



## IAPD Report

# GENE ROBERT AUSTIN

CRD# 2296065

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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

### GENE ROBERT AUSTIN (CRD# 2296065)

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 **12/12/2017**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
<b>IA</b> AUSTIN FINANCIAL STRATEGIES, INC.	CRD# 160828	02/13/2012

### 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> TRADINGBLOCK	128605	Indianapolis, IN	10/16/2015 - 12/31/2016
<b>B</b> ADIRONDACK TRADING GROUP LLC	103910	INDIANAPOLIS, IN	02/16/2012 - 10/27/2015
<b>IA</b> CREATIVE FINANCIAL DESIGNS, INC.	109032	INDIANAPOLIS, IN	04/01/1999 - 02/15/2012

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
Investigation	1
Customer Dispute	3
Termination	1
Judgment/Lien	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: **AUSTIN FINANCIAL STRATEGIES, INC.**  
Main Address: 5110 COMMERCE SQUARE DR  
SUITE G  
INDIANAPOLIS, IN 46237  
Firm ID#: 160828

Regulator	Registration	Status	Date
 IA Indiana	Investment Adviser Representative	Approved	02/13/2012

#### Branch Office Locations

**AUSTIN FINANCIAL STRATEGIES, INC.**  
5110 COMMERCE SQUARE DR  
SUITE G  
INDIANAPOLIS, IN 46237



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	12/31/2016
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/16/1992

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	01/11/2012
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	11/16/1992

### 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	10/16/2015 - 12/31/2016	TRADINGBLOCK	CRD# 128605	Indianapolis, IN
B	02/16/2012 - 10/27/2015	ADIRONDACK TRADING GROUP LLC	CRD# 103910	INDIANAPOLIS, IN
IA	04/01/1999 - 02/15/2012	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	INDIANAPOLIS, IN
B	02/22/1999 - 02/15/2012	CFD INVESTMENTS, INC.	CRD# 25427	INDIANAPOLIS, IN
B	11/24/1992 - 05/17/1999	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN
B	11/24/1992 - 05/17/1999	AUL EQUITY SALES CORP.	CRD# 4173	INDIANAPOLIS, IN

### 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
10/2015 - Present	MoneyBlock	Registered Representative	Y	Chicago, IL, United States
12/2011 - Present	AUSTIN FINANCIAL STRATEGIES	DBA	Y	INDIANAPOLIS, IN, 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. AUSTIN FINANCIAL STRATEGIES, A STATE REGISTERED RIA THAT RECEIVED FEE ONLY PAYMENTS FOR ADVISORY SERVICES. IT IS INVESTMENT RELATED. SERVE AS PRESIDENT, SINCE JANUARY 2012, RESPONSIBLE FOR DAILY OPERATIONS OF INVESTMENT MANAGEMENT OF CLIENT ACCOUNTS. 100 HOURS/MONTH MOST ARE SPENT DURING MARKET HOURS.
2. AUSTIN FINANCIAL GROUP, A SUB S CORPORAION FOR THE SALE OF SECURITIES AND VARIABLE PRODUCTS ANI IS INVESTMENT RELATED. SERVE AS PRESIDENT OF DAILY OPERATIONS OF SALES SINCE JANUARY 2012. APPROXIMATELY 100 HOURS/MONTH ARE SPENT ON THIS ACTIVITY, MOST ARE SPENT DURING MARKET HOURS.
3. AUSTIN SPEED AND AGILITY - A SUB S CORPORATION TRAINING ATHELETES IN SPEED AND AGILITY. PRESIDENT/OWNER - 40 HRS/MO OUTSIDE OF BUSINESS HOURS, NON-INVESTMENT RELATED.



## 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
Investigation	1
Termination	1
Judgment/Lien	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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	CFD INVESTMENTS, INC.
<b>Allegations:</b>	Suitability, Misrepresentation, manipulative or deceptive practice or fraud, breach of contract, breach of fiduciary duty, and failure to supervise in connection with the sale and servicing of variable annuity contracts.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$200,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Arbitration claim identifies claims in excess of \$200,000.

