IAPD Report

ROBERT LLOYD OMOHUNDRO

CRD# 2415942

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

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

ROBERT LLOYD OMOHUNDRO (CRD# 2415942)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALEXANDER CAPITAL, L.P.	CRD# 40077	05/01/2020
IA	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	05/07/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CENTAURUS FINANCIAL, INC.	30833	ATLANTA, GA	03/24/2015 - 04/30/2020
B	CENTAURUS FINANCIAL, INC.	30833	ATLANTA, GA	03/23/2015 - 04/30/2020
B	ALEXANDER CAPITAL, L.P.	40077	RED BANK, NJ	03/31/2020 - 04/08/2020

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	9

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 **27** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**

Main Address: 10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701

Firm ID#: 40077

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	05/01/2020
B	FINRA	General Securities Representative	Approved	05/01/2020
B	Alabama	Agent	Approved	05/07/2020
B	California	Agent	Approved	05/01/2020
B	Colorado	Agent	Approved	02/22/2024
B	Florida	Agent	Approved	05/11/2020
B	Georgia	Agent	Approved	05/07/2020
B	Idaho	Agent	Approved	06/03/2020
B	Illinois	Agent	Approved	01/08/2021
B	Indiana	Agent	Approved	05/01/2020
B	Kentucky	Agent	Approved	05/01/2020
B	Maryland	Agent	Approved	05/01/2020
B	Michigan	Agent	Approved	05/01/2020

Qualifications

	Regulator	Registration	Status	Date
B	Nebraska	Agent	Approved	05/01/2020
B	New Hampshire	Agent	Approved	04/18/2023
B	New Jersey	Agent	Approved	05/28/2020
B	New Mexico	Agent	Approved	05/01/2020
B	New York	Agent	Approved	04/12/2022
B	North Carolina	Agent	Approved	05/13/2020
B	Oklahoma	Agent	Approved	05/08/2020
B	Pennsylvania	Agent	Approved	12/08/2023
B	Puerto Rico	Agent	Approved	10/07/2021
B	South Carolina	Agent	Approved	05/14/2020
B	South Dakota	Agent	Approved	05/01/2020
B	Texas	Agent	Approved	12/03/2021
B	Utah	Agent	Approved	10/26/2022
B	Virginia	Agent	Approved	12/14/2020
B	Washington	Agent	Approved	04/12/2022
B	Wisconsin	Agent	Approved	07/24/2025

Branch Office Locations

ALEXANDER CAPITAL, L.P.
9040 Roswell Road Suite 350
Atlanta, GA 30350

Employment 2 of 2

Qualifications

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**

Main Address: 10 DRS. JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701

Firm ID#: 157714

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	05/07/2020

Branch Office Locations

ALEXANDER CAPITAL WEALTH MANAGEMENT LLC
9040 Rosewell Road, Suite 350
Atlanta, GA 30350

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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/21/2016

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	11/30/1993

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1993

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	03/24/2015 - 04/30/2020	CENTAURUS FINANCIAL, INC.	CRD# 30833	ATLANTA, GA
B	03/23/2015 - 04/30/2020	CENTAURUS FINANCIAL, INC.	CRD# 30833	ATLANTA, GA
B	03/31/2020 - 04/08/2020	ALEXANDER CAPITAL, L.P.	CRD# 40077	RED BANK, NJ
IA	04/20/2007 - 03/23/2015	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	ATLANTA, GA
B	04/03/2007 - 03/23/2015	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ATLANTA, GA
IA	08/24/2004 - 04/05/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	ATLANTA, GA
B	07/29/2004 - 04/05/2007	MML INVESTORS SERVICES, INC.	CRD# 10409	ATLANTA, GA
IA	01/23/2003 - 07/12/2004	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	MARIETTA, GA
B	02/18/2000 - 07/12/2004	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	ST. LOUIS, MO
B	01/04/1999 - 02/25/2000	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	ST. PETERSBURG, FL
B	03/31/1997 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	03/23/1994 - 04/01/1997	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	12/10/1993 - 03/15/1994	BURNETT, GREY & CO., INC.	CRD# 23430	ATLANTA, GA

