



IAPD Report

BRIAN EDWARD VANWINKLE

CRD# 2316075

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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

Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

BRIAN EDWARD VANWINKLE (CRD# 2316075)

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 **06/07/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SYNDICATED CAPITAL, INC.	CRD# 29037	06/13/2003
IA	VAN WINKLE WEALTH MANAGEMENT GROUP LLC	CRD# 134813	08/12/2005

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	MCDONALD INVESTMENTS INC.	566	CLEVELAND, OH	01/18/2000 - 06/30/2003
B	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL	12/13/1994 - 01/19/2000
B	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA	02/09/1994 - 01/03/1995

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	5
Termination	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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SYNDICATED CAPITAL, INC.**
Main Address: 21671 GATEWAY CENTER DRIVE
SUITE 111
DIAMOND BAR, CA 91765
Firm ID#: 29037


	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	06/13/2003
	California	Agent	Approved	04/30/2013
	New Jersey	Agent	Approved	09/10/2003
	Ohio	Agent	Approved	06/13/2003

Branch Office Locations

SYNDICATED CAPITAL, INC.
263 DEO DRIVE
NEWARK, OH 43055

Employment 2 of 2

Firm Name: **VAN WINKLE WEALTH MANAGEMENT GROUP LLC**
Main Address: 263 DEO DRIVE
NEWARK, OH 43055
Firm ID#: 134813

	Regulator	Registration	Status	Date
	Ohio	Investment Adviser Representative	Approved	08/12/2005

Branch Office Locations

VAN WINKLE WEALTH MANAGEMENT GROUP LLC
263 DEO DRIVE



Qualifications

NEWARK, OH 43055



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 1 state securities law exam.

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	09/24/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/15/1993



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	01/18/2000 - 06/30/2003	MCDONALD INVESTMENTS INC.	CRD# 566	CLEVELAND, OH
B	12/13/1994 - 01/19/2000	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	02/09/1994 - 01/03/1995	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	09/27/1993 - 12/21/1993	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	09/27/1993 - 12/21/1993	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
06/2003 - Present	SYNDICATED CAPITAL, INC.	SALES	Y	SANTA MONICA, CA, 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.

PART OWNER IN BRAVO HOLDINGS, LLC, A PARTNERSHIP TO ACQUIRE INVESTMENT REAL ESTATE.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	5
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Ohio, Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	02/10/2011
Docket/Case Number:	CRD 2316075
Employing firm when activity occurred which led to the regulatory action:	Van Winkle Wealth Management
Product Type:	Annuity-Fixed
Allegations:	It is alleged that Mr. Van Winkle omitted information on fixed annuity application for a few clients. Mr. Van Winkle did internal replacements to benefit his clients in a bear market to create an ordinary income loss and to enter the market at a 40% decline.
Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date:	02/10/2011
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	02/10/2011
Was any portion of penalty waived?	No
Amount Waived:	



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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SYNDICATED CAPITAL, INC.
Allegations:	CUSTOMER CLAIMS UNAUTHORIZED TRADING, EXCESSIVE COMMISSIONS AND FEES, AND HE WAS SOLD UNSUITABLE PRODUCTS.
Product Type:	Annuity-Fixed Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/06/2014
Complaint Pending?	No
Status:	Settled
Status Date:	05/30/2014
Settlement Amount:	\$1,710.57
Individual Contribution Amount:	\$1,710.57
Broker Statement	FINRA 20140406677 CUSTOMER WAS CHARGED A CUSTOMARY 1.00% FEE BUT THE FIRM WILL REIMBURSE \$1,710.57 BACK TO THE CUSTOMER. CUSTOMER PURCHASED \$772K IN EQUITY-INDEXED ANNUITIES THROUGH THE REP'S INSURANCE BUSINESS AS A WAY TO MINIMIZE RISK AND PRESERVE CAPITAL WHILE PROVIDING A STREAM OF INCOME IN RETIREMENT. CUSTOMER RECEIVED DISCLOSURES ABOUT SURRENDER CHARGES YET ELECTED TO SURRENDER THESE POLICIES SHORTLY AFTER PURCHASE. AS A RESULT, HE SUSTAINED A SUBSTANTIAL LOSS DUE TO SURRENDER CHARGES.

Disclosure 2 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.



Allegations: MISREPRESENTATION OF ANNUITY CONTRACT IN 3/2000.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$83,000.00

Customer Complaint Information

Date Complaint Received: 08/26/2004

Complaint Pending? No

Status: Settled

Status Date: 01/11/2005

Settlement Amount: \$75,479.73

Individual Contribution Amount: \$0.00

Firm Statement WAS INITIATED AS A VERBAL COMPLAINT WHICH EVOLVED INTO A SETTLEMENT.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: MISREPRESENTATION OF ANNUITY CONTRACT IN 3/2000.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$83,000.00

Customer Complaint Information

Date Complaint Received: 08/26/2004

Complaint Pending? No

Status: Settled

Status Date: 01/11/2005

Settlement Amount: \$75,479.73

Individual Contribution Amount: \$0.00

Broker Statement INITIATED AS A VERBAL COMPLAINT WHICH EVOLVED INTO A SETTLEMENT.

