



IAPD Report

WILLIE CALDWELL JR

CRD# 2097325

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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

WILLIE CALDWELL JR (CRD# 2097325)

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 **02/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	02/01/2017
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	02/03/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	JOHNS CREEK, GA	01/06/2012 - 12/31/2016
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	JOHNS CREEK, GA	01/06/2012 - 12/31/2016
IA	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	DULUTH, GA	09/10/2010 - 01/06/2012

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	4
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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**
Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102
Firm ID#: 16164

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/01/2017
B FINRA	Invest. Co and Variable Contracts	Approved	02/01/2017
B California	Agent	Approved	02/02/2017
B Florida	Agent	Approved	02/02/2017
B Georgia	Agent	Approved	02/03/2017
IA Georgia	Investment Adviser Representative	Approved	02/03/2017
B Louisiana	Agent	Approved	02/26/2024

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
190 Bluegrass Valley Pkwy.
Alpharetta, GA 30005



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, 3 general industry/product exams, 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	01/04/1995
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/17/1991
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	04/08/2010
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/22/1991
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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
B	01/06/2012 - 12/31/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	JOHNS CREEK, GA
IA	01/06/2012 - 12/31/2016	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	JOHNS CREEK, GA
IA	09/10/2010 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	DULUTH, GA
B	10/07/2004 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	10/04/2002 - 05/04/2004	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	01/05/1995 - 09/13/2002	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	01/22/1991 - 11/22/1994	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
02/2017 - Present	Transamerica Financial Advisors, Inc.	Registered Representative	Y	Johns Creek, GA, United States
01/2006 - Present	ZION MISSIONARY BAPTIST CHURCH	MINISTER OF CHRISTIAN EDUCATION & SR. ASSOCIATE PASTOR	N	ROSWELL, GA, United States
05/2004 - Present	WORLD FINANCIAL GROUP	AGENT	Y	ALPHARETTA, GA, United States
06/2006 - 06/2024	ASSURANCE HEALTH	INSURANCE AGENT	N	DULUTH, GA, United States
08/2007 - 06/2020	AFLAC	SALES REP	N	DULUTH, GA, United States
01/2012 - 12/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP.	Y	ALPHARETTA, GA, United States



Registration & Employment History



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.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

ZION MISSIONARY BAPTIST CHURCH. NOT INVESTMENT RELATED. 888 ZION CIRCLE, ROSWELL, GA; POSITION: PASTOR; 1/2006; 100 HRS/MONTH



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	4
Termination	2

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 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE CLIENTS ALLEGED THAT THEIR ACCOUNT WAS MISMANAGED AND THAT THE IR DID NOT FOLLOW THEIR INSTRUCTIONS ON THE USE OF THESE FUNDS. THE CLIENTS CLAIMED THAT THEIR ACCOUNT WAS HANDLED IN A MANNER "INDICATIVE OF GAMBLING, GROSS NEGLIGENCE AND POOR MANAGEMENT." CLIENTS ASSERT THAT THEY LOST APPROXIMATELY \$45,000 AND WANT THEIR ACCOUNT TO BE RESTORED ACCORDINGLY. COMPLAINT WAS ORIGINALLY FILED AGAINST ANOTHER IR AND FURTHER INVESTIGATION REVEALED THAT THIS IR SHOULD HAVE RECEIVED THIS COMPLAINT, THEREBY THE LATE FILING.

Product Type: Other

Alleged Damages: \$45,000.00

Customer Complaint Information

Date Complaint Received: 04/29/2003

Complaint Pending? No

Status: Denied

Status Date: 09/10/2003

Settlement Amount:

**Individual Contribution Amount:****Firm Statement**

A REVIEW OF THESE ACCOUNTS REVEALED THAT THE INVESTMENTS IN QUESTION WERE PRIMARILY MADE IN 1997, 1998 AND 1999. THE IR STATED THAT THE INVESTMENTS IN THE IRA ACCOUNT WERE DISCUSSED WITH THE WIFE ONLY, AS THIS WAS HER IRA ROLLOVER. THE IR ADVISED THAT THE HUSBAND DID NOT HAVE AN ACCOUNT WITH THE IR AND THE IR DID NOT BELIEVE THAT HE INVESTED ANY MONEY WITH EDWARD JONES. ACCORDING TO THE IR, THE ACCOUNT WAS APPROXIMATELY \$ 30,000 WHEN IT TRANSFERRED IN AND THE IR BELIEVED THAT THE ACCOUNT GREW TO APPROXIMATELY \$ 45,000 OVER TIME. IR ADVISED THAT HUSBAND WAS AWARE OF ALL OF THE TRADES AS THE HUSBAND ESSENTIALLY DIRECTED ALL OF THESE TRANSACTIONS. THE CLIENTS RECEIVED COPIES OF ALL TRADE CONFIRMATIONS AND CUSTOMER STATEMENTS, WHICH WOULD HAVE DISCLOSED THESE TRANSACTIONS. CLAIM DENIED.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CLIENT ALLEGED THAT ACCOUNT WAS MISMANAGED AND IR DID NOT FOLLOW INSTRUCTIONS FOR USE OF FUNDS. COMPLAINT WAS ORIGINALLY FILED AGAINST ANOTHER IR AND SUBSEQUENTLY MOVED TO THIS IR.

