



IAPD Report

Robert Michael Gianchiglia

CRD# 2117250

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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

Robert Michael Gianchiglia (CRD# 2117250)

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 **05/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ONEAMERICA SECURITIES, INC.	CRD# 4173	11/17/2025
IA	ONEAMERICA SECURITIES, INC.	CRD# 4173	01/13/2026

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	USA FINANCIAL SECURITIES CORPORATION	103857	Worcester, MA	04/19/2017 - 07/09/2024
B	USA FINANCIAL SECURITIES CORPORATION	103857	Worcester, MA	04/18/2017 - 07/01/2024
IA	AMERITAS INVESTMENT CORP	14869	WORCESTER, MA	09/13/2005 - 05/17/2017

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
Criminal	2
Customer Dispute	6
Judgment/Lien	1



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 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ONEAMERICA SECURITIES, INC.**
Main Address: ONE AMERICAN SQUARE
INDIANAPOLIS, IN 46282
Firm ID#: 4173

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/17/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	11/17/2025
B	Massachusetts	Agent	Approved	01/13/2026
IA	Massachusetts	Investment Adviser Representative	Approved	01/13/2026

Branch Office Locations

ONEAMERICA SECURITIES, INC.
Worcester, MA



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
B General Securities Representative Examination (S7)	Series 7	02/01/1994
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/1991

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/19/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/05/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	04/19/2017 - 07/09/2024	USA FINANCIAL SECURITIES CORPORATION	CRD# 103857	Worcester, MA
B	04/18/2017 - 07/01/2024	USA FINANCIAL SECURITIES CORPORATION	CRD# 103857	Worcester, MA
IA	09/13/2005 - 05/17/2017	AMERITAS INVESTMENT CORP	CRD# 14869	WORCESTER, MA
B	08/29/2005 - 05/17/2017	AMERITAS INVESTMENT CORP.	CRD# 14869	WORCESTER, MA
IA	02/11/2005 - 08/26/2005	INVESTORS CAPITAL ADVISORY	CRD# 30613	WORCESTER, MA
B	07/10/2002 - 08/26/2005	INVESTORS CAPITAL CORP.	CRD# 30613	LYNNFIELD, MA
IA	11/06/2003 - 03/04/2005	EASTERN POINT ADVISORS INC.	CRD# 107123	WORCESTER, MA
B	09/11/1991 - 07/03/2002	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	01/31/1991 - 08/26/1991	RELIASTAR FINANCIAL MARKETING CORP.	CRD# 4234	SEATTLE, WA

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
11/2025 - Present	OneAmerica Securities	Registered Rep	Y	Worcester, MA, United States
06/2025 - Present	American United Life	Agent	Y	Worcester, MA, United States
09/2014 - 10/2025	ROBERT M GIANCHIGLIA	OWNER	N	WORCESTER, MA, United States
02/2003 - 10/2025	EDIA-EASTERN DENTAL INS AGENCY	PRINCIPAL	Y	WESTBOROUGH, MA, United States
06/2002 - 10/2025	PIAM	PRINCIPAL	Y	WESTBOROUGH, MA, United States
04/2017 - 07/2024	USA FINANCIAL SECURITIES	REGISTERED REPRESENTATIVE/IA	Y	ADA, MI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position K	Investment Related	Employer Location
06/2010 - 03/2024	FINANCIAL RESOURCE PARTNERS	RESIDENT AGENT	Y	WORCESTER, MA, United States
08/2005 - 04/2017	AMERITAS INVESTMENT CORP	REGISTERED REP/IAR	Y	LINCOLN, NE, United States
08/2005 - 04/2017	AMERITAS LIFE INSURANCE CORP	AGENT	Y	LINCOLN, NE, 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.

