



## IAPD Report

# ROGER ALLAN DUVAL

CRD# 2503718

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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

### ROGER ALLAN DUVAL (CRD# 2503718)

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 **03/11/2025**.

### CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

### QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

**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	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	BELLEVUE, WA	09/17/2018 - 06/03/2019
IA	MML INVESTORS SERVICES, LLC	10409	SPOKANE, WA	04/14/2017 - 09/11/2018
IA	MSI FINANCIAL SERVICES, INC.	14251	SPOKANE, WA	11/30/2007 - 03/26/2017

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	4
Customer Dispute	5
Judgment/Lien	4



## 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 not currently registered as an Investment Adviser Representative.



## 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, 0 general industry/product exams, 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
------	----------	------

No information reported.

#### State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

11/23/2007



### 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
IA	09/17/2018 - 06/03/2019	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	BELLEVUE, WA
IA	04/14/2017 - 09/11/2018	MML INVESTORS SERVICES, LLC	CRD# 10409	SPOKANE, WA
IA	11/30/2007 - 03/26/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	SPOKANE, WA

### 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
09/2018 - Present	Pruco Securities LLC	REgistered Representative	Y	Bellevue, WA, United States
09/2018 - Present	The Prudential Insurance Company of America	Financial Professional	N	Bellevue, WA, United States
03/2017 - 08/2018	MML INVESTORS SERVICES, LLC	Mass Transfer	Y	SPOKANE, WA, United States
07/2016 - 08/2018	Massachusetts Mutual Life Insurance Company	Registered Rep	Y	Springfield, MA, United States
11/2007 - 08/2018	METLIFE SECURITIES, INC	FINANCIAL SERVICE REPRESENTATIVE	Y	SPOKANE, WA, 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.

#### RETIREMENT BASE CAMP

POSITION: Author NATURE: Book Author INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 09/18/2018

ADDRESS: 23117 E 2nd Ave, Liberty Lake WA 99019, United States

DESCRIPTION: I wrote a book and interviewed Spokane area professionals on a variety of topics. I wrote the book, secured a publisher, and now the book is available on Amazon and Kindle.

#### SPOKANE VALLEY CHAMBER OF COMMERCE

POSITION: Just a Member. I hold no position. NATURE: Government and Civic Body INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/02/2018

ADDRESS: 1421 N Meadowwood Ln, Liberty Lake WA 99019, United States

DESCRIPTION: Attend occasional meetings



## 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	4
Customer Dispute	5
Judgment/Lien	4

### 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 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Washington
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
<b>Date Initiated:</b>	11/05/2024
<b>Docket/Case Number:</b>	S-23-3690-24-FO01
<b>URL for Regulatory Action:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Equity-OTC
<b>Allegations:</b>	N/A
<b>Current Status:</b>	Pending

#### Disclosure 2 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Washington





**Sanction(s) Sought:** Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Monetary Penalty other than Fines

**Date Initiated:** 10/08/2024

**Docket/Case Number:** S-23-3690-23-SC01

**URL for Regulatory Action:**

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

**Product Type:** Equity-OTC

**Allegations:** S-23-3690-24-SC01 - Henry Duval (a/k/a Roger Duval) - Statement of Charges  
On October 8, 2024, the Securities Division entered a Statement of Charges and Notice of Intent to Enter Order to Cease and Desist, to Impose Fines and to Charge Costs ("Statement of Charges") against Henry Duval (formerly known as Roger Duval) ("Respondent") of Liberty Lake, Washington. The Statement of Charges alleges that the Respondent violated the anti-fraud provisions of the Securities Act of Washington in connection with funds that he received from a senior citizen client. The Securities Division intends to order the Respondent to cease and desist from violating the Securities Act of Washington and gives notice of its intent to impose a fine and to charge costs. The Respondent has a right to request a hearing on the Statement of Charges.

**Current Status:** Pending

#### Disclosure 3 of 4

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 09/18/2020

**Docket/Case Number:** 2019062789901

**Employing firm when activity occurred which led to the regulatory action:** MML Investors Services, LLC and Pruco Securities, LLC

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Duval consented to the sanction and to the entry of findings that he converted approximately \$130,000 from elderly customers for his own personal use. The findings stated that Duval convinced the elderly customers to establish and maintain brokerage accounts at a FINRA member firm, away from his employer member firms. Duval used the customers' login credentials to access these accounts and wrote himself checks without their knowledge or authorization. Duval deposited these checks into his personal checking account and then transferred some of these funds into his personal brokerage account.