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	16-02695
<b>Date Notice/Process Served:</b>	09/20/2016
<b>Arbitration Pending?</b>	No



**Disposition:** Settled  
**Disposition Date:** 08/07/2017  
**Monetary Compensation Amount:** \$85,000.00  
**Individual Contribution Amount:** \$52,500.00

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CFD Investments and Adirondack Trading Group

**Allegations:** Allegations include omissions, misrepresentations, fraud, mismanagement, negligence and negligent supervision by respondents as a result of the sale of variable annuities.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$200,000.00

**Arbitration Information**

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

**Docket/Case #:** 16-02695

**Date Notice/Process Served:** 09/20/2016

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/07/2017

**Monetary Compensation Amount:** \$85,000.00

**Individual Contribution Amount:** \$52,500.00

**Broker Statement** The matter was resolved through pre-arbitration mediation conducted on August 7, 2017. The Parties, in an attempt to resolve all outstanding matters of contention, and in an effort to forestall protracted costs associated with the matter and its defense, agreed to a settlement and dismissal of the case without any admission of fault, wrongdoing or guilt on the part of any Party.

**Disclosure 2 of 3**

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** CFD INVESTMENTS, INC.

**Allegations:** GENERAL ALLEGATIONS OF UNSUITABILITY.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$28,000.00

**Customer Complaint Information**



**Date Complaint Received:** 04/11/2007

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/11/2007

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 3 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** CFD INVESTMENTS, INC.

**Allegations:** CUSTOMER SENT A COMPLAINT TO ING USA LIFE & ANNUITY INSURANCE COMPANY AND THE INDIANA SECURITIES DIVISION AND A COPY WAS PROVIDED TO THE REPORTING FIRM. THE REPORTING FIRM WAS PROVIDED WITH A COPY OF THE LETTER SENT TO ING. THE CUSTOMER ALLEGED THAT THEY DID NOT KNOW THEY WERE PURCHASING AN ANNUITY AND THAT THEIR INITIALS WERE FORGED ON A DOCUMENT.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 04/21/2006

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/10/2006

**Settlement Amount:**

**Individual Contribution Amount:**



## Investigation

This disclosure event involves any ongoing formal investigation such as a grand jury investigation, a Securities and Exchange Commission investigation, a formal investigation by a self-regulatory organization (e.g., FINRA), or an action or procedure designated as an investigation by a state or other regulator. Subpoenas, preliminary or routine regulatory inquiries, and general requests by these regulatory bodies for information are not considered investigations and therefore are not required to be reported.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Initiated By:</b>	INDIANA SECURITIES DIVISION
<b>Notice Date:</b>	10/17/2007
<b>Details:</b>	NATURE OF THE INVESTIGATION IS NOT KNOWN.



## Termination

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

### Disclosure 1 of 1

**Reporting Source:** Individual

**Firm Name:** AUL

**Termination Type:** Permitted to Resign

**Termination Date:** 04/19/1999

**Allegations:** (BASED ON AUL'S FORM U-5 DATED 05/17/99)A ROUTINE MARKET CONDUCT AGENT SALES PRACTICE REVIEW REVEALED SEVERAL INCONSISTENT SIGNATURES ON CLIENT APPLICATIONS AND FORMS. THERE WERE SEVERAL POLICY APPLICATIONS AND FORMS THAT HAD INCONSISTENT CLIENT SIGNATURES. SOME APPLICATIONS WERE ALSO SIGNED BY THE AGENT THAT HE HAD ASKED QUESTIONS AND WITNESSED THE POLICYHOLDERS SIGNATURE AT THE TIME OF AN APPLICATION WHEN IN FACT HE WAS NOT PRESENT AT THE TIME OF APPLICATION. TWO CUSTOMERS CONFIRMED THAT THE SIGNATURES ON THE APPLICATION OR FORMS WERE NOT THEIRS. THE AGENT DENIED THAT HE HAD FORGED ANY CLIENT SIGNATURES.

**Product Type:** Insurance

**Other Product Types:**

**Broker Statement** THE AGENT JOINED CFD ON 02/12/1999. AUL INITIATED ITS INTERNAL INVESTIGATION ON 02/19/1999. AS A RESULT OF THE FORM U-5 FILED BY AUL, THE NASD COMMENCED AN INVESTIGATION ON SEPTEMBER 21, 1999 (E8A990486). THE AGENT DENIED ANY IMPROPRIETY AND NOTED THAT NONE OF THE ISSUES INVOLVED SECURITIES-RELATED MATTERS. NASD INDICATED THAT IT WOULD TAKE NO DISCIPLINARY ACTION AND WAS CLOSING ITS FILE CONCERNING THE MATTER IN A LETTER DATED APRIL 18, 2000.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	State of Indiana
<b>Judgment/Lien Amount:</b>	\$8,765.33
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	11/18/2015
<b>Date Individual Learned:</b>	01/11/2016
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	marion county
<b>Location of Court:</b>	Indianapolis, Indiana
<b>Docket/Case #:</b>	10723707/200522
<b>Judgment/Lien Outstanding?</b>	Yes



## End of Report

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