO THE CLAIMANT'S REIT INVESTMENTS, AND IN PARTICULAR WITH RESPECT TO THE ALLEGED ILLIQUIDITY THEREOF, ALL ALLEGEDLY RESULTING IN UNSPECIFIED DAMAGES TO THE CLAIMANT.

**Product Type:** Other: REITS

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** UNSPECIFIED COMPENSATORY DAMAGES REASONABLY BELIEVED TO EXCEED \$5,000.

### Arbitration Information

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

**Docket/Case #:** 10-03678

**Date Notice/Process Served:** 08/30/2010

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 12/23/2011

**Monetary Compensation Amount:** \$875,000.00

**Individual Contribution Amount:** \$30,000.00

**Broker Statement** IN ORDER TO AVOID THE COSTS AND UNCERTAINTIES OF LITIGATION THE FIRM AND THE REGISTERED REPRESENTATIVE MADE THE BUSINESS DECISION TO SETTLE THIS MATTER. THE REGISTERED REPRESENTATIVE CONTINUES TO DENY ANY WRONGDOING.

### Disclosure 4 of 5

**Reporting Source:** Individual



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

**Allegations:** CUSTOMER, THROUGH COUNSEL, COMPLAINS ABOUT MANAGEMENT OF FEE-BASED ADVISORY ACCOUNT FROM MAY 2008 TO NOVEMBER 2008 AND ALLEGES LOSSES OF \$194,500. CUSTOMER ALSO ALLEGES THAT REIT AND MUTUAL FUND INVESTMENTS WERE UNSUITABLE.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** REITS

**Alleged Damages:** \$194,500.00

### Customer Complaint Information

**Date Complaint Received:** 03/11/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/08/2009

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 5 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** LINSICO / PRIVATE LEDGER CORP.

**Allegations:** CUSTOMERS ALLEGE THAT INVESTMENTS BETWEEN JANUARY 1999 AND AUGUST 2001 WERE UNSUITABLE. COMPENSATORY DAMAGES BEING SOUGHT WERE NOT SPECIFIED, BUT BELIEVED TO BE GREATER THAN \$5000. ALLEGATIONS WILL BE DENIED. CUSTOMERS INVESTED WITH REPRESENTATIVE FROM MARCH 1992 THROUGH AUGUST 2001, AND HAD NET INVESTMENT GAINS OF \$341,500.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** VARIABLE ANNUITIES

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 06/14/2004

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/07/2004

**Settlement Amount:**

**Individual Contribution Amount:**



## 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 2

**Reporting Source:** Individual

**Firm Name:** LPL Financial LLC

**Termination Type:** Voluntary Resignation

**Termination Date:** 08/18/2015

**Allegations:** Potential violations of FINRA Rules 2210 (D)(1) and 2010, relating to consolidated reports provided to individual clients.

**Product Type:** No Product

**Broker Statement** I voluntarily resigned from LPL Financial on August 18, 2015. My resignation had nothing to do with the Wells Notice received on August 4, 2015. LPL Financial defended my use of consolidated reports during the almost two year inquiry by FINRA until I decided to form an independent investment advisory firm and resign from LPL.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Firm Name:** MUTUAL SECURITIES, INC.

**Termination Type:** Discharged

**Termination Date:** 08/19/2015

**Allegations:** UNABLE TO AFFILIATE IN A SUPERVISORY CAPACITY DUE TO PENDING WELLS NOTICE, DATED AUGUST 4, 2015.

**Product Type:** No Product



## End of Report

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