



IAPD Report

DALE EDWARD VEITCH

CRD# 2412265

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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

DALE EDWARD VEITCH (CRD# 2412265)

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 **03/24/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LEXINGTON FINANCIAL/LIFE MANAGEMENT, LLC	CRD# 127618	08/04/2010

QUALIFICATIONS

This representative is currently registered in **0** 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	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN	10/16/1995 - 11/11/1996
B	FORTH FINANCIAL SECURITIES, CORPORATION	14363	RICHMOND, VA	05/01/1995 - 10/26/1995
B	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA	11/09/1993 - 04/17/1995

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	5
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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LEXINGTON FINANCIAL/LIFE MANAGEMENT, LLC**
Main Address: 1600 WEST END AVE.
SUITE 200
NASHVILLE, TN 37203
Firm ID#: 127618

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	08/04/2010
	North Carolina	Investment Adviser Representative	Approved	10/31/2018
	Tennessee	Investment Adviser Representative	Approved	03/11/2016

Branch Office Locations

LEXINGTON FINANCIAL/LIFE MANAGEMENT, LLC
1600 WEST END AVE.
SUITE 200
NASHVILLE, TN 37203



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, 1 general industry/product exam, and 1 state securities law exam.

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 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/08/1993
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/21/2009
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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	10/16/1995 - 11/11/1996	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	KNOXVILLE, TN
B	05/01/1995 - 10/26/1995	FORTH FINANCIAL SECURITIES, CORPORATION	CRD# 14363	RICHMOND, VA
B	11/09/1993 - 04/17/1995	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	11/09/1993 - 04/17/1995	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	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
08/2010 - Present	LEXINGTON INVESTMENT CONSULTING, LLC	INVESTMENT ADVISER	Y	DAYTONA BEACH, FL, United States
11/2005 - Present	LEXINGTON FAMILY OFFICE SERVICES, LLC	FOUNDER/ FAMILY LIASON	N	DAYTONA BEACH, FL, 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.

Mr. Veitch is a licensed insurance agent. Mr. Veitch does not actively sell insurance products; nonetheless, on occasion, Mr. Veitch may sell insurance products to clients of his Registered Investment Adviser and receive insurance commissions, which may include residual or trail commission compensation.

Pure Acquisitions, LLC is owned by Absolute Trust (Dale Veitch Trustee and Manager) Pure Acquisitions, LLC's sole investment is preferred non-voting units of Pendleton Square Holdings, LLC, which in turn, owns Pendleton Square Trust Company, LLC.

Pure Acquisitions II, LLC is owned by Absolute Trust (Dale Veitch Trustee and Manager) Pure Acquisitions II, LLC's investments include member interests in Lexington Financial Life Management, LLC, a holding company whose sole investment is Lexington Investment Consulting, LLC, a registered investment advisory firm, and common voting units of Pendleton Square Holdings, LLC, which in turn, owns Pendleton Square Trust Company, LLC. Mr. Veitch is a managing board member of Lexington Financial Life Management, LLC.

We may refer clients that are in need of trust services to Pendleton Square Trust Company. You are under no obligation to use the services of Pendleton Square Trust Company, however, should you do so, our associated persons may indirectly be compensated as a result of their ownership in Pendleton Square Holdings, LLC.



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	5
Customer Dispute	3

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 5

Reporting Source:	Regulator
Regulatory Action Initiated By:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	05/17/2023
Docket/Case Number:	APD Case No. 12.06-244279J
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/finaladminorders/12.06-244279J%20Veitch%20Agreed%20Order%20Incoming.pdf
Employing firm when activity occurred which led to the regulatory action:	Lexington Investment Consulting, L.L.C. (CRD# 127618)
Product Type:	No Product
Allegations:	Respondent Lexington Investment fell below the minimum net capital of fifteen thousand dollars (\$15,000) at various times in 2022 and 2023.
Current Status:	Final
Resolution:	Order
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: 02/25/2025
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Respondent Veitch shall COMPLETE six (6) hours of investment adviser continuing education within thirty (30) days of the execution and entry of this Agreed Order.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$500.00

Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 5

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Other: RESTRICTED REGISTRATION

Date Initiated: 07/14/2010

Docket/Case Number: 0071-S-03/10

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: LEXINGTON INVESTMENT COUNSEL

Product Type: No Product

Allegations: SEE FINAL ORDER

Current Status: Final

Resolution: Order

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: 08/04/2010

Sanctions Ordered: Other: RESTRICTED REGISTRATION

Regulator Statement ON 8/4/2010, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER INCORPORATING THE REVISED NOTICE OF INTENT TO APPROVE



REGISTRATION, SUBJECT TO RESTRICTIONS IN THE MATTER OF DALE EDWARD VEITCH. PURSUANT TO THE ORDER THE OFFICE APPROVED MR. VEITCH'S REGISTRATION AS AN ASSOCIATED PERSON (RA) OF LEXINGTON INVESTMENT COUNSEL, SUBJECT TO RESTRICTIONS, EFFECTIVE 8/4/2010.