Product Type:

Equity - OTC

Alleged Damages:

\$45,000.00

Customer Complaint Information**Date Complaint Received:**

04/29/2003

Complaint Pending?

No

Status:

Denied

Status Date:

09/10/2003

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

A REVIEW REVEALED THAT INVESTMENTS IN QUESTION WERE MADE IN 1997, 1998 AND 1999. INVESTMENTS IN THE IRA ACCOUNT WERE DISCUSSED WITH THE WIFE ONLY AND THE TOTAL AMOUNT INVESTED WAS ABOUT \$30000. ACCOUNT GREW TO \$45000 OVER TIME AND CLIENT RECEIVED CONFIRMATIONS AND STATEMENTS OF ALL TRADES.

Disclosure 2 of 4**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT FELT THAT THE FEATURES OF THE MARGIN ACCOUNT WERE



NOT PROPERLY DISCLOSED TO HER AT THE TIME THIS ACCOUNT WAS OPENED. SHE ALSO QUESTIONED THE SUITABILITY OF THE INVESTMENTS THAT WERE MADE IN HER ACCOUNT. THE CLIENT'S TECH STOCKS DECLINED IN VALUE AND WANTS TO PURSUE ARBITRATION.

Product Type: Equity - OTC

Alleged Damages: \$30,000.00

Customer Complaint Information

Date Complaint Received: 06/26/2003

Complaint Pending? No

Status: Denied

Status Date: 07/18/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement

THE IR ADVISED THAT HE PROPERLY DISCLOSED ALL OF THE FEATURES OF THE MARGIN ACCOUNT TO CLIENT. WHEN THE ACCOUNT WAS ESTABLISHED, THE CLIENT SIGNED THE NECESSARY LOAN APPLICATION AND WAS PROVIDED WITH A COPY OF THE DOCUMENT AT THAT TIME. THIS DOCUMENT FURTHER EXPLAINED THE RISKS AND REQUIREMENTS ASSOCIATED WITH THIS TYPE OF ACCOUNT. THE CLIENT INITIALLY PURCHASED MORE STABLE DIVIDEND PAYING STOCKS AND MUTUAL FUNDS IN HER ACCOUNT, BUT AS CLIENT BORROWED FROM THE MARGIN ACCOUNT SHE BECAME MORE AGGRESSIVE WITH HER INVESTMENTS. THE IR ADVISED THAT THERE WERE NEVER ANY CONCERNS WITH THE ACCOUNT OR THE MARGIN BALANCE UNTIL THE MARKET BEGAN TO DECLINE. THE IR STATED THAT HE ENCOURAGED CLIENT TO SELL OFF SOME OF CLIENT'S MORE AGGRESSIVE POSITIONS AND ALSO ENCOURAGED CLIENT TO PAY OFF THE MARGIN LOAN. ACCORDING TO THE IR, THE CLIENT DID NOT PROVIDE IR WITH INSTRUCTIONS TO SELL SECURITIES AND PAY OFF THE MARGIN LOAN. THE IR STATED THAT HE FOLLOWED THE CLIENT'S INSTRUCTIONS ON ALL OF THE TRANSCATIONS THAT TOOK PLACE IN THIS ACCOUNT. THE CLIENT'S CLAIM FOR REIMBURSEMENT WAS DENIED.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: CUSTOMER ALLEGES SHE WAS NOT INFORMED OF DETAILS OF MARGIN ACCOUNT AND WAS PLACED IN AGGRESSIVE STOCKS WITHOUT KNOWLEDGE AND LOST MONEY THRU BAD ADVICE.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/02/2003

Complaint Pending? No

Status: Denied



Status Date: 07/18/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER BORROWED FUNDS TO DO HOME REPAIRS AND UPGRADES. MARGIN BALANCE WAS SEVERAL YEARS OLD AND ONLY BECAME A PROBLEM WHEN MARKET DECLINED. SHE REFUSED TO USE RESERVE FUNDS. LOAN PROVISIONS WERE EXPLAINED.

Disclosure 3 of 4

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

THE CLIENT ALLEGED THAT HE LOST MONEY IN HIS ACCOUNT THROUGH NEGLIGENCE AND CHURNING ON THE PART OF THE INVESTMENT REPRESENTATIVE. THE CLIENT ALSO INDICATED THAT WHEN HE TRANSFERRED THE FUNDS INTO EDWARD JONES, HE ADVISED THE INVESTMENT REPRESENTATIVE THAT HE WAS SEEKING STABILITY WITH HIS ACCOUNT. NO SPECIFIC CLAIM BUT LOSSES MAY BE OVER \$5,000.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$5,000.00

Customer Complaint Information

Date Complaint Received: 04/09/2003

Complaint Pending?

