IAPD Report

CHRISTOPHER POWELL HILL

CRD# 2163742

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

CHRISTOPHER POWELL HILL (CRD# 2163742)

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 **11/05/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ON INVESTMENT MANAGEMENT CO	CRD# 105662	06/21/2013
B	THE O.N. EQUITY SALES COMPANY	CRD# 2936	06/25/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	IC ADVISORY SERVICES, INC.	140190	RESTON, VA	09/05/2008 - 06/23/2011
B	THE INVESTMENT CENTER, INC.	17839	WOODSTOCK, VA	09/05/2008 - 06/23/2011
B	LPL FINANCIAL CORPORATION	6413	MCLEAN, VA	06/11/2007 - 09/09/2008

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	1
Termination	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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ON INVESTMENT MANAGEMENT CO**
Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242
Firm ID#: 105662

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/23/2019
IA	Georgia	Investment Adviser Representative	Approved	08/22/2024
IA	Indiana	Investment Adviser Representative	Approved	09/15/2016
IA	Iowa	Investment Adviser Representative	Approved	10/14/2025
IA	Maryland	Investment Adviser Representative	Approved	06/26/2013
IA	New Jersey	Investment Adviser Representative	Approved	06/30/2021
IA	North Carolina	Investment Adviser Representative	Approved	11/14/2014
IA	Ohio	Investment Adviser Representative	Approved	05/28/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	08/22/2024
IA	Virginia	Investment Adviser Representative	Approved	06/21/2013
IA	West Virginia	Investment Adviser Representative	Approved	11/17/2014

Branch Office Locations

ON INVESTMENT MANAGEMENT CO
VIENNA, VA

Employment 2 of 2

Qualifications

Firm Name: **THE O.N. EQUITY SALES COMPANY**

Main Address: ONE FINANCIAL WAY
CINCINNATI, OH 45242

Firm ID#: 2936

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/25/2013
B	Florida	Agent	Approved	01/08/2016
B	Georgia	Agent	Approved	08/22/2024
B	Indiana	Agent	Approved	10/06/2017
B	Maryland	Agent	Approved	06/26/2013
B	Michigan	Agent	Approved	01/02/2024
B	New Jersey	Agent	Approved	06/22/2021
B	North Carolina	Agent	Approved	08/19/2014
B	Pennsylvania	Agent	Approved	10/29/2014
B	Tennessee	Agent	Approved	12/14/2018
B	Virginia	Agent	Approved	06/26/2013
B	West Virginia	Agent	Approved	11/07/2014

Branch Office Locations

Roanoke, VA

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/03/1997

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	12/09/1994
B	General Securities Representative Examination (S7)	Series 7	02/20/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/04/1992
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/25/1991

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	09/05/2008 - 06/23/2011	IC ADVISORY SERVICES, INC.	CRD# 140190	RESTON, VA
B	09/05/2008 - 06/23/2011	THE INVESTMENT CENTER, INC.	CRD# 17839	WOODSTOCK, VA
B	06/11/2007 - 09/09/2008	LPL FINANCIAL CORPORATION	CRD# 6413	MCLEAN, VA
IA	06/11/2007 - 09/09/2008	LPL FINANCIAL CORPORATION	CRD# 6413	MCLEAN, VA
IA	11/01/2002 - 06/26/2007	PARK AVENUE SECURITIES LLC	CRD# 46173	RESTON, VA
B	10/25/2002 - 06/26/2007	PARK AVENUE SECURITIES LLC	CRD# 46173	RESTON, VA
IA	04/20/2000 - 08/27/2002	EQUITY ASSETS MANAGEMENT, INC.	CRD# 110247	RESTON, VA
B	12/05/2000 - 08/21/2002	IMPACT FINANCIAL NETWORK, INC.	CRD# 17924	EXCELLO, MO
B	12/18/1998 - 04/17/2000	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	03/09/1992 - 12/16/1998	IMPACT FINANCIAL NETWORK, INC.	CRD# 17924	EXCELLO, 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
06/2013 - Present	ON INVESTMENT MANAGEMENT CO.	INVESTMENT ADVISER REPRESENTATIVE	Y	CINCINNATI, OH, United States
06/2013 - Present	THE O.N. EQUITY SALES COMPANY	REGISTERED REPRESENTATIVE	Y	CINCINNATI, OH, United States
07/2007 - Present	WEALTH AND INCOME GROUP LLC	PRESIDENT AND OWNER	N	FALLS CHURCH, VA, 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.