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
05/2020 - Present	Alexander Capital, L.P.	Registered Representative	Y	New York, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2015 - Present	CENTAURUS FINANCIAL INC.	REGISTERED REP	Y	ANAHEIM, CA, United States
03/2020 - 04/2020	Alexander Capital, L.P.	Registered Representative	Y	New York, NY, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. HIGHLAND CAPITAL BROKERAGE, NON-INVESTMENT RELATED, 6000 LAKE FORREST DR., SUITE #100, ATLANTA, GA 30328, LIFE, HEALTH, DISABILITY & LTC INSURANCE, AGENT, SINCE 4/4/2007, DEVOTED TIME IS 1 TO 2 HRS, REVIEWING, ANALYZING, AND IMPLEMENTING INSURANCE & LTC CASES.
2. LCORE WEALTH MANAGEMENT LLC, INVESTMENT RELATED, 9040 ROSWELL ROAD, SUITE #350, ATLANTA, GA 30350, DBA FOR BRANDING AND MARKETING PURPOSES, CEO & SENIOR FINANCIAL ADVISOR, SINCE 10/23/2012.
3.LCORE, LLC under the DBA, LCORE added LCORE Registered Insurance Agency under the DBA
4. All Bridge Consulting LLC 9040 Roswell Atlanta, GA 30350, Non-Investment related, Consulting on Senior Planning; Divorce and Tax Planning.
5. Isabella Omohundro, Inc., non-investment related. Creative Arts 3D Animation Co. for creating children's books. 7/13/2021 Secretary, Officer and Consultant. 0% ownership; helped daughter set the company. No compensation, no duties, no time spent.

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	9

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 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc.; Alexander Capital, L.P.
Allegations:	Violation of FINRA Rule 2111 and Reg BI; Failure to supervise; violation of commercial honor and just and equitable principals of trade; Breach of fiduciary duty and Negligence. 2015 to present .
Product Type:	Other: Alternative and Private Offerings
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Relief requested amount to be determined at the final hearing.
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 #:	26-00876
Filing date of arbitration/CFTC reparation or civil litigation:	04/17/2026

Customer Complaint Information

Date Complaint Received:	04/27/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ALEXANDER CAPITAL, L.P.
Allegations:	Breach of Fiduciary Duty; Aiding and Abetting; Negligence (Failure to Supervise). Violations of Georgia State Laws. Beginning 2020 through2024.
Product Type:	Real Estate Security Other: Private Offerings.
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants request an amount to be determined at trial.
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 #:	25-01247
Filing date of arbitration/CFTC reparation or civil litigation:	06/16/2025

Customer Complaint Information

Date Complaint Received:	07/14/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Alexander Capital, L.P.
Allegations:	Customer alleges unsuitability. June 2021

Product Type:	Other: Pre-IPO Private Placement
Alleged Damages:	$30,000.00
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:	03/12/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	The customers allege that the Registered Representative recommended unsuitable investments and investment strategies in various illiquid alternative investments. No specific dates for the alleged activity were identified in the Statement of Claim.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants do not allege a specific compensatory damage amount but rather seeks "Compensatory damages in an unspecified amount or alternatively, well managed portfolio damages." As such, the Firm has made a good faith determination that the compensatory damages potentially exceed $5,000.
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 #:	23-03450
Filing date of arbitration/CFTC reparation or civil litigation:	01/05/2024

Customer Complaint Information

Date Complaint Received:	02/27/2024
Complaint Pending?	No
Status:	Settled

Status Date: 12/27/2024

Settlement Amount: $31,000.00

Individual Contribution Amount: $0.00

Reporting Source: Individual

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

Allegations: The customer allege that the Registered Representative recommended unsuitable investments and investment strategies in various illiquid alternative investments. No specific dates for the alleged activity were identified in the statement of claim.

