



IAPD Report

ERINN JUNE FORD

CRD# 2176816

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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

ERINN JUNE FORD (CRD# 2176816)

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 **07/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/12/2023
B	OSAIC SERVICES, INC.	CRD# 133763	09/15/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	08/12/2025

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
B	SECURITIES AMERICA, INC.	10205	SEATTLE, WA	11/05/2020 - 08/19/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	LA VISTA, NE	11/16/2020 - 06/20/2024
B	KMS FINANCIAL SERVICES, INC.	3866	SEATTLE, WA	03/16/2018 - 01/15/2021

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	10



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 2

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

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/12/2023
B FINRA	General Securities Representative	Approved	09/12/2023
B FINRA	Operations Professional	Approved	09/12/2023
B Washington	Agent	Approved	08/12/2025
IA Washington	Investment Adviser Representative	Approved	08/12/2025

Branch Office Locations

OSAIC WEALTH, INC.
18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Employment 2 of 2

Firm Name: **OSAIC SERVICES, INC.**
Main Address: 18700 HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 133763

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	09/15/2023



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	09/15/2023
B FINRA	Operations Professional	Approved	09/15/2023

Branch Office Locations

SAGEPOINT FINANCIAL, INC.
18700 HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255



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
General Securities Principal Examination (S24)	Series 24	09/24/1993

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	12/16/1992

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/26/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	01/06/1993

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	11/05/2020 - 08/19/2024	SECURITIES AMERICA, INC.	CRD# 10205	SEATTLE, WA
IA	11/16/2020 - 06/20/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LA VISTA, NE
B	03/16/2018 - 01/15/2021	KMS FINANCIAL SERVICES, INC.	CRD# 3866	SEATTLE, WA
IA	03/16/2018 - 11/18/2020	KMS FINANCIAL SERVICES, INC	CRD# 3866	SEATTLE, WA
B	02/28/2012 - 02/28/2018	CETERA ADVISORS LLC	CRD# 10299	DENVER, CO
IA	02/28/2012 - 02/28/2018	CETERA ADVISORS LLC	CRD# 10299	DENVER, CO
IA	06/22/1999 - 02/28/2012	PACIFIC WEST FINANCIAL CONSULTANTS INC	CRD# 108728	RENTON, WA
B	12/21/1992 - 02/28/2012	PACIFIC WEST SECURITIES, INC.	CRD# 6390	RENTON, 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
11/2020 - Present	SECURITIES AMERICA ADVISORS	IAR	Y	LA VISTA, NE, United States
11/2020 - Present	SECURITIES AMERICA, INC.	Registered Employee	Y	LA VISTA, NE, United States
03/2018 - 11/2020	KMS Financial Services, Inc	President	Y	Seattle, WA, United States
01/2013 - 02/2018	CETERA ADVISORS LLC	Broker Dealer President	Y	DENVER, CO, 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.

PREMIER TRUST - INVESTMENT RELATED - 4465 S JONES BLVD, LAS VEGAS, NV 89103 - TRUST COMPANY AFFILIATED WITH LADENBURG THALMANN - BOARD MEMBER - 12/5/2018 - 0.25 HRS/MO, 0 HRS/MO DURING TRADING



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	10

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 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Pacific West Securities
Allegations:	Unsuitable investment, misleading omissions of material information, breach of fiduciary duty, negligent misrepresentation, negligence, breach of contract, and breach of covenant of good faith and fair dealing.
Product Type:	Other: Tenant In Common
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The investment was \$1,050,000 but the claimant failed to specify the dollar amount of damages.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	15-02877
Date Notice/Process Served:	12/14/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/19/2016



Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement ARBITRATION WAS BROUGHT AGAINST RESPONDEND FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF THE FIRM THAT MADE THE SALE, PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALE OF THE INVESTMENTS. AS MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS, SHE VEHEMENTLY DISPUTES BEING NAMED A PARTY. MS. FORD STRONGLY DENIES ANY WRONGDOING. THIS MATTER WAS SETTLED AT THE DRIECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS. FORD.

Disclosure 2 of 10

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT, MISLEADING STATEMENTS, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, BREACH OF CONTRACT, ELDER ABUSE, AIDING AND ABETTING FINANCIAL ELDER ABUSE.

Product Type: Other: TENANT IN COMMON

Alleged Damages: \$18,071,137.00

Arbitration Information

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

Docket/Case #: [14-02185](#)

Date Notice/Process Served: 10/01/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/08/2016

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. AS MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS, SHE VEHEMENTLY DISPUTES BEING NAMED A PARTY. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS.



THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS FORD.

