



IAPD Report

DAVID MATTHEW COLLINS

CRD# 2426858

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|-----------------------|
| Report Summary | 1 |
| Qualifications | 2 - 4 |
| Registration and Employment History | 5 - 7 |
| Disclosure Information | 8 |

i 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

DAVID MATTHEW COLLINS (CRD# 2426858)

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 **01/28/2026**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-----------------------------------|-------------|------------------|
| IA | LEGACY INVESTMENT STRATEGIES, LLC | CRD# 117423 | 04/03/2024 |
| B | LPL FINANCIAL LLC | CRD# 6413 | 05/01/2024 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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 | CROWN CAPITAL SECURITIES, L.P. | 6312 | HAGERSTOWN, MD | 01/26/2018 - 05/01/2024 |
| IA | CROWN CAPITAL SECURITIES, L.P. | 6312 | HAGERSTOWN, MD | 01/26/2018 - 04/30/2024 |
| IA | CL WEALTH MANAGEMENT LLC | 134922 | Hagerstown, MD | 07/25/2017 - 02/12/2018 |

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 | 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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

| | Regulator | Registration | Status | Date |
|----------|------------|-----------------------------------|----------|------------|
| B | FINRA | General Securities Principal | Approved | 05/01/2024 |
| B | FINRA | General Securities Representative | Approved | 05/01/2024 |
| B | FINRA | Invest. Co and Variable Contracts | Approved | 05/01/2024 |
| B | Alabama | Agent | Approved | 05/01/2024 |
| B | California | Agent | Approved | 05/01/2024 |
| B | Colorado | Agent | Approved | 05/01/2024 |
| B | Delaware | Agent | Approved | 05/01/2024 |
| B | Florida | Agent | Approved | 07/03/2024 |
| B | Georgia | Agent | Approved | 05/01/2024 |
| B | Maryland | Agent | Approved | 05/01/2024 |
| B | Michigan | Agent | Approved | 05/01/2024 |
| B | Nebraska | Agent | Approved | 05/01/2024 |
| B | New York | Agent | Approved | 01/28/2026 |



Qualifications

| Regulator | Registration | Status | Date |
|-------------------------|--------------|----------|------------|
| B North Carolina | Agent | Approved | 05/01/2024 |
| B Ohio | Agent | Approved | 05/01/2024 |
| B Oregon | Agent | Approved | 05/01/2024 |
| B Pennsylvania | Agent | Approved | 05/01/2024 |
| B South Carolina | Agent | Approved | 05/01/2024 |
| B Texas | Agent | Approved | 05/01/2024 |
| B Virginia | Agent | Approved | 05/01/2024 |
| B West Virginia | Agent | Approved | 05/01/2024 |
| B Wisconsin | Agent | Approved | 05/01/2024 |

Branch Office Locations

LPL FINANCIAL LLC
INDIAN ROCKS, FL

Employment 2 of 2

Firm Name: **LEGACY INVESTMENT STRATEGIES, LLC**
 Main Address: 3445 N CAUSEWAY BLVD
 SUITE 905
 METAIRIE, LA 70002
 Firm ID#: 117423

| Regulator | Registration | Status | Date |
|--------------------|-----------------------------------|----------|------------|
| IA Maryland | Investment Adviser Representative | Approved | 04/03/2024 |

Branch Office Locations

LEGACY INVESTMENT STRATEGIES, LLC
119 King Street
Hagerstown, MD 21740




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, 3 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
|  | General Securities Principal Examination (S24) | Series 24 | 08/11/1995 |

General Industry/Product Exams

| | Exam | Category | Date |
|---|--|----------|------------|
|  | Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
|  | General Securities Representative Examination (S7) | Series 7 | 07/26/1994 |
|  | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 02/16/1994 |

State Securities Law Exams

| | Exam | Category | Date |
|---|--|-----------|------------|
|  |  Uniform Combined State Law Examination (S66) | Series 66 | 04/26/2005 |
|  | Uniform Investment Adviser Law Examination (S65) | Series 65 | 06/09/1999 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/11/1994 |

