IAPD Report

TATYANA MOYSEEVNA BUNICH

CRD# 2288860

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

TATYANA MOYSEEVNA BUNICH (CRD# 2288860)

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 **06/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	04/18/2017
IA	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	04/18/2017

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	CL WEALTH MANAGEMENT LLC	134922	Columbia, MD	10/30/2015 - 05/05/2017
B	CABOT LODGE SECURITIES LLC	159712	Columbia, MD	07/05/2013 - 05/05/2017
B	ALLIED BEACON PARTNERS, INC.	46227	BALTIMORE, MD	02/03/2012 - 07/26/2013

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	3

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 1

Firm Name: **INDEPENDENT FINANCIAL GROUP, LLC**

Main Address: 12671 HIGH BLUFF DR
SUITE 200
SAN DIEGO, CA 92130

Firm ID#: 7717

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/18/2017
B	California	Agent	Approved	10/27/2023
B	Colorado	Agent	Approved	04/18/2017
B	Delaware	Agent	Approved	05/15/2017
B	Florida	Agent	Approved	04/18/2017
IA	Florida	Investment Adviser Representative	Approved	12/14/2022
B	Georgia	Agent	Approved	09/17/2025
B	Maryland	Agent	Approved	04/18/2017
IA	Maryland	Investment Adviser Representative	Approved	04/18/2017
B	Minnesota	Agent	Approved	06/11/2026
B	Missouri	Agent	Approved	10/06/2025
B	New York	Agent	Approved	04/18/2019
B	North Carolina	Agent	Approved	10/27/2023

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	06/15/2026
B	South Carolina	Agent	Approved	09/16/2025
B	Texas	Agent	Approved	01/29/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	03/06/2025

Branch Office Locations

INDEPENDENT FINANCIAL GROUP, LLC
8850 Columbia 100 Parkway
Suite 403
Columbia, MD 21045

INDEPENDENT FINANCIAL GROUP, LLC
19495 BISCAYNE BLVD.
SUITE 410
AVENTURA, FL 33180

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/27/1993

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/28/2015
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/16/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

User Guidance

www.adviserinfo.sec.gov

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	10/30/2015 - 05/05/2017	CL WEALTH MANAGEMENT LLC	CRD# 134922	Columbia, MD
B	07/05/2013 - 05/05/2017	CABOT LODGE SECURITIES LLC	CRD# 159712	Columbia, MD
B	02/03/2012 - 07/26/2013	ALLIED BEACON PARTNERS, INC.	CRD# 46227	BALTIMORE, MD
B	01/15/2010 - 07/01/2011	H. BECK, INC.	CRD# 1763	BALTMORE, MD
B	08/22/2006 - 09/10/2009	NEXT FINANCIAL GROUP, INC.	CRD# 46214	BALTIMORE, MD
B	02/17/2006 - 08/17/2006	TRIAD ADVISORS, INC.	CRD# 25803	OWINGS MILLS, MD
B	03/10/2003 - 02/08/2006	NEXT FINANCIAL GROUP, INC.	CRD# 46214	BALTIMORE, MD
B	01/06/2003 - 03/11/2003	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	04/01/1997 - 12/31/2002	ADVANTAGE CAPITAL CORPORATION	CRD# 146	ATLANTA, GA
B	01/26/1996 - 03/17/1997	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	05/16/1995 - 01/04/1996	BHCM INC.	CRD# 34637	HOUSTON, TX
B	05/01/1995 - 05/02/1995	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
B	03/30/1994 - 05/01/1995	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY
B	07/28/1993 - 04/08/1994	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	NEW YORK, NY

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
04/2017 - Present	INDEPENDENT FINANCIAL GROUP	REGISTERED REP	Y	SAN DIEGO, CA, United States
01/2006 - Present	FINANCIAL 1 TAX SERVICE	TAX PREPARER	N	BALTIMORE, MD, United States
10/2015 - 03/2017	CL WEALTH MANAGEMENT LLC	Registered Investment Advisor	Y	New York, NY, United States
06/2013 - 03/2017	CABOT LODGE SECURITIES	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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) INSURANCE
POSITION: Agent/Representative NATURE: Insurance outside of IFG INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/1995
ADDRESS: 8850 Columbia 100 Parkway, Suite 403, Columbia MD 21045, United States
DESCRIPTION: various types of fixed insurance

(2) FINANCIAL 1 WEALTH
POSITION: Agent/Representative NATURE: DBA Name for Marketing Purposes Only INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 05/03/2016
ADDRESS: 19495 Biscayne Blvd., Suite 410, Aventura FL 33180, United States
DESCRIPTION: (1) 100% OWNER OF DBA FINANCIAL 1 WEALTH MANAGEMENT GROUP ALSO FINANCIAL 1 WEALTH OFFERING SECURITIES, ADVISORY AND INSURANCE SERVICES SINCE 2017. INVESTMENT RELATED. 60% TIME SPENT. BUSINESS CONDUCTED AT ADDRESS OF RECORD.