Product Type: Real Estate Security

Alleged Damages: $31,000.00

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 #: 23-03450

Filing date of arbitration/CFTC reparation or civil litigation: 01/05/2024

Customer Complaint Information

Date Complaint Received: 03/05/2024

Complaint Pending? No

Status: Settled

Status Date: 12/27/2024

Settlement Amount: $31,000.00

Individual Contribution Amount: $0.00

Arbitration Information

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

Docket/Case #: 23-03450

Date Notice/Process Served: 03/05/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/27/2024

Monetary Compensation Amount:	$31,000.00
Individual Contribution Amount:	$0.00

Disclosure 5 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. Turner and Company aka Cetera Financial Group and Centaurus Financial, Inc.
Allegations:	In January and February 2016, the customers allege that the Registered Representative recommended unsuitable investments and over concentrated their holdings.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The claimants do not allege a specific compensatory damage amount but rather alleges that "Respondents are liable for all losses of principal, interest, in addition to fees costs and punitive damages." As such, the Firm has made a good faith determination that the compensatory damages potentially exceed $5,000.
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 #:	21-00883
Filing date of arbitration/CFTC reparation or civil litigation:	04/05/2021

Customer Complaint Information

Date Complaint Received:	04/12/2021
Complaint Pending?	No
Status:	Settled
Status Date:	09/14/2022
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY aka Cetera Financial Group and Centaurus Financial , Inc.
Allegations:	In January and February of 2016 the customers allege that the Registered Representative recommended unsuitable investments and over concentrated their

	positions.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
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 #:	21-00883
Filing date of arbitration/CFTC reparation or civil litigation:	04/12/2021

Customer Complaint Information

Date Complaint Received:	05/13/2021
Complaint Pending?	No
Status:	Settled
Status Date:	09/14/2022
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$0.00

Disclosure 6 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	J.P. TURNER & COMPANY LLC AND CENTAURUS FINANCIAL, INC
Allegations:	MISREPRESENTATION, UNSUITABILITY, NEGLIGENCE, VIOLATION OF FEDERAL SECURITIES LAWS, VIOLATION OF THE GEORGIA UNIFORM SECURITIES ACT, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY.
Product Type:	Real Estate Security
Alleged Damages:	$15,000,000.00
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 #:	15-02551

Filing date of arbitration/CFTC reparation or civil litigation: 09/30/2015

Customer Complaint Information

Date Complaint Received: 10/13/2015

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: J.P. TURNER & COMPANY, LLC, CENTAURUS FINANCIAL, INC., INVESTMENT SERVICES, LLC, AND SUMMIT BROKERAGE SERVICES, INC.

Allegations: ALLEGATIONS INCLUDE VIOLATIONS OF FEDERAL SECURITIES LAWS, VIOLATIONS OF THE GEORGE UNIFORM SECURITIES ACT, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND GROSS NEGLIGENCE WITH RESPECT TO THE INVESTMENTS PURCHASED FROM 2012 TO 2015.

Product Type: Direct Investment-DPP & LP Interests
Oil & Gas
Real Estate Security

Alleged Damages: $15,000,000.00

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 #: 15-02551

Filing date of arbitration/CFTC reparation or civil litigation: 09/30/2015

Customer Complaint Information

Date Complaint Received: 10/15/2015

Complaint Pending? No

Status: Settled

Status Date: 03/28/2016

Settlement Amount: $6,516.00

Individual Contribution Amount: $0.00

Broker Statement I VEHEMENTLY DENY THE ALLEGATIONS IN THIS ARBITRATION CLAIM AS THEY ARE BASELESS AND COMPLETELY UNFOUNDED. THE INVESTMENTS WERE APPROPRIATE BASED ON THE INFORMATION PROVIDED BY THE

CUSTOMER AS TO HER FINANCIAL SITUATION. INVESTMENT OBJECTIVES, TIME HORIZON AND RISK TOLERANCE LEVEL AT THE TIME OF THESE TRANSACTIONS. I INTEND TO ZEALOUSLY DEFEND MY REPUTATION AGAINST THIS MERITLESS CLAIM AS WELL AS SEEK EXPUNGEMENT.

Disclosure 7 of 9

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	THE COMPLAINANT ALLEGES THAT THE PRODUCER MISREPRESENTED THE RETIREMENT MANAGEMENT ACCOUNT THAT HE SOLD TO HER IN 2006.
Product Type:	Other: RETIREMENT MANAGEMENT ACCOUNT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER $5000.
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:	11/21/2011
Complaint Pending?	No
Status:	Denied
Status Date:	01/10/2012
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	INTERNAL CASE #201116171.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	THE COMPLAINANT ALLEGES THAT THE PRODUCER MISREPRESENTED THE RETIREMENT ACCOUNT THAT HE SOLD TO HER IN 2006.
Product Type:	Other: RETIREMENT MAMANGEMENT ACCOUNT
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DAMAMGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER $5000.00.

