



## IAPD Report

# KALEEL THOMAS GEORGE

CRD# 2234028

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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

### KALEEL THOMAS GEORGE (CRD# 2234028)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/03/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	GEORGE FINANCIAL SERVICES	CRD# 319091	08/15/2022

### QUALIFICATIONS

This representative is currently registered in **0** 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>B</b>	PARKLAND SECURITIES, LLC	115368	CANTON, OH	01/13/2014 - 08/11/2022
<b>IA</b>	SPC	110692	CANTON, OH	01/13/2014 - 08/11/2022
<b>IA</b>	VALIC FINANCIAL ADVISORS, INC.	42803	INDEPENDENCE, OH	10/09/2012 - 02/06/2014

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	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 **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **GEORGE FINANCIAL SERVICES**  
Main Address: 920 WALNUT AVE. NE  
CANTON, OH 44704  
Firm ID#: 319091

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	08/15/2022

#### Branch Office Locations

**GEORGE FINANCIAL SERVICES**  
920 WALNUT AVE. NE  
CANTON, OH 44704



## 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 0 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	08/04/1997

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/23/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/04/1994

#### State Securities Law Exams

Exam	Category	Date
No information reported.		

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	01/13/2014 - 08/11/2022	PARKLAND SECURITIES, LLC	CRD# 115368	CANTON, OH
IA	01/13/2014 - 08/11/2022	SPC	CRD# 110692	CANTON, OH
IA	10/09/2012 - 02/06/2014	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	INDEPENDENCE, OH
B	09/04/2012 - 02/06/2014	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	INDEPENDENCE, OH
IA	09/23/2011 - 09/20/2012	GENWORTH FINANCIAL ADVISERS CORPORATION	CRD# 105644	CANTON, OH
B	09/22/2011 - 09/20/2012	GENWORTH FINANCIAL SECURITIES CORPORATION	CRD# 10358	CANTON, OH
B	02/10/2011 - 09/09/2011	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	CANAL FULTON, OH
IA	06/08/2007 - 02/14/2011	SPC	CRD# 110692	CANTON, OH
B	06/01/2007 - 02/14/2011	SAMMONS SECURITIES COMPANY, LLC	CRD# 115368	CANTON, OH
B	12/01/2006 - 06/06/2007	QUESTAR CAPITAL CORPORATION	CRD# 43100	CANTON, OH
B	02/18/2004 - 12/01/2006	USALLIANZ SECURITIES, INC.	CRD# 40875	CANTON, OH
B	01/01/2002 - 02/18/2004	MTL EQUITY PRODUCTS, INC.	CRD# 15764	FOUNTAIN HILLS, AZ
B	04/23/1998 - 01/01/2002	IAC SECURITIES, INC.	CRD# 14081	TINLEY PARK, IL
B	05/12/1997 - 04/29/1998	INVESTACORP, INC.	CRD# 7684	MIAMI, FL
B	03/26/1994 - 05/16/1997	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA



## Registration & Employment History

### 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
01/2025 - Present	Ohio CU Financial Services, LLC	Sales Manager	Y	Cleveland, OH, United States
08/2022 - Present	George Financial Services LLC	Investment Advisory Rep	Y	Canton, OH, United States
05/1997 - Present	Access Financial Group	Owner/Agent. Insurance sales, life/health, annuities.	Y	Canton, OH, United States
08/2014 - 08/2022	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
01/2014 - 08/2022	SPC	INVESTEMENT ADVISORY REP	Y	ANN ARBOR, MI, 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. Access Financial Group, Canton, OH. Insurance agency owner / Sale of financial services and insurance products (including life, health, LTC, DI, and hospital-only insurance products). Start date: 5/97, approx. 20 hrs/mo.
2. FIXED INSURANCE SALES - 10 HOURS PER WEEK (10 DURING TRADING). LIFE, HEALTH, AND FIXED ANNUITIES SALES
3. Ohio CU Financial Services, LLC. Cleveland, Akron, and Canton locations. Start Date 01/25. 80 Hours per month. (60 During Trading) Sales manager, responsible for insurance sales and training agents.



## 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	1

### 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	ALLSTATE FINANCIAL SERVICES, LLC
<b>Allegations:</b>	A PERSON CLAIMING TO BE THE NEW TRUSTEE OF THE TRUST ALLEGES THAT THE RR SHOULD HAVE KNOWN THAT THE SUPPOSED FORMER TRUSTEE NO LONGER HAD AUTHORIZATION TO TRANSACT INVESTMENT BUSINESS FOR THE TRUST AND OPENED A MUTUAL FUND ACCOUNT FOR THE SUPPOSED FORMER TRUSTEE.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$11,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/12/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/15/2013
<b>Settlement Amount:</b>	



**Individual Contribution Amount:**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** ALLSTATE FINANCIAL SERVICES

**Allegations:** INVESTED MONEY WITH AMERICAM FUNDS FROM THE PROCEEDS OF A LIFE INSURANCE POLICY INSURING [CUSTOMER] OWNED BY THE MUTTI FAMILY IRR TRUST 7-1-2011.[CUSTOMER] DIED ON 3-27-2011. [THIRD PARTY] WAS CONTACTED BY PROTECTIVE LIFE STATING SHE WAS THE TRUSTEE OF THE MUTTI IRR TRUST AND SHE WAS THE ONLY PERSON WHO COULD PROCESS THE CLAIM.[THIRD PARTY]SAID SHE DIDNT REMEMBER RESIGNING AS TRUSTEE IN 2008.ACTING IN GOOD FAITH AND FOLLING THE INSTRUCTION OF THE TRUST I INVESTED THE MONEY BELIEVING [THIRD PARTY] AS THE TRUSTEE.I TRIED TO REACH OUT TO [SPOUSE] TO PAY MY RESPECT AND FIND OUT WHO HER COUNCEL WAS FOR THE ESTATE ONLY TO REALIZE SHE HAD MOVED OUT OF STATE AND I HAD NO WAS TO CONTACT HER.AS I FOUND OUT LATER THE CORRECT TRUSTEE SINCE 2008 WAS [TRUSTEE].[TRUSTEE] NEVER CONTACTED PROTECTIVE LIFE STATING SHE WAS THE CORRECT TRUSTEE OF THE MUTTI IRR TRUST SINCE 2008.THIS BECAME A LEGAL MATTER WHEN [TRUSTEE] AND HER ATTORNEY [THIRD PARTY]DEMANDED THAT THE AMERICAN FUNDS OWNED BY THS MUTTI IRR TRUST BE SOLD IMMEDIATELY(DURING A DOWN MARKET) AND THEY WERE 10-14-2011.THE FUNDS WERE SENT TO [TRUSTEE] AS WELL AS THE TRUSTEE FEE.THEY CLAIM I CAUSED A LOSS FOR THE TRUST OF 11000.00 WHEN IN FACT I WAS FOLLING THEIR INSTRUCTIONS.IF [TRUSTEE] WOULD HAVE CORRECTED HERSELF AS THE TRUSTEE IN 2008 THIS WOULD NEVER HAD HAPPEN.

**Product Type:** Mutual Fund

**Alleged Damages:** \$11,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Arbitration/Reparation forum or court name and location:**

**Docket/Case #:**

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/08/2013

**Customer Complaint Information**

**Date Complaint Received:** 03/08/2013

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/08/2013

**Settlement Amount:**



**Individual Contribution  
Amount:**

**Arbitration Information**

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

**Docket/Case #:** NA

**Date Notice/Process Served:** 03/08/2013

**Arbitration Pending?** No

**Disposition:** No Action

**Disposition Date:** 03/08/2013



## End of Report

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