**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:**

09/18/2020

**Sanctions Ordered:**

Bar (Permanent)

**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:** Bar (Permanent)

**Capacities Affected:** All Capacities

**Duration:** Indefinite

**Start Date:** 09/18/2020

**End Date:**

**Disclosure 4 of 4**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** Washington

**Sanction(s) Sought:** Bar  
Civil and Administrative Penalty(ies)/Fine(s)  
Monetary Penalty other than Fines  
Revocation

**Date Initiated:** 05/24/2019

**Docket/Case Number:** S-19-2683-19-TO01

**URL for Regulatory Action:**

**Employing firm when activity occurred which led to the regulatory action:** Pruco Securities, LLC

**Product Type:** No Product

**Allegations:** Roger Allan Duval, S-19-2683-19-TO01 - Summary Order.

On May 24, 2019, the Securities Division entered a Summary Order to Suspend Registrations and Notice of Intent to Enter an Order to Revoke Registrations, Deny Future Registrations, Impose Fines, and Charge Costs against Roger Allan Duval. The Summary Order alleges that between June 2017 and April 2019, Duval made unauthorized withdrawals totaling \$246,400 from three Washington resident brokerage accounts. Duval misappropriated the funds by depositing them into a credit union account under his control. Two of the accounts are held by elderly



residents, and one account was owned by a deceased resident, which Duval withdrew funds from soon after the resident's death in 2017. The Summary Order suspends Duval's investment adviser representative and securities salesperson registration and gives notice of the Securities Division's intent to enter an order to revoke Duval's securities registrations in Washington, to deny future securities registration applications by Duval, and to impose fines and costs. The Respondent has a right to request a hearing on the Summary Order.

**Current Status:** Final

**Limitation Details:** Suspension

**Resolution:** Consent

**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:** 12/12/2019

**Sanctions Ordered:** Bar (Permanent)  
Civil and Administrative Penalty(ies)/Fine(s)  
Monetary Penalty other than Fines  
Revocation  
Other: Cease & Desist

**Sanction 1 of 1**

**Sanction Type:** Bar (Permanent)

**Capacities Affected:** Broker-dealer, securities salesperson, investment advisor representative

**Duration:** permanent

**Start Date:**

**End Date:**

**Monetary Sanction 1 of 2**

**Monetary Related Sanction:** Monetary Penalty other than Fines

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:** No

**Is Payment Plan Current:** No

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Monetary Sanction 2 of 2**

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

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00



**Payment Plan:** Yes

**Is Payment Plan Current:** No

**Date Paid by individual:**

**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement**

On December 12, 2019, the Securities Division entered into a Consent Order with Roger Allan Duval and Roger A. Duval d/b/a Retirement Base Camp. The Securities Division had previously entered a Summary Order to Suspend Registrations and Notice of Intent to Enter an Order to Revoke Registrations, Deny Future Registrations, Impose a Fine, and Charge Costs against Roger Allan Duval. The Summary Order alleged that between June 2017 and April 2019, Duval made unauthorized withdrawals from three Washington resident brokerage accounts, and he misappropriated the funds by depositing them into a credit union account under his control. Two of the accounts are held by elderly residents, and one account was owned by a deceased resident, which Duval withdrew funds from soon after the resident's death in 2017. The findings of fact in the Consent Order contained further allegations, including that Roger A. Duval d/b/a Retirement Base Camp transacted business as an investment adviser while not properly registered in the State of Washington. The Respondent neither admitted nor denied the allegations, but agreed to cease and desist from violating the Securities Act of Washington, to the revocation of his securities registrations in Washington and the denial of any future securities registration applications, and to pay a total of \$10,000 in fines and costs. The Respondent waived his right to a hearing and to judicial review of the matter.



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MML INVESTORS SERVICES, LLC
<b>Allegations:</b>	The complainant alleges that beginning in or around 2014, the rep stole \$157,000 from their accounts.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Options
<b>Alleged Damages:</b>	\$157,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

## Customer Complaint Information

<b>Date Complaint Received:</b>	02/13/2025
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Firm Statement</b>	Case #202503110072.

