



IAPD Report

DENNIS LEE TRAVIS

CRD# 2166809

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

DENNIS LEE TRAVIS (CRD# 2166809)

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 **12/09/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE O.N. EQUITY SALES COMPANY	CRD# 2936	01/26/2011
IA	ON INVESTMENT MANAGEMENT CO	CRD# 105662	01/26/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	METLIFE SECURITIES INC.	14251	PITTSBURGH, PA	09/04/2007 - 12/17/2010
B	METLIFE SECURITIES INC.	14251	PITTSBURGH, PA	12/02/1991 - 12/17/2010
B	METROPOLITAN LIFE INSURANCE COMPANY 4095		PITTSBURGH, PA	12/02/1991 - 07/09/2007

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	6



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

Employment 1 of 2

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	01/26/2011
B California	Agent	Approved	01/26/2011
B Florida	Agent	Approved	04/11/2011
B Massachusetts	Agent	Approved	03/21/2011
B Ohio	Agent	Approved	07/11/2025
B Pennsylvania	Agent	Approved	01/27/2011
B Texas	Agent	Approved	09/15/2017
B Virginia	Agent	Approved	01/26/2011

Branch Office Locations

Pittsburgh, PA

Employment 2 of 2

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



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	01/26/2011
IA Florida	Investment Adviser Representative	Approved	02/22/2012
IA Massachusetts	Investment Adviser Representative	Approved	03/24/2011
IA Ohio	Investment Adviser Representative	Approved	07/11/2025
IA Pennsylvania	Investment Adviser Representative	Approved	01/27/2011
IA Virginia	Investment Adviser Representative	Approved	01/26/2011

Branch Office Locations

ON INVESTMENT MANAGEMENT CO

203 Kensington Ct
#101
Pittsburgh, PA 15238



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	05/03/2000
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/29/1991

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/28/1996
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/24/1992

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	09/04/2007 - 12/17/2010	METLIFE SECURITIES INC.	CRD# 14251	PITTSBURGH, PA
B	12/02/1991 - 12/17/2010	METLIFE SECURITIES INC.	CRD# 14251	PITTSBURGH, PA
B	12/02/1991 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	PITTSBURGH, PA

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
01/2011 - Present	THE ON EQUITY SALES COMPANY	REGISTERED REP	Y	CINCINNATI, OH, United States
12/2010 - Present	OHIO NATIONAL FINANCIAL SERVICES	CAREER AGENT	N	CINCINNATI, 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.

1)TAX PREPARER; NOT INVESTMENT RELATED; 203 Kensington CT PITTSBURGH, PA 15238;PREPARES TAX RETURNS AND DOES TAX CONSULTING; TAX PREPARER; 06/01/1960; 5 HRS/WEEK (5 HOURS DURING MARKET HOURS); TAX RETURN PREPARATION AND TAX CONSULTING.2) DENNIS TRAVIS; NOT INVESTMENT RELATED; 1100 WASHINGTON AVENUE CARNEGIE PA 15106; LIFE SETTLEMENT; START DATE: 08/14/2011; 0 HOURS PER MONTH; TRYING TO HELP A LONG TIME CLIENT.



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	6

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:	11/18/2011
Docket/Case Number:	2010024859401
Employing firm when activity occurred which led to the regulatory action:	METLIFE SECURITIES INC.
Product Type:	Other: UNSPECIFIED SECURITIES
Allegations:	FINRA RULE 2110, NASD RULES 2110, 2510(B): TRAVIS PLACED DISCRETIONARY TRANSACTIONS IN THE SUBACCOUNTS OF HIS CUSTOMERS' VARIABLE ANNUITIES THROUGH WHICH HE "REBALANCED" THE ALLOCATION OF SECURITIES IN THE ACCOUNTS. TRAVIS DID NOT HAVE WRITTEN AUTHORIZATION FROM HIS CUSTOMERS TO PLACE DISCRETIONARY TRADES. ADDITIONALLY, HIS MEMBER FIRM HAD NOT APPROVED OF TRAVIS' USE OF DISCRETION IN HIS CUSTOMERS' ACCOUNTS.
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:

11/18/2011

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: 10 BUSINESS DAYS
Start Date: 12/19/2011
End Date: 01/03/2012

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00

Payment Plan:
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, TRAVIS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT DECEMBER 19, 2011 THROUGH JANUARY 3, 2012.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 11/18/2011



Docket/Case Number: [2010024859401](#)

Employing firm when activity occurred which led to the regulatory action: METLIFE SECURITIES INC.

Product Type: Other: UNSPECIFIED SECURITIES

Allegations: FINRA RULE 2110, NASD RULES 2110, 2510(B): TRAVIS PLACED DISCRETIONARY TRANSACTIONS IN THE SUBACCOUNTS OF HIS CUSTOMERS' VARIABLE ANNUITIES THROUGH WHICH HE "REBALANCED" THE ALLOCATION OF SECURITIES IN THE ACCOUNTS. TRAVIS DID NOT HAVE WRITTEN AUTHORIZATION FROM HIS CUSTOMERS TO PLACE DISCRETIONARY TRADES. ADDITIONALLY, HIS MEMBER FIRM HAD NOT APPROVED OF TRAVIS' USE OF DISCRETION IN HIS CUSTOMERS' ACCOUNTS.