Reporting Source: Individual

Regulatory Action Initiated By: FL-OFR

Sanction(s) Sought: Other: REGISTRATION APPROVAL WITH RESTRICTIONS

Date Initiated: 03/11/2010

Docket/Case Number: 0071-S-03/10

Employing firm when activity occurred which led to the regulatory action: LEXINGTON INVESTMENT COUNSEL,LLC

Product Type: No Product

Allegations: NONE

Current Status: Final

Resolution: RESTRICTED REGISTRATION

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: 08/04/2010

Sanctions Ordered: Other: RESTRICTED REGISTRATION - SUBJECT TO SUPERVISION AS ASSOCIATED PERSON

Broker Statement FLORIDA GRANTED MR.VEITCH'S REGISTRATION.

Disclosure 3 of 5

Reporting Source: Regulator

Regulatory Action Initiated By: FLORIDA

Sanction(s) Sought: Denial

Date Initiated: 03/22/2004

Docket/Case Number: 0124-S-3/04

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: DENIAL IS BASED ON GROUNDS THAT THE APPLICANT DID NOT PROVIDE ALL OF THE DOCUMENTATION REQUESTED BY THE OFFICE, HAS HAD A



FINAL JUDGEMENT ENTERED AGAINST HIM IN A CIVIL ACTION BASED ON GROUNDS OF FRAUD/MISREPRESENTATION/DECEIT,AND HAS HAD A LICENSE SUSPENDED BY A STATE AGENCY BASED ON VIOLATIONS OF STATE SECURITIES LAW.

Current Status: Final

Resolution: Decision

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: 10/11/2005

Sanctions Ordered: Denial
Other: NONE

Regulator Statement ON OCTOBER 11, 2005 THE FLORIDA FIRST DISTRICT COURT OF APPEAL UPHELD THE DENIAL OF DALE E. VEITCH APPLICATION AS AN ASSOCIATED PERSON OF LEXINGTON FAMILY OFFICE, LLC; FINDING THAT DALE E. VEITCH VIOLATED SECTIONS 517.161(1) (K), FLORIDA STATUTES BY HAVING A FINAL JUDGMENT ENTERED AGAINST HIM IN A CIVIL ACTION.

ALL OTHER ALLEGATIONS IN THE NOTICE OF INTENT TO DENY WERE WITHDRAWN.

Reporting Source: Individual

Regulatory Action Initiated By: FLORIDA

Sanction(s) Sought: Denial

Date Initiated: 03/22/2004

Docket/Case Number: 124-S-3/04

Employing firm when activity occurred which led to the regulatory action: N/A

Product Type: No Product

Allegations: PRE-LIMINARY DENIAL WAS BASED ON GROUNDS THAT THE APPLICANT DID NOT PROVIDE ALL OF THE DOCUMENTATION REQUESTED BY THE OFFICE, HAS HAD A FINAL JUDGMENT ENTERED AGAINST HIM, AND HAS HAD A LICENSE SUSPENDED BY A STATE AGENCY.

Current Status: Final

Resolution: Decision

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: 10/11/2005



Sanctions Ordered: Denial
Other: N/A

Broker Statement THE FINAL DENIAL AS ASSOCIATED PERSON WITH LEXINGTON FAMILY OFFICE WAS DUE TO THE FACT APPLICANT HAD A JUDGMENT ENTERED AGAINST HIM IN A CIVIL ACTION.

Disclosure 4 of 5

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF FLORIDA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Suspension

Date Initiated: 10/13/2000

Docket/Case Number: 31037-00-AG

Employing firm when activity occurred which led to the regulatory action: SECURITY SERVICE NETWORK (SSN) AND ASSET MANAGEMENT & PLANNING GROUP, INC.

Product Type: Debt-Corporate

Allegations: ATTEMPTED UNLAWFUL TRANSACTION OF INSURANCE

Current Status: Final

Resolution: Stipulation and 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: 10/13/2000

Sanctions Ordered: Suspension
Other: N/A

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: LIFE INSURANCE LICENSE

Duration: 90 DAYS

Start Date: 10/13/2000

End Date: 01/13/2001

Broker Statement THIS DRP WAS BASED ON ALL THE SAME FACTS AS THE CUSTOMER COMPLAINT & REGULATORY DRP'S OF THIS U-4 WHERE THE ACTIVITIES OCCURRED IN 1995-1996. AFTER 90 DAYS MY LICENSE WAS REINSTATED AND IS IN GOOD STANDING.

Disclosure 5 of 5

Reporting Source: Regulator



Regulatory Action Initiated By:	FLORIDA DIVISION OF SECURITIES
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/18/2000
Docket/Case Number:	2894-S-12/99
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	SECURITY SERVICE NETWORK, INC.
Product Type:	Debt-Corporate
Allegations:	ALLEGES VIOLATIONS OF CHAPER 517, FLORIDA STATUTES
Current Status:	Final
Resolution:	Order
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:	02/02/2001
Sanctions Ordered:	Other: N/A
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	No



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Regulator Statement

ON MARCH 6, 2001, AN AMENDED FINAL ORDER WAS ISSUED; WHERE IN DALE VEITCH AGREES TO CEASE AND DESIST FROM ANY AND ALL ALLEGED VIOLATIONS OF THE SECURITIES ACT AND TO PAY A \$5,000 FINE.