Non-variable insurance sales (fixed life, fixed annuities)



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
Criminal	2
Customer Dispute	6
Judgment/Lien	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Court Details:	MIDDLESEX COUNTY COURT, MIDDLESEX, NJ N/A
Charge Date:	10/23/1974
Charge Details:	1) THREE CHARGES: RECEIVING STOLEN PROPERTY, MISUSE OF CREDIT CARD, & ATTEMPT MISUSE OF CREDIT CARD; 2(MISDEMEANOR CHARGES; 3) PLEASE NOT GUILTY; 4)CHARGES WERE NOT INVESTMENT RELATED AMOUNT NOT SIGNIFICANT AND UNKNOWN
Felony?	No
Current Status:	Final
Status Date:	11/01/1974
Disposition Details:	MISDEMEANOR-DISORDERLY CONDUCT \$100.00 FINE AND COURT COSTS THE FINE WAS PAID IMMEDIATELY 11/29/76
Broker Statement	A BACHELOR PARTY WAS ONGOING. THE CREDIT CARD IN QUESTION WAS MISTAKENLY USED. ALL AMENDS WERE MADE. DISORDERLY CONDUCT WAS THE VERDICT AND THE FINE WAS PAID. THIS OCCURED IN 1973-1974 AND IS LONG FORGOTTEN SO THE DETAILS ARE SKETCHY.

Disclosure 2 of 2

Reporting Source:	Individual
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Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	HUNTERDON COUNTY CRIMINAL COURT. FLEMINGTON, NJ (USA). #280 M 72. 9/28/73.
Charge Date:	04/04/1973
Charge Details:	POSS OF CDS 24:21-20A.3
Felony?	Yes
Current Status:	Final
Status Date:	03/08/1974
Disposition Details:	A. DISPOSITION - 1 YEAR PROBATION. B. 3/8/74. C. 1 YEAR PROBATION. D. NONE. E. 3/8/74. F. PENALTY - 1 YEAR PROBATION. G. N/A
Broker Statement	4/4/73 ORIGINALLY STOPPED FOR DUI. INDIVIDUAL DENIED ALLEGATIONS AND SUCCESSFULLY PASSED BREATHALYZER AND FIELD SOBRIETY TEST. POLICE DID NOT ACCEPT RG INDENTITY AND INVESTIGATED RG FURTHER TO VERIFY. POLICE SEARCHED VEHICLE AND CHARGED RG WITH POSSESSION OF CDS (POSS OF MARIJUANA LESS THAN 25 GRAMS). RG PLEADED GUILTY TO LESSER CHARGE MISDEMEANOR, UPON ADVISE OF LEGAL COUNSEL. DISPOSITION 1 YEAR PROBATION. DOCUMENTS TO BE SEALED THEREAFTER.



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: AMERITAS INVESTMENT CORP.

Allegations: FINRA ARBITRATION 19-03388 IN WHICH CLAIMANTS ALLEGE MISREPRESENTATION IN THE SALE OF PRIVATE PLACEMENTS.

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$200,000.00

Arbitration Information

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

Docket/Case #: 19-03388

Date Notice/Process Served: 11/19/2019

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/29/2020

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Ameritas Investment Corporation

Allegations: FINRA arbitration 19-03388 in which the claimants allege misrepresentation in the sale of private placement

Product Type: Other: Private Placements

Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled



Status Date: 08/18/2020

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 19-03388

Date Notice/Process Served: 11/19/2019

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/18/2020

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: AMERITAS INVESTMENT CORP.

Allegations: BETWEEN 12/14/2009 AND 12/31/2016 CLAIMANT IS ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, MISREPRESENTATION, UNSUITABLE TRADING AND FAILURE TO SUPERVISE.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$225,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT IS SEEKING DAMAGES IN EXCESS OF \$225,000 PLUS ANY OTHER RELIEF THAT IS DEEMED JUST AND PROPER.