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 | 01/26/2018 - 05/01/2024 | CROWN CAPITAL SECURITIES, L.P. | CRD# 6312 | HAGERSTOWN, MD |
| IA | 01/26/2018 - 04/30/2024 | CROWN CAPITAL SECURITIES, L.P. | CRD# 6312 | HAGERSTOWN, MD |
| IA | 07/25/2017 - 02/12/2018 | CL WEALTH MANAGEMENT LLC | CRD# 134922 | Hagerstown, MD |
| B | 06/06/2017 - 02/12/2018 | CABOT LODGE SECURITIES LLC | CRD# 159712 | HAGERSTOWN, MD |
| IA | 06/22/2010 - 07/06/2017 | WILBANKS SECURITIES ADVISORY | CRD# 118304 | HAGERSTOWN, MD |
| B | 06/22/2010 - 07/06/2017 | WILBANKS SECURITIES, INC. | CRD# 40673 | HAGERSTOWN, MD |
| IA | 02/03/2010 - 06/22/2010 | RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC | CRD# 149018 | HAGERSTOWN, MD |
| B | 02/01/2010 - 06/22/2010 | RAYMOND JAMES FINANCIAL SERVICES, INC. | CRD# 6694 | HAGARSTOWN, MD |
| IA | 04/27/2005 - 02/04/2010 | WILBANKS SECURITIES ADVISORY | CRD# 118304 | HAGERSTOWN, MD |
| B | 06/21/1999 - 02/04/2010 | WILBANKS SECURITIES, INC. | CRD# 40673 | HAGERSTOWN, MD |
| B | 11/16/1995 - 06/25/1999 | EQ FINANCIAL CONSULTANTS, INC. | CRD# 6627 | NEW YORK, NY |
| B | 11/16/1995 - 06/25/1999 | THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES | CRD# 4039 | NEW YORK, NY |
| B | 05/11/1994 - 10/24/1995 | FIRST MARYLAND BROKERAGE CORPORATION | CRD# 17531 | BALTIMORE, MD |
| B | 02/17/1994 - 04/13/1994 | T. ROWE PRICE INVESTMENT SERVICES, INC. | CRD# 8348 | BALTIMORE, MD |



Registration & Employment History

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 |
|-------------------|--------------------------------------|---------------------------|--------------------|----------------------------------|
| 05/2024 - Present | LPL FINANCIAL LLC | REGISTERED REPRESENTATIVE | Y | HAGERSTOWN, MD, United States |
| 03/2024 - Present | LEGACY INVESTMENT STRATEGIES, L.L.C. | Solicitor | Y | Gretna, LA, United States |
| 09/2014 - Present | KING STREET PROFESSIONAL CENTER | PARTNER | N | HAGERSTOWN, MD, United States |
| 01/2010 - Present | DAVID M. COLLINS--SELF EMPLOYMENT | EXERCISE INSTRUCTOR | N | HAGERSTOWN, MD, United States |
| 01/1995 - Present | i2 ADVISORS/Integra Wealth Solutions | BROKER/SALES | Y | HAGERSTOWN, MD, United States |
| 01/2018 - 05/2024 | CROWN CAPITAL SECURITIES, LP | REGISTERED REPRESENTATIVE | Y | ORANGE, CA, United States |
| 10/2012 - 05/2024 | AFLAC | SALES | Y | HAGERSTOWN, MD, United States |
| 10/2012 - 05/2024 | GLOBAL BUSINESS FUNDING | REFERRER | N | HAGERSTOWN, MD, United States |
| 08/2017 - 01/2018 | CABOT LODGE SECURITIES, LLC | REGISTERED REPRESENTATIVE | Y | NEW YORK, NY, United States |
| 06/2010 - 06/2017 | WILBANKS SECURITIES ADVISORY | INVESTMENT ADVISER | Y | OKLAHOMA CITY, OK, United States |
| 06/2010 - 06/2017 | WILBANKS SECURITIES, INC. | REGISTERED REPRESENTATIVE | Y | OKLAHOMA CITY, OK, 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) 05/01/2024 - Onelife - Non-Inv Related - Hagerstown, MD - Outside/W-2 Employment - Fitness Instructor - Started: 1/1/2010 - 12 Hrs/Mo; 8% of Time Spent.
- 2) 05/01/2024 - King Street Professional Center, LLC - Inv Related - At Reported Business Location(s) - Real Estate Rental - Started: 9/1/2014 - 2 Hrs/Mo; 1 Hr During Trading.
- 3) 05/01/2024 - No Business Name - Inv Related - At Reported Business Location(s) - Non-Variable Insurance - Started: 1/1/1995 - 60 Hrs/Mo; 15 Hrs During Trading.
- 4) 05/01/2024 - Medicare Back Office Group - At Reported Business Location(s) - Outside/W-2 Employment - Started: 7/1/2021 - 1 Hrs/Mo During Trading.
- 5) 05/07/2024 - LEGACY INVESTMENT STRATEGIES, LLC - Inv Related - At Reported Business Location(s) - Registered Investment Advisor - Advisor - Started: 4/1/2024 - 160 Hrs/Mo; 8 Hrs During Trading - I provide investment advisory services through Legacy Investment Strategies LLC, an independent investment advisor firm. I started this business activity in 5/2024. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more



Registration & Employment History



OTHER BUSINESS ACTIVITIES

information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

6) 08/07/2024 - Integra Wealth Solutions - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 07/12/2024 - 160 Hours Per Month/ During Trading