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: 12/09/2011

Complaint Pending? No

Status: Denied

Status Date: 01/10/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement AS OF 11/21/2013 THIS COMPLAINT IS NO LONGER REPORTABLE AND SHOULD BE ARCHIVED.

Disclosure 8 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: JW GENESIS FINANCIAL SERVICES, INC N/K/A WACHOVIA SECURITIES FINANCIAL NETWORK, LLC

Allegations: A GEORGIA CLIENT HAS SUBMITTED A WRITTEN COMPLAINT CONTAINING ALLEGATIONS THAT FROM FEBRUARY 2000 THROUGH MAY 2001 HER FINANCIAL ADVISOR ENGAGED IN UNSUITABLE AND UNAUTHORIZED TRADING IN EQUITY SECURITIES AND MUTUAL FUNDS IN HER ACCOUNT RESULTING IN LOSSES OF $154,419.00. ARBITRATION FILED ON 06/21/2005. ALLEGATIONS: CLAIMANT ALLEGES UNSUITABILITY AND UNAUTHORIZED TRADING. ALLEGED DAMAGES OF $154.419.00.

Product Type: Equity - OTC

Alleged Damages: $154,419.00

Customer Complaint Information

Date Complaint Received: 06/14/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/21/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASDR CASE NO. 05-022995

Date Notice/Process Served: 06/21/2005

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/17/2006
Monetary Compensation Amount:	$25,000.00
Individual Contribution Amount:	$0.00
Firm Statement	THIS ARBITRATION WAS SETTLED IN THE AMOUNT OF $25,000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JW GENESIS/WACHOVIA
Allegations:	[CUSTOMER] INVESTED AGGRESSIVELY AND DID NOT LIKE THE RESULTS DUE TO MARKEY ACTIVITY FROM 2000 & 2001, EVENTHOUGH SHE WAS ADVISED OTHERWISE. SEE DETAILED REBUTTAL FILING, AND LETTER FROM WACHOVIA'S COMPLIANCE DEPARTMENT AFFIRMING LACK OF VALIDITY IN HER CLAIMS BASED ON FACTS PRESENTED.
Product Type:	Mutual Fund(s)
Other Product Type(s):	EQUITIES
Alleged Damages:	$130,000.00

Customer Complaint Information

Date Complaint Received:	06/14/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/23/2005
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 05-02995
Date Notice/Process Served:	06/13/2005
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/17/2006
Monetary Compensation Amount:	$25,000.00
Individual Contribution Amount:	$0.00

Disclosure 9 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER CLAIMED BROKER'S MARGIN TRADE
RECOMMENDATIONS WERE FOR THE PURPOSE OF GENERATING
COMMISSIONS
& WERE NOT GROUNDED ON SOUND INVESTMENT STRATEGY. LOSSES
CLAIMED TO BE $45,000.00

Product Type:

Alleged Damages: $45,000.00

Customer Complaint Information

Date Complaint Received: 08/03/1998

Complaint Pending? No

Status: Denied

Status Date: 11/18/1998

Settlement Amount:

Individual Contribution Amount:

Firm Statement CUSTOMER'S CLAIM DENIED BASED ON HIS
SOPHISTICATION (CPA & CFO OF HIS COMPANY) AND TRADING HISTORY.
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: CUSTOMER CLAIMED BROKER`S MARGIN TRADE
RECOMMENDATIONS WERE FOR THE PURPOSE OF GENERATING
COMMISSION
AND WERE LOSSES CLAIMED TO BE $45,000.

Product Type:

Alleged Damages: $45,000.00

Customer Complaint Information

Date Complaint Received: 08/03/1998

Complaint Pending? No

Status: Denied

Status Date: 11/18/1998

Settlement Amount:

Individual Contribution Amount:

Broker Statement CUSTOMER`S CLAIM DENIED BASED ON HIS
SOPHISTICATION (CPA & CFO OF HIS COMPANY) AND TRADING HISTORY.

NOT PROVIDED

End of Report

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