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 Arbitration

Docket/Case #: 17-00693

Filing date of arbitration/CFTC reparation or civil litigation: 03/13/2017

Customer Complaint Information



Date Complaint Received: 03/28/2017
Complaint Pending? No
Status: Settled
Status Date: 10/15/2018
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERITAS INVESTMENT CORP.
Allegations: BETWEEN 12/14/2009 AND 12/31/2016, CLAIMANT IS ALLEGING NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, MISREPRESENTATION, UNSUITABLE TRADING AND FAILURE OF SUPERVISION.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$225,000.00
Alleged Damages Amount Explanation (if amount not exact): CLAIMANT IS SEEKING DAMAGES IN EXCESS OF \$225,000 PLUS ANY OTHER RELIEF THAT IS DEEMED JUST AND PROPER.
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 OFFICE OF DISPUTE RESOLUTION NORTHEAST REGIONAL OFFICE
Docket/Case #: ARBITRATION NUMBER 17-00693
Filing date of arbitration/CFTC reparation or civil litigation: 03/13/2017

Customer Complaint Information

Date Complaint Received: 03/28/2017
Complaint Pending? No
Status: Settled
Status Date: 10/15/2018
Settlement Amount: \$45,000.00
Individual Contribution Amount: \$0.00
Broker Statement Rep did not participate in this Settlement from Broker Dealer Ameritas. Claimant's previous complaint against Rep in 2013 was closed without finding in August 2013

**Disclosure 3 of 6**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: INVESTORS CAPITAL CORP. AND AMERITAS INVESTMENT CORP.

Allegations: CLAIMANT ALLEGES MISREPRESENTATION AND UNSUITABLE INVESTMENTS. 3/2005-4/2008

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas

Alleged Damages: \$105,000.00

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: 11/10/2014

Complaint Pending? No

Status: Denied

Status Date: 01/26/2015

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: INVESTORS CAPITAL CORP. AND AMERITAS INVESTMENT CORP.

Allegations: OVER TEN YEARS AFTER INVESTING WITH RR THROUGH ICC, CLAIMANT ALLEGES THAT MULTIPLE INVESTMENTS MADE DURING THAT ASSOCIATION AND CONTINUING THROUGH RR'S AFFILIATION WITH A SUBSEQUENT BROKER-DEALER (INVESTMENTS MADE THROUGH DECEMBER 2007) HAD BEEN UNSUITABLE.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$183,582.08

Alleged Damages Amount Explanation (if amount not exact): CLAIMANT'S ALLEGED DAMAGES INCLUDE AMOUNTS ATTRIBUTABLE TO INVESTMENTS MADE THROUGH TWO BDS. CLAIMANT HAD INVESTED APPROXIMATELY \$70K WHILE THE RR WAS AFFILIATED WITH ICC.

Arbitration Information

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

Docket/Case #: [14-03241](#)



Date Notice/Process Served: 11/13/2014
Arbitration Pending? No
Disposition: Dismissed
Disposition Date: 07/14/2015
Firm Statement MATTER WAS DISMISSED BY THE HEARING PANEL

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: INVESTORS CAPITAL CORP. AND AMERITAS INVESTMENT CORP.
Allegations: CLAIMANT ALLEGES UNSUITABLE INVESTMENTS, NEGLIGENT ACCOUNT MANAGEMENT, MISREPRESENTATION, BREACH OF CONTRACT, AND BREACH OF FIDUCIARY DUTY. JULY 2004 - DECEMBER 2007.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$183,582.08
Alleged Damages Amount Explanation (if amount not exact): CLAIMANT ALSO SEEKS ADDITIONAL DAMAGES TO BE DETERMINED.
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 #: 14-03241
Filing date of arbitration/CFTC reparation or civil litigation: 10/20/2014

Customer Complaint Information

Date Complaint Received: 11/13/2014
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 11/13/2014
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [14-03241](#)



Date Notice/Process Served: 11/13/2014
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/17/2015
Monetary Compensation Amount: \$14,995.00
Individual Contribution Amount: \$0.00
Broker Statement The arbitration was dismissed 7/14/15. However, a settlement was reached with the client without any admission of wrong doing on the part of the RR.