1)WEALTH AND INCOME GROUP LLC; 3959 ELECTRIC ROAD, SW SUITE 115, ROANOKE VA 24018; MORTGAGE PROTECTION INSURANCE USING LIFE INSURANCE, DISABILITY INSURANCE, AND LONG-TERM CARE; PRESIDENT AND OWNER; STARTED 07/01/2007; HRS PER MONTH WORKED 20; HRS DURING SECURITIES HOURS 20; GENERATE MORTGAGE PROTECTION AND OTHER INSURANCE LEADS AND SALES THROUGH BUYING LEADS AND ESTABLISHING STRATEGIC PARTNERS. 2)FUNERAL RESOURCES.COM; NOT INVESTMENT RELATED; 3959 ELECTRIC ROAD SUITE 115 ROANOKE VA 24018; EDUCATION, INFORMATION, AND RESOURCES FOR FUNERAL AND END OF LIFE PLANNING; OWNER AND FOUNDER; 07/01/2008-PRESENT; 5 HOURS/MONTH; 0 HOURS/TRADING; PROVIDE EDUCATIONAL ONLINE INFORMATION AND RESOURCES, BULIDING, HOSTING ,AND MANAGING EDUCATIONAL RESOURCE CENTERS ON THE INTERNET TO HELP FAMILIES EASILY FIND THE INFORMATION THEY ARE SEARCHING FOR REGARDING FUNERAL AND END OF LIFE PLANNING.3). Property and Casualty; not investment related; 3959 Electric road, SW, STE 115, Roanoke, VA 24018; agent; 04/22/2019-present; 8 hours/month (8 during securities trading hours); Reviewing clients car and home insurance policies and referring them to a P&C Broker to receive quotes, improve their prices and protection.

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	1
Termination	1

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:	Other: N/A
Date Initiated:	04/25/2012
Docket/Case Number:	2011027201201
Employing firm when activity occurred which led to the regulatory action:	THE INVESTMENT CENTER, INC.
Product Type:	No Product
Allegations:	FINRA RULES 1122 AND 2010: HILL FAILED TO DISCLOSE OR MAKE TIMELY DISCLOSE OF MATERIAL INFORMATION ON HIS FORM U4.
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:	04/25/2012

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	30 BUSINESS DAYS
Start Date:	05/07/2012
End Date:	06/18/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/10/2013
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, HILL CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $2,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE 30 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WILL BE IN EFFECT FROM MAY 7, 2012 THROUGH JUNE 18, 2012. FINE PAID MAY 10, 2013.

Reporting Source:	Individual

Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/25/2012
Docket/Case Number:	2011027201201
Employing firm when activity occurred which led to the regulatory action:	THE INVESTMENT CENTER, INC.
Product Type:	No Product
Allegations:	FINRA RULES 1122 AND 2010: HILL FAILED TO DISCLOSE OR MAKE TIMELY DISCLOSE OF MATERIAL INFORMATION ON HIS FORM U4.
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:	04/25/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	30 BUSINESS DAYS
Start Date:	05/07/2012
End Date:	06/18/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$2,500.00
Portion Levied against individual:	$2,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	05/10/2013
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, HILL CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $2,500 AND SUSPENDED FROM ASSOCIATION

WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON RESSOCIATION WITH A MEMBER FIRM FOLLOWING THE 30 BUSINESS DAY SUSPENSION, OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RRESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION WILL BE IN EFFECT FROM MAY 07, 2012 THROUGH JUNE 18, 2012. FIND PAID MAY 10, 2013.