Disclosure 3 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES INC.
Allegations:	CLIENT ALLEGES THE REPRESENTATIVE WHO SOLD THESE PRODUCTS PURCHASED AN UNSUITABLE INVESTMENT, FRAUDULENT MISLEADING STATEMENTS, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, AND BREACH OF CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS.
Product Type:	Other: TENANT IN COMMON
Alleged Damages:	\$1,321,500.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION
Docket/Case #:	14-02424
Date Notice/Process Served:	09/22/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/03/2015
Monetary Compensation Amount:	\$210,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS.

Disclosure 4 of 10

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES
Allegations:	CLIENT ALLEGES THE REPRESENTATIVE WHO SOLD THESE PRODUCTS PURCHASED AN UNSUITABLE INVESTMENT, PERPERTRATED A FAUD, PROVIDED MISLEADING STATEMENTS, OMITTED MATERIAL FACTS, WAS NEGLIGENCE, AND BREACHED THEIR CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS.



Product Type: Oil & Gas
Other: TENANT IN COMMON

Alleged Damages: \$2,700,000.00

Alleged Damages Amount Explanation (if amount not exact): THE AMOUNT INVESTED IN THE TENANT IN COMMON.

Arbitration Information

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

Docket/Case #: [14-01852](#)

Date Notice/Process Served: 07/09/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/25/2016

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Broker Statement

ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS. THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS. FORD. IN ADDITION, IN THE SETTLEMENT, CLAIMANTS ACKNOWLEDGE THAT ERINN FORD WAS NOT INVOLVED IN THE INVESTMENT-RELATED SALES PRACTICE VIOLATIONS THAT WERE ALLEGED IN THE ACTION.

Disclosure 5 of 10

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THE REPRESENTATIVE WHO SOLD THESE PRODUCTS PURCHASED AN UNSUITABLE INVESTMENT, PERPERTRATED A FAUD, PROVIDED MISLEADING STATEMENTS, OMITTED MATERIAL FACTS, WAS NEGLIGENCE, AND BREACHED THEIR CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS.

Product Type: Other: TENANT IN COMMON

Alleged Damages: \$1,465,519.00

Alleged Damages Amount Explanation (if amount not exact): THE AMOUNT INVESTED IN TENANT IN COMMON.

**Arbitration Information**

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

Docket/Case #: 14-02151

Date Notice/Process Served: 07/10/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/09/2016

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Broker Statement

ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS. THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS. FORD. IN ADDITION, IN THE SETTLEMENT, CLAIMANTS ACKNOWLEDGE THAT ERINN FORD WAS NOT INVOLVED IN THE INVESTMENT-RELATED SALES PRACTICE VIOLATIONS THAT WERE ALLEGED IN THE ACTION.

Disclosure 6 of 10

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THE REPRESENTATIVE WHO SOLD THESE PRODUCTS PURCHASED AN UNSUITABLE INVESTMENT, PERPETRATED A FAUD, PROVIDED MISLEADING STATEMENTS, OMITTED MATERIAL FACTS, WAS NEGLIGENCE, AND BREACHED THEIR CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS.

Product Type: Other: TENANT IN COMMON

Alleged Damages: \$2,340,000.00

Alleged Damages Amount Explanation (if amount not exact): INVESTMENT AMOUNT FOR TENANT IN COMMON.

Arbitration Information

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

Docket/Case #: [14-02156](#)



Date Notice/Process Served: 07/23/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/18/2016

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$0.00

Broker Statement ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS. THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS. FORD. IN ADDITION, IN THE SETTLEMENT, CLAIMANTS ACKNOWLEDGE THAT ERINN FORD WAS NOT INVOLVED IN THE INVESTMENT-RELATED SALES PRACTICE VIOLATIONS THAT WERE ALLEGED IN THE ACTION.

Disclosure 7 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC WEST

Allegations: VIOLATIONS OF SECURITY LAWS, MISREPRESENTATION OF MATERIAL INFORMATION, BREACH OF FIDUCIARY DUTY, NEGLIGENT MISREPRESENTATION, AND BREACH OF CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE OFFERINGS.

Product Type: Other: TENAN IN COMMON

Alleged Damages: \$8,031,839.00

Arbitration Information

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

Docket/Case #: [14-01603](#)

Date Notice/Process Served: 06/02/2014

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/28/2015

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement ARBITRATION WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT



OF HER POSITION AS VICE PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES AND WILL VIGOROUSLY DEFEND HERSELF AGAINST THESE ALLEGATIONS.

Disclosure 8 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC WEST SECURITIES INC.