Disclosure 3 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: CUSTOMER ALLEGES FAILURE TO EXECUTE TRADE ON 3/20/03.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$40,000.00

Customer Complaint Information



Date Complaint Received: 09/22/2004
Complaint Pending? No
Status: Closed/No Action
Status Date: 06/24/2005
Settlement Amount:

Individual Contribution Amount:

.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.
Allegations: CUSTOMER ALLEGES FAILURE TO EXECUTE TRADE ON 3/20/03.
Product Type: Annuity(ies) - Fixed
Alleged Damages: \$40,000.00

Customer Complaint Information

Date Complaint Received: 09/22/2004
Complaint Pending? No
Status: Closed/No Action
Status Date: 06/24/2005
Settlement Amount:
Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: BOSC
Allegations: CLAIMANTS ALLEGE THE INVESTMENT WAS NOT SUITABLE.
Product Type: Mutual Fund(s)
Alleged Damages:

Customer Complaint Information

Date Complaint Received: 02/25/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 02/25/2002
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

**Arbitration Information**

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE NO. 02-00827

Date Notice/Process Served: 02/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/07/2002

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BANC ONE SECURITIES CORP

Allegations: CLIENT ALLEGES THE INVESTMENT WAS NOT SUITABLE.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/25/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/25/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR 02-00827

Date Notice/Process Served: 02/25/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/07/2002

Monetary Compensation Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement MR. VANWINKLE STRENUOUSLY DENIES THE CLIENT'S ACCUSATIONS AND FEELS THAT THEY ARE WITHOUT MERIT.

**Disclosure 5 of 5**

Reporting Source: Individual

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

Allegations: UNSUITABLE RECOMMENDATION, UNAUTHORIZED TRADE

Product Type: Mutual Fund(s)

Other Product Type(s): SOLD COMMONS STOCK - PURCHASED BALANCED MUTUAL FUNDS

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 12/05/1996

Complaint Pending? No

Status: Settled

Status Date: 06/04/1997

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$12,000.00

Broker Statement

CLIENT REQUESTED MUTUAL FUND LIQUIDATION WAS REIMBURSED TO CLIENT. REPS COMMISSION ON SALES OF \$25,000.00 MUTUAL FUND TRANSACTION WAS REVERSED. ADDITIONALLY REP WAS REQUIRED TO PAY CLIENT \$12,000 OF \$25,000 SETTLEMENT.

SUMMARY: THE CUSTOMER WAS CONTENT WITH THE TRANSACTION WE HAD INITIATED. THE STOCK SALES WAS INTRODUCED IN ORDER TO DIVERSIFY HER TOTAL PORTFOLIO OUT OF ONE STOCK. THE CUSTOMER WAS AWARE OF THE TAX LIABILITY AND WE HAD EARMARKED \$30,000 FOR TAX PURPOSES. THE RISK OF HAVING 100% FLUCTUATION ON A \$400,000 STOCK POSITIONS SEEMED MUCH GREATER THAN THE CLIENTS \$25,000 IN TAXES. THE DAUGHTER WAS NOT SATISFIED WITH THE TAMPERING OF HER POTENTIAL FUTURE BENEFIT SO SHE PURSUED THE COMPLAINT (NOT THE CLIENT)



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:	MCDONALD INVESTMENTS, INC.
Termination Type:	Discharged
Termination Date:	06/02/2003
Allegations:	MCDONALD INVESTMENTS ALLEGED THAT I "FAILED TO FOLLOW FIRM POLICY WITH RESPECT TO TRADING OF LONG TERM INVESTMENTS IN CLIENT ACCOUNTS."
Product Type:	Mutual Fund(s)
Other Product Types:	EXCHANGE TRADED INDEXES SUCH AS QQQ AND SPY
Broker Statement	I EMPLOY A MARKET STRATEGY USING INDEX TRADED SHARES AND CERTAIN CLOSED-END FUNDS FOR THE MAJORITY OF MY CLIENTS. MCDONALD INVESTMENTS ASSERTED THAT THE SALE OF SHARES IN ONE EXCHANGE TRADED INDEX TO ANOTHER CONSTITUTED A VIOLATION OF FIRM POLICY. MY TRADING ACTIVITY WAS ALWAYS COMPLIANT WITH MCDONALD PROCEDURES. THE INTERNAL INVESTIGATION IS CLOSED.



End of Report

This page is intentionally left blank.