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	THE INVESTMENT CENTER, INC.
Allegations:	BREACH OF FIDUCIARY AND OTHER DUTIES; MISREPRESENTATION AND OMISSIONS; BREACH OF FINRA RULES; NEGLIGENCE AND GROSS NEGLIGENCE; BREACH OF CONTRACT; PROMISSORY ESTOPPEL; COMMON LAW FRAUD; AND, VICARIOUS LIABILITY. THE CAUSES OF ACTION RELATE TO, AMONG OTHER THINGS, THE PURCHASE OF AN AMERICAN LEGACY VARIABLE ANNUITY IN CLAIMANT'S IRA ACCOUNT.
Product Type:	Annuity-Variable
Alleged Damages:	$672,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #11-02856
Date Notice/Process Served:	07/19/2011
Arbitration Pending?	No
Disposition:	Denied
Disposition Date:	01/31/2013
Disposition Detail:	CHRISTOPHER HILL WAS A SUBJECT OF THE CUSTOMER'S STATEMENT OF CLAIM ALLEGING HILL AND HIS MEMBER FIRM CAUSED SALES PRACTICE VIOLATIONS. THE HEARING PANEL DECIDED THAT THE CLAIMANT'S CLAIMS ARE DENIED IN THEIR ENTIRETY.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	THE INVESTMENT CENTER, INC.
Allegations:	CLIENT ALLEGES THAT THE VARIABLE ANNUITY HE PURCHASED WAS UNSUITABLE, THAT MR. HILL DID NOT ACTIVELY AND AGGRESSIVELY MANAGE HIS PORTFOLIO AND IS CLAIMING DAMAGES SOLELY FOR LOST OPPORTUNITY.
Product Type:	Annuity-Variable
Alleged Damages:	$672,000.00

Alleged Damages Amount Explanation (if amount not exact):	COMPENSATORY DAMAGES REQUESTED IS $586,000 - $672,000.
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 DISPUTE RESOLUTION
Docket/Case #:	CASE #11-02856
Filing date of arbitration/CFTC reparation or civil litigation:	08/04/2011

Customer Complaint Information

Date Complaint Received:	08/10/2011
Complaint Pending?	No
Status:	Denied
Status Date:	01/31/2013
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	THE HEARING PANEL DECIDED THAT THE CLAIMANT'S CLAIMS WERE DENIED IN THEIR ENTIRETY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THE INVESTMENT CENTER, INC.
Allegations:	CLIENT ALLEGES THAT THE VARIABLE ANNUITY HE PURCHASED WAS UNSUITABLE, THAT MR. HILL DID NOT ACTIVELY AND AGGRESSIVELY MANAGE HIS PORTFOLIO AND IS CLAIMING DAMAGES SOLELY FOR LOST OPPORTUNITY.
Product Type:	Annuity-Variable
Alleged Damages:	$672,000.00
Alleged Damages Amount Explanation (if amount not exact):	COMPENSATORY DAMAGES REQUESTED IS $586,000 - $672,000.
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 DISPUTE RESOLUTION
Docket/Case #:	CASE #11-02856
Filing date of arbitration/CFTC reparation or civil litigation:	08/04/2011

Customer Complaint Information

Date Complaint Received:	08/10/2011
Complaint Pending?	No
Status:	Denied
Status Date:	01/31/2013
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE HEARING PANEL DECIDED THAT THE CLAIMANT'S CLAIMS WERE DENIED IN THEIR ENTIRETY.

Termination

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

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	THE INVESTMENT CENTER INC
Termination Type:	Discharged
Termination Date:	06/23/2011
Allegations:	UNAPPROVED ADVERTISING AND UNAPPROVED OUTSIDE BUSINESS ACTIVITY.
Product Type:	No Product
Firm Statement	SIGN DISPLAYED BY REP. NOTED DURING BRANCH EXAMINATION THAT ADVERTISED REVERSE MORTGAGES.

Reporting Source:	Individual
Firm Name:	THE INVESTMENT CENTER INC
Termination Type:	Discharged
Termination Date:	06/23/2011
Allegations:	UNAPPROVED ADVERTISING AND UNAPPROVED OUTSIDE BUSINESS ACTIVITY.
Product Type:	No Product
Broker Statement	SIGN DISPAYED BY REP. NOTED DURING BRANCH EXAMINATION THAT ADVERTISED REVERSE MORTGAGES.

End of Report

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