



IAPD Report

Laura Renee Shrawder-Miles

CRD# 2384721

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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

Laura Renee Shrawder-Miles (CRD# 2384721)

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 **01/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	KOVACK SECURITIES INC.	CRD# 44848	02/25/2020
IA	KOVACK ADVISORS, INC.	CRD# 140808	02/28/2020

QUALIFICATIONS

This representative is currently registered in **2** 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	LPL FINANCIAL LLC	6413	SUNBURY, PA	08/09/2005 - 11/01/2019
IA	PRIVATE ADVISOR GROUP, LLC	155216	Sunbury, PA	08/11/2016 - 10/09/2019
B	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN	11/30/2004 - 05/12/2005

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	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 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **KOVACK SECURITIES INC.**
Main Address: 6451 N. FEDERAL HWY.
SUITE 1201
FT. LAUDERDALE, FL 33308
Firm ID#: 44848

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/25/2020
B FINRA	Invest. Co and Variable Contracts	Approved	02/25/2020
B Nasdaq Stock Market	General Securities Representative	Approved	02/25/2020
B Florida	Agent	Approved	05/26/2020
B North Carolina	Agent	Approved	01/15/2026
B Pennsylvania	Agent	Approved	02/27/2020

Branch Office Locations

RK ADVISORS
Milton, PA

Employment 2 of 2

Firm Name: **KOVACK ADVISORS, INC.**
Main Address: 6451 N. FEDERAL HWY
SUITE 1201
FT. LAUDERDALE, FL 33308
Firm ID#: 140808

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	02/28/2020



Qualifications

Branch Office Locations

KOVACK ADVISORS, INC.
Milton, PA



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, 3 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	03/21/2005
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/16/1994
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/1997
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B Uniform Securities Agent State Law Examination (S63)	Series 63	12/09/1993
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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	08/09/2005 - 11/01/2019	LPL FINANCIAL LLC	CRD# 6413	SUNBURY, PA
IA	08/11/2016 - 10/09/2019	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	Sunbury, PA
B	11/30/2004 - 05/12/2005	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	03/12/2003 - 12/02/2004	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	05/10/2000 - 01/22/2003	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	01/12/1999 - 05/10/2000	BISYS BROKERAGE SERVICES, INC.	CRD# 23302	ST. CLOUD, MN
B	07/02/1998 - 01/22/1999	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	07/02/1998 - 01/22/1999	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	11/08/1996 - 06/01/1998	KEYSTONE BROKERAGE, INC.	CRD# 17445	WILLIAMSPORT, PA
B	04/26/1994 - 11/07/1996	LAUGHLIN GROUP ADVISORS, INC.	CRD# 18272	LINCOLN, NE
B	03/17/1994 - 04/25/1994	SPECTRUM SECURITIES CORPORATION	CRD# 31256	MAYFIELD HEIGHTS, OH

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
02/2020 - Present	Kovack Advisors, LLC	Investment Advisor	Y	Fort Lauderdale, FL, United States
02/2020 - Present	Kovack Securities, LLC	Registered Representative	Y	Fort Lauderdale, FL, United States
10/2019 - 02/2020	Unemployed	Unemployed	N	Sunbury, PA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2016 - 10/2019	Private Advisor Group, LLC	Investment Advisor Representative	Y	Sunbury, PA, United States
08/2005 - 10/2019	LPL Financial, LLC	Registered Representative	Y	Sunbury, PA, 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) DBA-RIVERFRONT FINANCIAL SERVICES- 4305 STATE ROUTE 45, MILTON, PA 17847; INVESTMENT RELATED; INVESTMENTS AND INSURANCE; OWNER/ADVISOR; 95% OF TIME SPENT.
- 2) LOLLIPOP HOME HEALTHCARE SERVICES DBA HOME HELPERS-535 CHESTNUT STREET, SUNBURY PA 17801; NON-INVESTMENT RELATED; NON-MEDICAL IN HOME HEALTHCARE SERVICES; OWNER; 5% OF TIME SPENT.
- 3) PINNACLE FMO-7791 BELFORT PARKWAY, JACKSONVILLE, FL 32256; INVESTMENT RELATED; FIXED INSURANCE AND ANNUITIES; AGENT; 1-10 HOURS PER WEEK SPENT.
- 4) CONSULTING - 4305 STATE ROUTE 45, MILTON, PA 17847; INVESTMENT RELATED; ORGANIZE, REVIEW AND EXPLAIN CURRENT INCOME TAXES, FUTURE RETIREMENT INCOME, BANK AND FINANCIAL STATEMENTS; 1.5% OF TIME SPENT.
- 5) MARY KAY COSMETICS (NEW ZEALAND) INC. - 4305 SR 45, MILTON, PA 17841; NON-INVESTMENT RELATED; COSMETICS SALES; SALES PERSON; 4 HOURS/MONTH OF TIME SPENT; LESS THAN 1% OF TIME SPENT DURING SECURITIES TRADING HOURS.



