



## IAPD Report

# THEODORE STEWART LORENZEN

CRD# 2044769

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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

### THEODORE STEWART LORENZEN (CRD# 2044769)

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 **04/30/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
<b>IA</b>	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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>	ARBOR POINT ADVISORS	165127	MAYFIELD HTS, OH	04/01/2021 - 11/08/2024
<b>IA</b>	SECURITIES AMERICA ADVISORS, INC.	110518	MAYFIELD HTS, OH	08/26/2005 - 06/14/2024
<b>B</b>	SECURITIES AMERICA, INC.	10205	MAYFIELD HTS, OH	08/22/2005 - 06/14/2024

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
Customer Dispute	5



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

### Employment 1 of 2

Firm Name: **OSAIC WEALTH, INC.**  
Main Address: 18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255  
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	Kansas	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
B	Nebraska	Agent	Approved	04/30/2025
B	North Carolina	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
IA	Ohio	Investment Adviser Representative	Approved	06/14/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	06/14/2024
<b>B</b> Tennessee	Agent	Approved	06/14/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 5900 LANDERBROOK DRIVE SUITE 205  
 MAYFIELD HTS, OH 44124

### Employment 2 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**  
 Main Address: 2300 WINDY RIDGE PARKWAY  
 SUITE 750  
 ATLANTA, GA 30339  
 Firm ID#: 171070

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	11/08/2024

### Branch Office Locations

**OSAIC ADVISORY SERVICES, LLC**  
 5900 LANDERBROOK DRIVE  
 SUITE 205  
 MAYFIELD HEIGHTS, OH 44124



## 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, 4 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	01/30/2012
General Securities Representative Examination (S7)	Series 7	07/28/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/18/1990

#### State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	09/28/1994
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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	04/01/2021 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	MAYFIELD HTS, OH
IA	08/26/2005 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	MAYFIELD HTS, OH
B	08/22/2005 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	MAYFIELD HTS, OH
IA	03/01/2018 - 04/21/2021	CEDAR BROOK GROUP	CRD# 290670	CLEVELAND, OH
IA	01/01/2000 - 08/31/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	CLEVELAND, OH
B	11/01/1993 - 08/31/2005	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	11/01/1993 - 08/31/2005	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	05/21/1990 - 11/17/1993	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	05/21/1990 - 11/17/1993	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ

### 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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	IAR	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	MAYFIELD HTS, OH, United States
04/2021 - 11/2024	Arbor Point Advisors	IAR	Y	MAYFIELD HEIGHTS, OH, United States
08/2005 - 06/2024	SECURITIES AMERICA ADVISOR INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MAYFIELD HEIGHTS, OH, United States
08/2005 - 06/2024	SECURITIES AMERICA INC.	REGISTERED REPRESENTATIVE	Y	MAYFIELD HEIGHTS, OH, United States



### Registration & Employment History

#### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - 03/2021	CEDAR BROOK FINANCIAL PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CLEVELAND, OH, 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.

\*\*\*SECURITIES AMERICA, INC.  
INVESTMENT-RELATED - MAYFIELD HTS, OH - BROKER-DEALER - REGISTERED REPRESENTATIVE - 08/2005 - APPROX 40 HRS/MONTH (APPROX 40 HRS/MONTH DURING TRADING HRS) - GENERAL SECURITIES REPRESENTATIVE.

\*\*\*CEDAR BROOK FINANCIAL PARTNERS  
INSURANCE SALES ADVISOR TIME SPENT 10%

\*\*\*ARBOR POINT ADVISORS  
POSITION: Advisor NATURE: RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 04/01/2021 ADDRESS: 5900 LANDERBROOK DRIVE SUITE 205, MAYFIELD HTS, OH 44124 DESCRIPTION: RIA

\*\*\*DBA - Arbor Group Advisors

\*\*\*ARBOR GROUP ADVISORS, LLC  
POSITION: Investment Advisor representative NATURE: SECURITIES AMERICA ADVISORS, INC. - INVESTMENT ADVISORY - INVESTMENT ADVISOR REPRESENTATIVE - INVESTMENT RELATED - START DATE: 8/2005 - LOCATED AT 5900 LANDERBROOK DR STE 205, MAYFIELD HEIGHTS OH 44124-4031 INVESTMENT RELATED: Yes NUMBER OF HOURS: null SECURITIES TRADING HOURS: null START DATE: 04/01/2021 ADDRESS: 5900 Landerbrook Drive, Suite 205, Cleveland OH 44124 DESCRIPTION: Fee based investment advisory business

\*\*\*INSURANCE SALES  
POSITION: insurance sales NATURE: INSURANCE SALES - AGENT -- LOCATED AT 5900 LANDERBROOK DR STE 205 MAYFIELD HEIGHTS OH 44124-4031 INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 10/01/2009 ADDRESS: 5900 Landerbrook drive, Suite 205, Moreland Hills OH 44022 DESCRIPTION: insurance sales to clients who have a need.

\*\*\*ARBOR POINT ADVISORS  
POSITION: Advisor NATURE: RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 04/01/2021 ADDRESS: 5900 Landerbrook Drive, Suite 205, Cleveland OH 44124 DESCRIPTION: RIA

\*\*\*INSURANCE SALES  
POSITION: agent NATURE: Shop Term Life, Fixed annuities and LTC for clients thru Ash Brokerage INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 07/15/2005 ADDRESS: 5900 Landerbrook drive, Suite 205, Cleveland OH 44124 DESCRIPTION: shopping, underwriting and placing term or u/l life insurance or LTC according to each clients needs.