Disclosure 5 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AMERITAS INVESTMENT CORP.
Allegations: COMPLAINANT ALLEGES MISSREPRESENTATION BY THE RR.
Product Type: Annuity-Variable
Alleged Damages: \$1,617,800.00
Alleged Damages Amount Explanation (if amount not exact): CLIENT REQUESTS \$1,617,800 PLUS INVESTMENTS CONVERTED TO CASH, WITH APPROPRIATE POSITIVE RETURNS, AND ALL FEES AND/OR PENALTIES PAID BY AMERITAS INVESTMENT CORP.
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: 04/15/2013
Complaint Pending? No
Status: Closed/No Action
Status Date: 08/06/2013
Settlement Amount:
Individual Contribution Amount:

Disclosure 6 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES
Allegations: CLIENT IS ALLEGING THAT HE WAS NOT TOLD HE WAS PURCHASING AN ANNUITY, AND THAT HE NEVER RECEIVED A CONTRACT OR A PROSPECTUS. CLIENT IS ALSO ALLEGING THAT THE REPRESENTATIVE



HAD HIM SIGN BLANK FORMS.

Product Type: Annuity(ies) - Variable**Alleged Damages:** \$116,370.72**Customer Complaint Information****Date Complaint Received:** 09/22/2003**Complaint Pending?** No**Status:** Settled**Status Date:** 12/28/2003**Settlement Amount:** \$116,569.00**Individual Contribution Amount:** \$0.00**Firm Statement**

CLIENT'S ALLEGATIONS WERE THOROUGHLY INVESTIGATED. NO EVIDENCE WAS FOUND TO SHOW THAT THE CLIENT SIGNED BLANK FORMS. THERE WERE SEVERAL REFERENCES TO 'ANNUITIES' IN THE ANNUITY APPLICATION WHICH THE CLIENT SIGNED. WHILE THE COMPANY WAS NOT ABLE TO CONFIRM RECEIPT OF THE CONTRACT BY THE CLIENT, AND WHILE IT WAS DETERMINED THAT THE REPRESENTATIVE ACTED APPROPRIATELY IN THE SALE, IN AN EFFORT TO RESOLVE THIS MATTER, THE COMPANY REFUNDED THE CLIENT'S ORIGINAL DEPOSIT.

Reporting Source: Individual**Employing firm when activities occurred which led to the complaint:** NEW ENGLAND SECURITIES**Allegations:** CLIENT ALLEGING THAT HE WAS NOT TOLD HE WAS PURCHASING AN ANNUITY, AND THAT HE NEVER RECEIVED A CONTRACT OR A PROSPECTUS. CLIENT IS ALSO ALLEGING THAT THE REPRESENTATIVE HAD HIM SIGN BLANK FORMS**Product Type:** Annuity(ies) - Variable**Alleged Damages:** \$116,370.72**Customer Complaint Information****Date Complaint Received:** 09/22/2003**Complaint Pending?** No**Status:** Settled**Status Date:** 12/28/2003**Settlement Amount:** \$116,569.00**Individual Contribution Amount:** \$0.00**Broker Statement**

CLIENTS ALLEGATIONS WERE THOROUGHLY INVESTIGATED. NO EVIDENCE WAS FOUND THAT SHOW THAT THE CLIENT SIGNED BLANK FORMS. THERE WERE SEVERAL REFERENCES TO ANNUITIES IN THE ANNUITY APPLICATION WHICH THE CLIENT SIGNED. WHILE THE COMPANY WAS NOT ABLE TO CONFIRM RECEIPT OF THE CONTRACT BY THE CLIENT, AND WHILE IT WAS DETERMINED THAT THE REPRESENTATIVE ACTED



APPROPRIATELY IN THE SALE, IN AN EFFORT TO RESOLVE THIS MATTER,
THE COMPANY REFUNDED THE CLIENTS ORIGINAL DEPOSIT.



Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Paul Buckley and Arlex Wealth Management LLC
Judgment/Lien Amount:	\$244,508.00
Judgment/Lien Type:	Civil
Date Filed with Court:	04/10/2026
Date Individual Learned:	04/10/2026
Type of Court:	Case decided by arbitration
Name of Court:	American Arbitration Association
Location of Court:	Worcester, MA
Docket/Case #:	01-24-0008-5249
Judgment/Lien Outstanding?	Yes



End of Report

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