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	5
Termination	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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges that an investment made in 2014 was unsuitable for the customer's investment objectives and risk tolerance.
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Cannot be determined but over \$5,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	24-00611
Filing date of arbitration/CFTC reparation or civil litigation:	03/18/2024



Customer Complaint Information

Date Complaint Received: 05/02/2024
Complaint Pending? No
Status: Settled
Status Date: 05/06/2025
Settlement Amount: \$5,400.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: Customer alleges that an investment made in 2014 was unsuitable for the customer's investment objectives and risk tolerance.

Product Type: Real Estate Security

Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): Unspecified

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-00611
Filing date of arbitration/CFTC reparation or civil litigation: 03/18/2024

Customer Complaint Information

Date Complaint Received: 05/02/2024
Complaint Pending? No
Status: Settled
Status Date: 05/06/2025
Settlement Amount: \$5,400.00
Individual Contribution Amount: \$0.00

Broker Statement Representative vehemently denies any wrongdoing. Representative maintains that the claimant has not been a client since 2019, that his claimed losses are more recent, and that all recommended investments from 2014 were suitable to client's risk tolerance, goals and objectives at that time. Additionally, Representative has



not been affiliated with LPL Financial since 2019 and did not participate in the decision to settle or the settlement payment itself.

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LPL Financial LLC

Allegations: Claimants alleges the investment professional recommended she invest in a BDC, REIT and a closed-end mutual fund which were unsuitable for her investment portfolio. The Time period 7-2014 to 02/2021

Product Type: Real Estate Security
Other: Closed End Fund and Business Development Companies

Alleged Damages: \$55,000.00

Arbitration Information

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

Docket/Case #: 21-00288

Date Notice/Process Served: 02/01/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/14/2022

Monetary Compensation Amount: \$5,250.00

Individual Contribution Amount: \$0.00

Firm Statement LPL settled this matter as to LPL only. The arbitration is proceeding against the other Respondents

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: Claimants alleges the investment professional recommended she invest in a BDC, REIT and a closed-end mutual fund which were unsuitable for her investment portfolio. The Time period 7-2014 to 02/2021

Product Type: Real Estate Security
Other: Closed End Fund and Business Development Companies

Alleged Damages: \$55,000.00

Arbitration Information

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



Docket/Case #: 21-00288
Date Notice/Process Served: 02/08/2021
Arbitration Pending? No
Disposition: Settled
Disposition Date: 01/14/2022
Monetary Compensation Amount: \$5,250.00
Individual Contribution Amount: \$0.00
Broker Statement Representative vehemently denies the allegations made by the claimants. Further, Laura Shrawder-Miles and KSI were dismissed from the case and were not parties to the settlement between LPL and the claimants.

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LPL Financial LLC
Allegations: Customer alleged FA switched her from a variable annuity to two unsuitable, illiquid investments. Time period 7/31/2015 to 2/24/2016
Product Type: Real Estate Security
Alleged Damages: \$5,128.35
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: 03/01/2016
Complaint Pending? No
Status: Denied
Status Date: 03/21/2016
Settlement Amount:
Individual Contribution Amount:
Broker Statement A thorough review of the customer's financial situation, investment experience and investment objective was completed for the recommendation of this investment. The presented investment comported with the customer's stated objectives and I deny all allegations of wrongdoing, as the damages are without merit.

Disclosure 4 of 5

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: BISYS BROKERAGE (PRIMEVEST FINANCIAL SERVICES)

Allegations: CLIENT ALLEGED THAT HE ADVISED THE BROKER THAT HE DID NOT WANT TO INVEST IN AN ANNUITY. HE ALSO ALLEGED THAT HE CONTACTED HER ON SEVERAL OCCASIONS FOR CONFIRMATION THAT HE WAS NOT INVESTED IN AN ANNUITY. CLIENT BELIEVED THAT HE WAS INVESTED IN A MUTUAL FUND.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 09/29/2003

Settlement Amount:

Individual Contribution Amount:

Firm Statement

UPON FURTHER REVIEW PRIMEVEST AGREED WITH THE ASSESSMENT OF PACIFIC LIFE REGARDING THE CLIENTS ANNUITY PURCHASE AND DENIED THE COMPLAINT. THE CLIENT RECIEVED FULL DISCLOSURE, AND SIGNED ALL ACKNOWLEDGEMENTS PROVIDED UPON DELIVERY OF THE CONTRACT, NOR DID THE CLIENT EXCERCISE HIS RIGHTS TO CANCEL THE CONTRACT WITHIN 30 DAYS OF RECIPT. WE FOUND THE ALLEGATIONS UNFOUNDED AND THE COMPLAINT WAS DENIED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BISYS BROKERAGE (PRIMEVEST FINANCIAL SERVICES)

Allegations: CLIENT ALLEGED THAT HE ADVISED THE BROKER THAT HE DID NOT WANT TO INVEST IN AN ANNUITY. HE ALSO ALLEGED THAT HE CONTACTED HER ON SEVERAL OCCASIONS FOR CONFIRMATION THAT HE WAS NOT INVESTED IN AN ANNUITY. CLIENT CLAIMS HE BELIEVED THAT HE WAS INVESTED IN A MUTUAL FUND.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 08/19/2003