\*\*\*OHIO EDUCATORS PLANNING GROUP (OEDPG)  
POSITION: Partner NATURE: Insurance sales/ Disability INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

TRADING HOURS: 5 START DATE: 07/01/2014 ADDRESS: 5900 Landerbrook Drive, Suite 205, Mayfield Hts. OH 44124  
DESCRIPTION: Sale of DI insurance to Ohio Educators



## 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
Customer Dispute	5

### 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Securities America, Inc.
<b>Allegations:</b>	Claimant alleges that from April 2008 to May 2015 the representative sold him annuities in unsuitable amounts, thereby overconcentrating his assets in annuities. Additional allegations are violations of FINRA Rules 2110 and 2111, negligence and breach of fiduciary duty.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	No specific damages are alleged but the Firm cannot make a good faith determination that the alleges damages would be less than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	18-02106
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/06/2018

**Customer Complaint Information**

**Date Complaint Received:** 06/18/2018  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/11/2019  
**Settlement Amount:** \$100,000.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement** This matter was settled based upon costs of defense only. I vehemently disagree with the settlement and did not contribute towards the settlement amount paid. I did not admit to any wrongdoing in this matter which was strictly denied. Claimant did not incur any losses and continues to own the complained of annuities which he will access in retirement in accordance to its terms and features which were fully disclosed to him and which he fully understood as a sophisticated investor and business owner.

**Disclosure 2 of 5**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.

**Allegations:** IN CONNECTION WITH THE RECOMMENDATION AND SALE OF AN ALTERNATIVE INVESTMENT IN MAY 2008, CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND OMISSIONS OF MATERIAL FACT, VIOLATIONS OF THE SECURITIES ACT OF 1933, VIOLATION OF THE OHIO UNIFORM SECURITIES ACT, BREACH OF FIDUCIARY DUTY, AND FRAUD.

**Product Type:** Direct Investment-DPP & LP Interests  
**Alleged Damages:** \$50,000.00

**Arbitration Information**

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA  
**Docket/Case #:** 12-01047  
**Date Notice/Process Served:** 03/14/2012  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 03/12/2013  
**Monetary Compensation Amount:** \$24,500.00  
**Individual Contribution Amount:** \$0.00

**Broker Statement** THE FIRM HAS SETTLED WITH THE CLAIMANT. THERE WAS NO CONTRIBUTION FROM THE REPRESENTATIVE, AND NO ADMISSION OF LIABILITY OR WRONG-DOING BY THE REPRESENTATIVE OR THE FIRM.

**Disclosure 3 of 5**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.

**Allegations:** IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL CLAIMANTS ALLEGE FRAUD, NEGLIGENCE, MISREPRESENTATION AND OMISSION OF MATERIAL FACTS, AND VIOLATIONS OF FINRA RULES.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$4,831,000.00

**Alleged Damages Amount Explanation (if amount not exact):** THIS IS A MULTI-CLIENT CLAIM INVOLVING SEVERAL REPRESENTATIVES. ALLEGED DAMAGES FOR THIS REPRESENTATIVE ARE \$100,000.

**Arbitration Information**

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

**Docket/Case #:** 10-01967

**Date Notice/Process Served:** 08/04/2010

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/29/2011

**Monetary Compensation Amount:** \$2,761,026.27

**Individual Contribution Amount:** \$0.00

**Broker Statement** 10/03/2011: THE PORTION OF THIS CLAIM RELATING TO MEDICAL CAPITAL WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. CLAIMS RELATING TO ADDITIONAL PRODUCTS CONTINUE AT THIS TIME. 01/12/2012: THEODORE LORENZEN WAS DISMISSED FROM THIS MATTER WITH PREJUDICE.

**Disclosure 4 of 5**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.

**Allegations:** IN CONNECTION WITH INVESTMENTS IN MEDICAL CAPITAL, CLAIMANTS ALLEGE NEGLIGENCE, NEGLIGENT MISREPRESENTATIONS, BREACH OF FIDUCIARY DUTY, VIOLATIONS OF OHIO BLUE SKY LAWS, AND AIDING & ABETTING FRAUD.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$3,187,000.00



**Alleged Damages Amount Explanation (if amount not exact):** THIS IS A MULTI-CLIENT CLAIM INVOLVING MORE THAN ONE REPRESENTATIVE. ALLEGED DAMAGES FOR THIS REPRESENTATIVE ARE \$230,000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

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

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 09-07274

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/15/2009

### Customer Complaint Information

**Date Complaint Received:** 01/13/2010

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/07/2011

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 09-07294

**Date Notice/Process Served:** 03/07/2011

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/29/2011

**Monetary Compensation Amount:** \$1,479,386.47

**Individual Contribution Amount:** \$0.00

**Broker Statement** 10/03/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

### Disclosure 5 of 5

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** SECURITIES AMERICA, INC.



**Allegations:** CLAIMANTS ALLEGE RECOMMENDATION OF MEDICAL CAPITAL INVESTMENT WAS UNSUITABLE. ALLEGATIONS ALSO INCLUDE MISREPRESENTATION, FRAUD, NEGLIGENCE AND BREACH OF FIDUCIARY DUTY.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$200,000.00

**Arbitration Information**

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

**Docket/Case #:** 09-06887

**Date Notice/Process Served:** 12/22/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/09/2011

**Monetary Compensation Amount:** \$135,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** REPRESENTATIVE ASSERTS THAT CLAIMANTS' ALLEGATIONS ARE TOTALLY WITHOUT MERIT AND ARE CONTRADICTED BY NUMEROUS WRITTEN AND ORAL DISCLOSURES.



## End of Report

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