No

Status:

Denied

Status Date:

08/05/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement

CLIENT'S ACCOUNTS WERE CODED FOR GROWTH. IT APPEARS THE EQUITIES PURCHASED THROUGH THE FIRM WERE HELD A MINIMUM OF TEN MONTHS AND THE THREE EQUITIES HELD SHORT-TERM WERE SOLD FOR A PROFIT. A REVIEW OF THE ACCOUNT ACTIVITY DOES NOT INDICATE THAT THE TRADING WAS EXCESSIVE. THE TRADES OCCURRED IN 2001. THE PORTFOLIO ALSO INCLUDED HARTFORD AND VAN KAMPEN FUNDS. THE DECLINE IN THE VALUE OF THE ACCOUNTS APPEARS TO BE CAUSED BY OVERALL MARKET CONDITIONS AND NOT THROUGH THE ACTIONS OF THE IR. CLAIM DENIED.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

EDWARD JONES

Allegations:

CUSTOMER ALLEGES THAT HE LOST MONEY THRU NEGLIGENCE AND CHURNING OFF ACCOUNT, FILED 4/9/03.



Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 04/09/2003

Complaint Pending? No

Status: Denied

Status Date: 07/18/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement

CUSTOMER HAD FUNDS TRANSFERRED TO ANNUITY ACCOUNTS WHICH WERE AVAILABLE TO COVER EQUITY NEED BUT THE CURRENT EDWARD JONES REP DID NOT ALLOW FUNDS TO BE MOVED BACK TO ACCOUNT.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THE CLIENT STATES ON 2/29 HE HAD A CONVERSATION WITH MR. CALDWELL IN WHICH THEY DISCUSSED NOIZ THOUGH HE DID NOT GIVE HIM AN INSTRUCTION TO BUY. THE CLIENT STATES THAT MR. CALDWELL PURCHASED 175 SHARES OF NOIZ WITHOUT HIS AUTHORIZATION. THE CLIENT ALSO STATES MR. CALDWELL PLACED AN UNAUTHORIZED BUY FOR ADSX WHILE HE WAS ON THE PHONE ASKING MR. CALDWELL TO WATCH ADSX FOR A WHILE TO DETERMINE A BUYING POINT BEFORE THE ACTUAL PURCHASE WAS MADE.

Product Type: Equity - OTC

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 04/10/2000

Complaint Pending? No

Status: Denied

Status Date: 05/19/2000

Settlement Amount:

Individual Contribution Amount:

Broker Statement

THE CUSTOMER WAS ADVISED THAT THE IR CLAIMS HE RECEIVED THE CUSTOMER'S AUTHORIZATION TO PLACE BOTH PURCHASE ORDERS. THE IR INDICATED HE HAD DISCUSSED THE NOIZ STOCK WITH THE CUSTOMER SEVERAL TIMES BEFORE THE ORDER WAS ENTERED. THE IR STATED THAT WHEN THE STOCK HAD MOVED FROM 39 TO 41 THE CUSTOMER HAD QUESTIONED HIM ON WHY HE HAD NOT ENTERED THE ORDER WHEN IT WAS AT 39. WHEN THE STOCK MOVED BACK DOWN THE ORDER WAS ENTERED AS THE CUSTOMER HAD REQUESTED. THE IR ALSO CLAIMS HE



HAD DISCUSSED THE ADSX WITH THE CUSTOMER ON THE DATE OF THE TRADE AND THE CUSTOMER WAS FINE WITH IT AT THAT TIME. THE CUSTOMER DID NOT COMPLAIN UNTIL ONE MONTH LATER. OUR POSITION IS MR. CALDWELL HAD DISCUSSED BOTH TRADES WITH THE CUSTOMER PRIOR TO ENTERING THE ORDERS. CLAIM DENIED.



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: MML INVESTOR SERVICES
Termination Type: Discharged
Termination Date: 04/13/2004
Allegations: PRIOR DISCIPLINARY HISTORY
Product Type: No Product
Other Product Types:
Broker Statement FIRM TERMINATED REP DUE TO HIGHTENED SUPERVISION REQUIREMENT RELATED TO UNSOLICITED OPTIONS TRANSACTIONS.

Disclosure 2 of 2

Reporting Source: Individual
Firm Name: EDWARD JONES
Termination Type: Voluntary Resignation
Termination Date: 09/03/2002
Allegations: ALLEGED INCONSISTENT SIGNATURES ON DOCUMENTS.
Product Type: Other
Other Product Types: IRA DISTRIBUTION FORMS
Broker Statement COMPLIANCE INVESTIGATION WAS ONGOING DUE TO FILE FOUND AT ASSISTANT'S DESK DURING AUDIT, WEEK OF 8/15/02. I RESIGNED ON 09/03/2002 TO PURSUE BETTER OPPORTUNITIES WITH A FIRM THAT I HAD BEEN TALKING TO FOR MONTHS.



End of Report

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