(3) FINANCIAL 1 TAX INC.
POSITION: Officer/Director NATURE: Tax Preparation/Accounting/Bookkeeping/CPA INVESTMENT RELATED: No NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 01/01/2006
ADDRESS: 19495 Biscayne Blvd., Suite 410, Aventura FL 33180, United States
DESCRIPTION: OFFERING TAX PREP SERVICES
Non investment estate planning, tax planning, insurance and retirement planning. Additional address originally disclosed and documented in MD at 8850 Columbia 100 Parkway, Ste. 403, Columbia, MD 21045.

(4) RENTAL PROPERTY
POSITION: owner NATURE: Real Estate Sales/Rental Properties/Property Management INVESTMENT RELATED: Yes NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 15 START DATE: 01/01/2006
ADDRESS: 3840 N 42ND TERRACE, 33021 FL 33021, United States
DESCRIPTION: OWNER / MANAGER OF REAL ESTATE since 2006

(5) FINANCIAL 1 PUBLISHING
POSITION: Officer/Director NATURE: Other: INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2024

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 19495 Biscayne Blvd., Suite 410, Aventura FL 33180, United States
DESCRIPTION: I wrote a book which was approved by IFG and to print I had to choose a publishing name, its Financial 1 Publishing. Its not an entity or anything just used in the book for publishing. I am an author and the book is for sale on Amazon. We give the book out to prospects and clients

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	3

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CABOT LODGE SECURITIES LLC
Allegations:	AROUND 2015 [REDACTED] CAME TO TATYANA BUNICH SEEKING INVESTMENT ADVICE. [REDACTED] ALLEGES THAT MS. BUNICH ADVISED HER TO INVEST EXCLUSIVELY IN REITS AND ALTERNATIVE INVESTMENTS. [REDACTED] ALLEGES THAT MS. BUNICH VIOLATED FINRA RULE 2110, 2111, NEGLIGENCE, MISREPRESENTATIONS AND OMISSIONS OF MATERIAL FACTS AND BREACH OF FIDUCIARY DUTY
Product Type:	Real Estate Security
Alleged Damages:	$149,000.00
Alleged Damages Amount Explanation (if amount not exact):	RELIEF REQUESTED: 1) FOR ALL LOSSES OF PRINCIPAL SUFFERED BY CLAIMANT. 2) FOR ALL INTEREST, COMMISSIONS AND FEES PAID BY CLAIMANT. 3) FOR THE LOSS OF INCOME THAT WOULD HAVE BEEN RECEIVED HAD CLAIMANT'S ACCOUNT BEEN MANAGED PROPERLY, AS WELL AS OTHER LOSSES, FORESEEABLE OR NOT, THE CLAIMANT HAS SUFFERED, INCLUDING NON-PECUNIARY LOSSES. 4) FOR ATTORNEY'S FEES, COST AND OTHER EXPENSES. 5) FOR INTEREST, BOTH PRE-JUDGMENT AND POST-JUDGMENT. 6) FOR ALL OTHER SUMS CLAIMANT IS ENTITLED TO AT LAW OR EQUITY. 7) FOR PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	ARBITRAL TRIBUNAL OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY
Docket/Case #:	21-00857
Filing date of arbitration/CFTC reparation or civil litigation:	03/31/2021

Customer Complaint Information

Date Complaint Received:	03/31/2021
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/31/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	21-00857
Date Notice/Process Served:	03/31/2021
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/20/2021
Monetary Compensation Amount:	$27,500.00
Individual Contribution Amount:	$15,000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CABOT LODGE SECURITIES LLC
Allegations:	AROUND 2015 [REDACTED] CAME TO TATYANA BUNICH SEEKING INVESTMENT ADVICE. [REDACTED] ALLEGES THAT MS. BUNICH ADVISED HER TO INVEST EXCLUSIVELY IN REITS AND ALTERNATIVE INVESTMENTS. [REDACTED] ALLEGES THAT MS. BUNICH VIOLATED FINRA RULE 2110, 2111, NEGLIGENCE, MISREPRESENTATIONS AND OMISSIONS OF MATERIAL FACTS AND BREACH OF FIDUCIARY DUTY
Product Type:	Real Estate Security
Alleged Damages:	$149,000.00
Alleged Damages Amount Explanation (if amount not exact):	RELIEF REQUESTED: 1) FOR ALL LOSSES OF PRINCIPAL SUFFERED BY CLAIMANT. 2) FOR ALL INTEREST, COMMISSIONS AND FEES PAID BY CLAIMANT. 3) FOR THE LOSS OF INCOME THAT WOULD HAVE BEEN RECEIVED HAD CLAIMANT'S ACCOUNT BEEN MANAGED PROPERLY, AS