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 | 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: | Regulator |
| Regulatory Action Initiated By: | FINRA |
| Sanction(s) Sought: | Other: N/A |
| Date Initiated: | 09/06/2012 |
| Docket/Case Number: | 2011029591601 |
| Employing firm when activity occurred which led to the regulatory action: | WILBANKS SECURITIES, INC.; RAYMOND JAMES FINANCIAL SERVICES, INC. |
| Product Type: | Other: UNSPECIFIED ANNUITIES |
| Allegations: | FINRA RULE 2010: COLLINS SUBMITTED TO AN ANNUITY ISSUER 10 WITHDRAWAL REQUEST FORMS ON BEHALF OF FIVE CUSTOMERS TO EFFECT WITHDRAWALS FROM THEIR ANNUITIES. ACTING WITH THE CUSTOMERS' CONSENT, BUT WITHOUT DISCLOSURE TO HIS MEMBER FIRM AT THE FIRM OR THE ANNUITY ISSUER, COLLINS RE-USED COPIES OF WITHDRAWAL REQUEST FORMS THE CUSTOMERS HAD PREVIOUSLY SIGNED RATHER THAN OBTAINING THEIR ORIGINAL SIGNATURE ON A NEW FORM. ON EACH FORM, COLLINS CHANGED THE DATE AND, IF NECESSARY, THE AMOUNT TO BE WITHDRAWN, AND THEN SUBMITTED THE FORM TO EFFECT THE WITHDRAWAL. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |



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:

09/06/2012

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

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?

No

(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?

(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



(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?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: 30 BUSINESS DAYS
Start Date: 10/01/2012
End Date: 11/09/2012

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:
Is Payment Plan Current:
Date Paid by individual: 09/26/2012
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, COLLINS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT OCTOBER 1, 2012 THROUGH NOVEMBER 9, 2012. FINE PAID IN FULL ON SEPTEMBER 26, 2012.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension



| | |
|---|---|
| Date Initiated: | 01/18/2012 |
| Docket/Case Number: | 2011029591601 |
| Employing firm when activity occurred which led to the regulatory action: | WILBANKS SECURITIES |
| Product Type: | Annuity-Variable |
| Allegations: | REFAXING PREVIOUSLY SIGNED WITHDRAWAL FORMS TO AFFECT SUBSEQUENT WITHDRAWALS. |
| Current Status: | Final |
| Resolution: | Acceptance, Waiver & Consent(AWC) |
| Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? | Yes |
| Resolution Date: | 09/06/2012 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES: GS, GP, IR |
| Duration: | 30 BUSINESS DAYS |
| Start Date: | 10/01/2012 |
| End Date: | 11/09/2012 |
| 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: | PAID WITH VISA CARD |
| Is Payment Plan Current: | Yes |
| Date Paid by individual: | 09/24/2012 |
| Was any portion of penalty waived? | No |
| Amount Waived: | |
| Broker Statement | ALL TRANSACTIONS WERE VERBALLY APPROVED BY MY CLIENTS, AND THERE WAS NO MISHANDLING OF FUNDS. IN AN EFFORT TO SAVE MY CLIENTS TIME AND ACCELERATE THE PROCESS, I OBTAINED VERBAL APPROVAL FROM EACH CLIENT IN LIEU OF FILLING OUT NEW FORMS AND HAVING THEM COME IN PERSONALLY TO SIGN. |



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 1

Reporting Source: Firm

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

Allegations: Claimant alleges negligence, unsuitable recommendations, negligent supervision, breach of contract and fiduciary duty in regards to purchase of GWG L-Bonds.

Product Type: Other: Private Placement

Alleged Damages: \$15,000.00

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 #: 22-02541

Filing date of arbitration/CFTC reparation or civil litigation: 11/09/2022

Customer Complaint Information

Date Complaint Received: 11/09/2022

Complaint Pending? No

Status: Settled

Status Date: 03/06/2023

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WILBANKS SECURITIES, INC; CABOT LODGE SECURITIES LLC; CROWN CAPITAL SECURITIES, L.P.

Allegations: Customer alleges negligence, unsuitable recommendations, negligent supervision, breach of contract and fiduciary duty in regards to an investment in a high yield corporate bond.

Product Type: Other: CORPORATE BOND



Alleged Damages: \$15,000.00

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 #: 22-02541

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/09/2022

Customer Complaint Information

Date Complaint Received: 11/21/2022

Complaint Pending? No

Status: Settled

Status Date: 03/08/2023

Settlement Amount: \$6,500.00

**Individual Contribution
Amount:** \$0.00

Broker Statement

Please note there are three firms named in this matter. The settlement amount of \$1,500 represents the settlement by Crown Capital Securities, L.P.; The settlement amount of \$5,000 represents the settlement by Cabot Lodge Securities LLC. This action is ongoing with Wilbanks Securities, Inc.



End of Report

This page is intentionally left blank.