Allegations: ERINN FORD WAS A CONTROL PERSON OF PACIFIC WEST SECURITIES AND CLAIMANTS CONTEND SHE IS RESPONSIBLE FOR THE ALLEGED WRONGFUL ACTS FROM THE REPRESENTATIVE OF RECORD INCLUDING BREACH OF FIDUCIARY DUTY, LEGAL MALPRACTICE, UNFAIR BUSINESS PRACTICES, NEGLIGENCE, LEGAL MALPRACTICE, CONSTRUCTIVE FRAUD, CONVERSION, AND MISREPRESENTATION. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE INVESTMENTS AT ISSUE.

Product Type: Other: TENANT IN COMMON

Alleged Damages: \$1,536,058.58

Civil Litigation Information

Type of Court: State Court

Name of Court: SUPERIOR COURT OF CALIFORNIA

Location of Court: COUNTY OF ORANAGE

Docket/Case #: 30-2012-00613565-CU-FR-CXC

Date Notice/Process Served: 01/07/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/30/2015

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount: \$0.00

Broker Statement ERINN FORD WAS A CONTROL PERSON OF PACIFIC WEST SECURITIES AND CLAIMANTS CONTEND SHE IS RESPONSIBLE FOR ALLEGED WRONGFUL ACTS AND OMISSIONS FROM THE REPRESENTATIVE OF RECORD. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALE OF THE INVESTMENTS.

THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS. FORD.

Disclosure 9 of 10

Reporting Source: Individual



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

Allegations: ERINN FORD WAS A CONTROL PERSON OF PACIFIC WEST SECURITIES AND CLAIMANTS CONTEND SHE IS RESPONSIBLE FOR ALLEGED WRONGFUL ACTS AND OMISSIONS FROM THE REPRESENTATIVE OF RECORD THE ALLEGATIONS INCLUDE SECURITIES FRAUD, ELDER ABUSE, MISREPRESENTATION, BREACH OF CONTRACT. MS. FORD WAS NOT INVOLVED IN THE SALE OF THE INVESTMENTS AT ISSUE.

Product Type: Other: TENANT IN COMMON

Alleged Damages: \$1,800,000.00

Arbitration Information

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

Docket/Case #: [12-02917](#)

Date Notice/Process Served: 10/17/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/24/2014

Monetary Compensation Amount: \$64,000.00

Individual Contribution Amount: \$0.00

Broker Statement ERINN FORD WAS A CONTROL PERSON OF PACIFIC WEST SECURITIES AND CLAIMANTS CONTEND SHE IS RESPONSIBLE FOR ALLEGED WRONGFUL ACTS AND OMISSIONS FROM THE REPRESENTATIVE OF RECORD. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALE OF THE INVESTMENTS. MS. FORD BELIEVES SHE WAS NAMED IN THIS MATTER MERELY BECAUSE OF HER POSITION AS VICE PRESIDENT OF THE BROKER/DEALER THAT MADE THE SALE. MS. FORD DENIES ANY AND ALL WRONGDOING.

THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MATTER WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT. THE SETTLEMENT PROVIDED A FULL RELEASE TO MS FORD.

Disclosure 10 of 10

Reporting Source: Individual

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

Allegations: CLIENT ALLEGES THAT MS. FORD AS A CONTROL PERSON FOR PACIFIC WEST IS LIABLE FOR THE WRONGFUL ACTS OF THE REPRESENTATIVE. THE CLIENT ALLEGES THE REPRESENTATIVE SOLD UNSUITABLE INVESTMENTS THROUGH MISREPRESENTATIONS.

Product Type: Other: TENANT IN COMMON



Alleged Damages: \$5,800,000.00

Arbitration Information

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

Docket/Case #: [12-01608](#)

Date Notice/Process Served: 05/17/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/09/2013

Monetary Compensation Amount: \$275,000.00

Individual Contribution Amount: \$0.00

Broker Statement COMPLAINT WAS BROUGHT AGAINST RESPONDENT FORD AS A RESULT OF HER POSITION AS VICE-PRESIDENT OF PACIFIC WEST SECURITIES. MS. FORD HAD NO CONTACT WITH THE CLIENT, NOR DID SHE HAVE ANY INVOLVEMENT WITH THE SALES OF THE INVESTMENTS. MS. FORD STRONGLY DENIES ANY WRONG DOING.

THIS MATTER WAS SETTLED AT THE DIRECTION OF PACIFIC WEST SECURITIES, AND THE MS. FORD WAS DISMISSED BY FINRA. ERINN FORD PAID NO PORTION OF THE SETTLEMENT AMOUNT



End of Report

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