	WELL AS OTHER LOSSES, FORESEEABLE OR NOT, THE CLAIMANT HAS SUFFERED, INCLUDING NON-PECUNIARY LOSSES. 4) FOR ATTORNEY'S FEES, COST AND OTHER EXPENSES. 5) FOR INTEREST, BOTH PRE-JUDGMENT AND POST-JUDGMENT. 6) FOR ALL OTHER SUMS CLAIMANT IS ENTITLED TO AT LAW OR EQUITY. 7) FOR PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	ARBITRAL TRIBUNAL OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY
Docket/Case #:	21-00857
Filing date of arbitration/CFTC reparation or civil litigation:	03/31/2021

Customer Complaint Information

Date Complaint Received:	03/31/2021
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/31/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	ARBITRAL TRIBUNAL OF THE FINANCIAL INDUSTRY REGULATORY AUTHORITY
Docket/Case #:	21-00857
Date Notice/Process Served:	03/31/2021
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/20/2021
Monetary Compensation Amount:	$27,500.00
Individual Contribution Amount:	$15,000.00
Broker Statement	On April 18, 2024 a FINRA arbitrator awarded the expungement of all references to this complaint based on a finding that the subject claim, allegation or information is factually impossible or clearly erroneous, and that the customer transferred her account to the broker-dealer I joined after the complaint was made.

Disclosure 2 of 3

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	Cabot Lodge Securities, LLC
Allegations:	Claimant alleges that the Parking REIT was an unsuitable investment. Claimant also alleges failure to properly supervise.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damages, interest, punitive damages, costs of the proceeding and other relief as is just and proper.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-02232
Filing date of arbitration/CFTC reparation or civil litigation:	07/16/2020

Customer Complaint Information

Date Complaint Received:	07/23/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/23/2020
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$20,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	20-02232
Date Notice/Process Served:	07/23/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2020
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$20,000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CABOT LODGE SECURITIES, LLC
Allegations:	Claimant alleges that the Parking REIT was an unsuitable investment. Claimant also alleges failure to properly supervise.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damages, interest, punitive damages, costs of the proceeding and other relief as is just and proper.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-02232
Filing date of arbitration/CFTC reparation or civil litigation:	07/16/2020

Customer Complaint Information

Date Complaint Received:	07/23/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/23/2020
Settlement Amount:	$40,000.00
Individual Contribution Amount:	$20,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-02232
Date Notice/Process Served:	07/23/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/30/2020
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$20,000.00

Broker Statement	On April 18, 2024 a FINRA arbitrator awarded the expungement of all references to this complaint based on a finding that the subject claim, allegation or information is factually impossible or clearly erroneous, and that the customer transferred his account to the broker-dealer I joined after the complaint was made.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cabot Lodge Securities, LLC
Allegations:	The Claimant alleges the recommendation of an unsuitable investment.
Product Type:	Other: Non-traded REIT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damages, interest, punitive damages, costs of the proceeding and other relief as is just and proper.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01525
Filing date of arbitration/CFTC reparation or civil litigation:	05/14/2020

Customer Complaint Information

Date Complaint Received:	06/12/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/12/2020
Settlement Amount:	$27,300.00
Individual Contribution Amount:	$12,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Arbitration
Docket/Case #:	20-01525
Date Notice/Process Served:	05/14/2020
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	10/30/2020
Monetary Compensation Amount:	$27,300.00
Individual Contribution Amount:	$12,500.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CABOT LODGE SECURITIES, LLC
Allegations:	The Claimant alleges the recommendation of an unsuitable investment.
Product Type:	Other: NON-TRADED REIT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damages, interest, punitive damages, costs of the proceeding and other relief as is just and proper.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01525
Filing date of arbitration/CFTC reparation or civil litigation:	05/14/2020

Customer Complaint Information

Date Complaint Received:	06/12/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/12/2020
Settlement Amount:	$27,300.00
Individual Contribution Amount:	$12,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-0152505/14/2020
Date Notice/Process Served:	05/14/2020
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	10/30/2020
Monetary Compensation Amount:	$27,300.00
Individual Contribution Amount:	$12,500.00
Broker Statement	On April 18, 2024, a FINRA arbitrator awarded the expungement of all references to this complaint based on a finding that the subject claim, allegation or information is factually impossible or clearly erroneous, and that the customer transferred his account to the broker-dealer I joined after the complaint was made.

End of Report

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