.....

Reporting Source:

Individual

Regulatory Action Initiated By:

FLORIDA DIVISION OF SECURITIES

Sanction(s) Sought:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated:

01/18/2000

Docket/Case Number:

2894B-S-12/99

Employing firm when activity occurred which led to the regulatory action:

SECURITY SERVICE NETWORK, INC.

Product Type:

Debt-Corporate

Allegations:

ALLEGES VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES
ALLEGED VIOLATIONS OCCURRED IN 1995-1996



Current Status: Final
Resolution: Order
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: 02/02/2001
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: NONE

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan: LUMP SUM
Is Payment Plan Current: Yes
Date Paid by individual: 06/05/2001
Was any portion of penalty waived? No

Amount Waived:

Broker Statement NO CEASE AND DESIST ORDERED WAS ENTERED, HOWEVER ON MARCH 6, 2001 AN AMENDED ORDER WAS ISSUED WHERE APPLICANT DID AGREE TO CEASE AND DESIST FROM ANY AND ALL ALLEGED VIOLATIONS OF THE SECURITIES ACT.



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: Individual

Employing firm when activities occurred which led to the complaint: SECURITY SERVICE NETWORK (SSN) AND ASSET MANAGEMENT & PLANNING GROUP, INC

Allegations: ALLEGES VIOLATIONS OF CHAPTER 517, FLORIDA STATUES. ALLEGED VIOLATIONS OCCURED IN 1995-1996

Product Type: Debt-Corporate

Alleged Damages: \$265,615.19

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 06/07/2002

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: THE CIRCUIT COURT OF THE SEVENTH JUDICIAL IN AND FOR VOLUSIA COUNTY

Location of Court: VOLUSIA COUNTY FLORIDA

Docket/Case #: 98-31246 CI

Date Notice/Process Served: 08/01/1998

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/07/2002

Monetary Compensation Amount: \$94,500.00

Individual Contribution Amount: \$94,500.00

Broker Statement THIS DRP IS BASED ON THE SAME INFORMATION IN THE REGULATORY DRP'S OF THIS U-4.

ALSO, PLEASE NOTE THE CIVIL DRP'S HAVE BEEN REMOVED DO TO THE



FACT THE SAME INFORMATION IS DISCLOSED ON THIS DRP.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURITY SERVICE NETWORK (SSN) AND ASSET MANAGEMENT & PLANNING GROUP, INC

Allegations: ALLEGES VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES. THE ALLEGED VIOLATIONS TOOK PLACE IN 1995-1996

Product Type: Debt-Corporate

Alleged Damages: \$1,156,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 09/25/2001

Settlement Amount: \$226,100.00

Individual Contribution Amount: \$226,100.00

Civil Litigation Information

Disposition: Settled

Disposition Date: 09/25/2001

Broker Statement THIS DRP IS BASED ON THE SAME INFORMATION IN THE REGULATORY DRP'S OF THIS U-4.

ALSO, PLEASE NOTE THE CIVIL DRP'S HAVE BEEN REMOVED DO TO THE FACT THE SAME INFORMATION IS DISCLOSED ON THIS DRP.

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SECURITIES SERVICE NETWORK, INC.

Allegations: SOLD UNREGISTERED SECURITIES IN THE FORM OF STOCK AND PROMISSORY NOTES IN A COMPANY CALLED LEGEND SPORTS, INC. IN 1995-1996

Product Type: Investment Contract(s)

Other Product Type(s): PROMISSORY NOTES AND STOCK

Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received: 11/16/1998

Complaint Pending? No



Status: Settled
Status Date: 11/02/2000
Settlement Amount: \$350,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 98-22278CA16
Date Notice/Process Served: 11/16/1998
Arbitration Pending? No
Disposition: Settled
Disposition Date: 11/02/2000
Monetary Compensation Amount: \$350,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SECURITY SERVICE NETWORK (SSN) AND ASSET MANAGEMENT & PLANNING GROUP, INC.
Allegations: ALLEGES VIOLATIONS OF CHAPTER 517, FLORIDA STATUTES. ALLEGED VIOLATIONS OCCURRED IN 1995-1996.
Product Type: Debt-Corporate
Alleged Damages: \$15,000.00

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 11/01/1998
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court
Name of Court: IN THE CIRCUIT COURT OF SEMINOLE COUNTY FLORIDA
Location of Court: SEMINOLE COUNTY
Docket/Case #: 9802278-CA-16P
Date Notice/Process Served: 11/01/1998
Litigation Pending? No



Disposition: Dismissed

Disposition Date: 02/21/2001

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement

PLEASE REMOVE/ARCHIVE THIS CUSTOMER COMPLAINT DRP IT IS GREATER THAN 10 YEARS.

THIS DRP IS BASED ON THE SAME INFORMATION IN THE REGULATORY DRP'S OF THIS U-4.

ALSO, PLEASE NOTE THE CIVIL DRP'S HAVE BEEN REMOVED DO TO THE FACT THE SAME INFORMATION IS DISCLOSED ON THIS DRP.



End of Report

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