Complaint Pending? No

Status: Denied

Status Date: 09/29/2003

Settlement Amount:



Individual Contribution Amount:

Broker Statement

UPON REVIEW PRIMEVEST AND PACIFIC LIFE DENIED THE CLAIM. CLIENT RECEIVED FULL DISCLOSURE AND SIGNED ACKNOWLEDGEMENTS PROVIDED UPON CONTRACT DELIVERY. CLIENT ALSO FAILED TO EXERCISE HIS RIGHT TO CANCEL WITHIN 30 DAYS OF RECEIPT. ALLEGATIONS APPEAR UNFOUNDED.

Disclosure 5 of 5

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PRIMEVEST FINANCIAL SERVICES, INC.

Allegations:

THE CLAIMANT MET WITH THE FORMER REGISTERED REPRESENTATIVE IN JULY OF 2002 AND INVESTED IN A TACTICIAN FLEXIBLE PREMIUM DEFERRED ANNUITY WITH A FIRST YEAR INTEREST BONUS OF 7% WITH LINCOLN BENEFIT LIFE IN THE AMOUNT OF \$100,000. THE CLAIMANT ALLEGES THAT THE FORMER REGISTERED REPRESENTATIVE DID NOT INFORM HIM THAT THE 7% INTEREST BONUS RATE WOULD BE CREDITED TO HIS ACCOUNT VALUE IN THE FIRST YEAR ONLY AND THEN IT WOULD LEVEL TO A 5% INTEREST EARNINGS FOR YEARS 2 THROUGH 10 YEARS.

THE CLAIMANT BELIEVES THE PRODUCT WAS MISREPRESENTED AND HAS REQUESTED THAT LINCOLN BENEFIT LIFE CONTINUE TO CREDIT HIS ACCOUNT VALUE AT 7% INTEREST FOR THE DURATION OF THE CONTRACT. IF LINCOLN BENEFIT LIFE WAS UNABLE TO ACCOMMODATE HIS REQUEST, THE CLAIMANT WOULD APPRECIATE HIS INITIAL INVESTMENT OF \$100,598.08 BE SURRENDERED WITHOUT PENALTY.

Product Type:

Annuity(ies) - Fixed

Alleged Damages:

\$100,598.08

Customer Complaint Information

Date Complaint Received:

06/20/2003

Complaint Pending?

No

Status:

Settled

Status Date:

09/03/2003

Settlement Amount:

\$6,647.77

Individual Contribution Amount:

\$5,000.00

Firm Statement

THE CLAIMANT CHOSE TO SURRENDER THE CONTRACT DUE TO THE FACT THAT LINCOLN BENEFIT WAS UNABLE TO ACCOMMODATE HIS REQUEST TO CREDIT HIS ANNUITY CONTRACT 7% INTEREST FOR THE LIFE OF THE CONTRACT. BASED ON OUR FINDINGS TO RESOLVE THIS ISSUE WE EXTENDED AN OFFER TO THE CLAIMANT IN THE AMOUNT OF \$6,647.77, WHICH REPRESENTS THE DIFFERENCE BETWEEN THE SURRENDER VALUE THAT THE CLAIMANT RECEIVED FROM LINCOLN BENEFIT LIFE IN THE AMOUNT OF \$93,646.86 AND HIS INITIAL PREMIUM PAYMENT OF \$100,294.60.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMEVEST FINANCIAL SERVICES, INC.

Allegations: CUSTOMER ALLEGED MISREPRESENTATION INVOLVED IN THE PURCHASE OF A FIXED ANNUITY CONTRACT.

Product Type: Annuity(ies) - Fixed

Alleged Damages: \$6,647.77

Customer Complaint Information

Date Complaint Received: 06/20/2003

Complaint Pending? No

Status: Settled

Status Date: 09/03/2003

Settlement Amount: \$6,647.77

Individual Contribution Amount: \$0.00

Broker Statement THIS COMPLAINT WAS RECEIVED AND SETTLED BY PRIMEVEST AFTER I TERMINATED EMPLOYMENT WITH THEM. I WAS UNAWARE OF THE ALLEGATIONS UNTIL AFTER THE SETTLEMENT WAS MADE, SO I DID NOT HAVE THE OPPORTUNITY TO REFUTE THE CLAIM.



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: Firm
Firm Name: LPL Financial LLC
Termination Type: Discharged
Termination Date: 10/08/2019
Allegations: During phone call with annuity sponsor, represented herself to be a client of that annuity sponsor in order to obtain information related to that client's annuity contract.
Product Type: Annuity-Fixed

Reporting Source: Individual
Firm Name: LPL Financial
Termination Type: Discharged
Termination Date: 10/08/2019
Allegations: I called an annuity sponsor and did not properly identify myself.
Product Type: Annuity-Fixed



End of Report

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