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: 11/18/2011

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 10 BUSINESS DAYS

Start Date: 12/19/2011

End Date: 01/03/2012

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 11/08/2011

Was any portion of penalty waived? No

Amount Waived:

Broker Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, TRAVIS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS;



THEREFORE HE IS FINED \$5,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT DECEMBER 19, 2011 THROUGH JANUARY 3, 2012.



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:	Individual
Employing firm when activities occurred which led to the complaint:	The ON Equity Sales Company
Allegations:	Customer alleges purchase of variable universal life insurance policy was unsuitable for her investment needs
Product Type:	Insurance
Alleged Damages:	\$57,643.65

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	17-02379
Date Notice/Process Served:	11/03/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/01/2018
Monetary Compensation Amount:	\$10,483.51
Individual Contribution Amount:	\$0.00

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED TWO VARIABLE ANNUITIES PURCHASED FROM THE REPRESENTATIVE IN DECEMBER 2009 WERE NOT APPROPRIATE. CUSTOMER HAS ALLEGED DAMAGES FOR THE REIMBURSEMENT OF FEES AND COSTS.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES WOULD EXCEED \$5,000.00.



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: 09/13/2012

Complaint Pending? No

Status: Settled

Status Date: 01/22/2013

Settlement Amount: \$16,134.08

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED TWO VARIABLE ANNUITIES PURCHASED FROM THE REPRESENTATIVE IN DECEMBER 2009 WERE NOT APPROPRIATE. CUSTOMER HAS ALLEGED DAMAGES FOR THE REIMBURSEMENT OF FEES AND COSTS.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES WOULD EXCEED \$5,000.00.

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: 09/13/2012

Complaint Pending? No

Status: Settled

Status Date: 01/22/2013

Settlement Amount: \$16,134.08

Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED THAT THE REPRESENTATIVE MISREPRESENTED THE INCLUSION OF AN ADDITIONAL RIDER WHEN A VARIABLE ANNUITY WAS PURCHASED IN DECEMBER 2007. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 03/20/2012

Complaint Pending? No

Status: Denied

Status Date: 04/12/2012

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED THAT THE REPRESENTATIVE MISREPRESENTED THE INCLUSION OF AN ADDITIONAL RIDER WHEN A VARIABLE ANNUITY WAS PURCHASED IN DECEMBER 2007. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 03/20/2012

Complaint Pending? No

Status: Denied

Status Date: 04/12/2012



Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED THAT SOMETIME IN OCTOBER 2008, APPROXIMATELY, HE INSTRUCTED THE REPRESENTATIVE TO REDUCE THE DEATH BENEFIT OF THE VARIABLE LIFE INSURANCE POLICY AND HAS RECENTLY LEARNED THIS WAS NOT COMPLETED. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Insurance
Alleged Damages: \$0.00
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: 04/19/2011
Complaint Pending? No
Status: Settled
Status Date: 09/08/2011
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Firm Statement CUSTOMER HAS ACCEPTED THE FIRM'S OFFER TO REINSTATE THE POLICY AND REDUCE THE FACE AMOUNT(DEATH BENEFIT)SUBJECT TO RECEIPT OF THE REQUIRED PREMIUM PAYMENT FROM THE CUSTOMER.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: METLIFE SECURITIES

Allegations: CUSTOMER ALLEGED THAT SOMETIME IN OCTOBER 2008, APPROXIMATELY, HE INSTRUCTED THE REPRESENTATIVE TO REDUCE THE DEATH BENEFIT OF THE VARIABLE LIFE INSURANCE POLICY AND HAS RECENTLY LEARNED THIS WAS NOT COMPLETED. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Insurance
Alleged Damages: \$0.00
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: 04/19/2011

Complaint Pending? No

Status: Settled

Status Date: 09/08/2011

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Broker Statement CUSTOMER HAS ACCEPTED THE FIRMS OFFER TO REINSTATE THE POLICY
AND REDUCE THE FACE AMOUNT (DEATH BENEFIT).

Disclosure 5 of 6

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES THE VARIABLE ANNUITY RECOMMENDED BY THE
REPRESENTATIVE IN MAY 2005 WAS NOT SUITABLE. NO SPECIFIC
COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/10/2009

Complaint Pending? No

Status: Denied

Status Date: 03/06/2009

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 6 of 6

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES HE TOLD MR. TRAVIS TO INVEST HIS FUNDS SO THAT HE
WOULD BE ABLE TO SECURE IMMEDIATE ACCESS TO ANY AND ALL OF HIS
MONIES. CLIENT IS REQUESTING THAT THE ANNUITY BE RESCINDED AND
THAT THE WITHDRAWAL FEES BE WAIVED.



Product Type: Annuity(ies) - Variable

Alleged Damages: \$6,495.39

Customer Complaint Information

Date Complaint Received: 10/06/2003

Complaint Pending? No

Status: Denied

Status Date: 10/28/2003

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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