### Disclosure 2 of 5

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	MML INVESTORS SERVICES, LLC
<b>Allegations:</b>	The complainant alleges that beginning in or around 2014, the rep stole \$157,000 from their accounts.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock) Options
<b>Alleged Damages:</b>	\$157,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No



## Customer Complaint Information

**Date Complaint Received:** 02/14/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** Case #202503110073

### Disclosure 3 of 5

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** MML Investors Services, LLC

**Allegations:** The complainants allege that their representative, beginning on March 28, 2018, solicited them for a \$50,000 investment, that would be structured as a loan to fund the representative's publication of a book. The complainants were promised repayment, but the representative has defaulted.

**Product Type:** No Product

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** The firm has been unable to make a good faith determination that the damages would be less than \$5000.

**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 #:** 20-03129

**Filing date of arbitration/CFTC reparation or civil litigation:** 09/11/2020

## Customer Complaint Information

**Date Complaint Received:** 09/18/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/15/2021

**Settlement Amount:** \$30,000.00

**Individual Contribution Amount:** \$0.00

.....

**Reporting Source:** Firm



**Employing firm when activities occurred which led to the complaint:**

PRUCO SECURITIES, LLC.(

**Allegations:**

Claimants allege that, before becoming associated with the firm, the former representative obtained a loan in March 2018 that was not paid back, and that during and after his association with the firm, beginning January 2019, the representative transferred funds from accounts held away from the firm without their knowledge or consent, and made unspecified unsuitable recommendations.

**Product Type:**

Other: LOAN AND UNSPECIFIED ACCOUNTS

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

Unspecified compensatory damages

**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 Dispute Resolution

**Docket/Case #:**

20-03129

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

09/10/2020

### Customer Complaint Information

**Date Complaint Received:**

09/11/2020

**Complaint Pending?**

Yes

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 4 of 5

**Reporting Source:**

Firm

**Employing firm when activities occurred which led to the complaint:**

PRUCO SECURITIES, LLC.

**Allegations:**

Customer Alleges the rep did not fully disclose all the facts regarding investment objectives and misappropriated funds.

**Product Type:**

Other: ADVANTAGE/COMMAND

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED.

**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: 03/02/2020

Complaint Pending? No

Status: Denied

Status Date: 03/24/2020

Settlement Amount:

Individual Contribution  
Amount:

### Disclosure 5 of 5

Reporting Source: Firm

Employing firm when  
activities occurred which led  
to the complaint: A.G. EDWARDS & SONS, INC.

Allegations: UNSUITABLE TRADING, EXCESSIVE TRADING, MISREPRESENTATION;  
BREACH OF DUTY. DAMAGES ARE NOT SPECIFIED BUT ARE BELIEVED TO  
BE IN EXCESS OF \$5,000.

Product Type: Options

Alleged Damages:

### Customer Complaint Information

Date Complaint Received: 10/02/2000

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/02/2000

Settlement Amount:

Individual Contribution  
Amount:

### Arbitration Information

Arbitration/Reparation Claim  
filed with and Docket/Case  
No.: NASD-DR CASE NO-00-04156

Date Notice/Process Served: 10/02/2000

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when  
activities occurred which led  
to the complaint: A.G. EDWARDS

Allegations: CUSTOMERS ALLEGED USE OF OPTIONS IN THEIR ACCOUNTS WERE  
UNSUITABLE. TIME FRAME WAS FROM FEBRUARY 1996 THROUGH



AUGUST 1998. CUSTOMERS REQUESTED THE USE OF OPTIONS AND SIGNED ALL APPROPRIATE DOCUMENTS ATTESTING TO SUITABILITY. SETTLEMENT AND COMPLAINT OCCURRED AFTER MY TERMINATION SO I WAS NOT INFORMED OF THE SETTLEMENT AMOUNT

**Product Type:** Options

**Alleged Damages:** \$120,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 10/02/2000

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 09/17/2001

**Settlement Amount:**

**Individual Contribution Amount:**

### **Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** ARBITRATION # 00-04156

**Date Notice/Process Served:** 10/02/2000

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 09/17/2001

**Monetary Compensation Amount:** \$60,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** DUE TO BANKRUPTCY FILED ON 1/11/2001, I WAS LEGALLY EXEMPT FROM THE ARBRATRATION IN THIS CASE.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** IRS  
**Judgment/Lien Amount:** \$25,970.27  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 11/20/2014  
**Date Individual Learned:** 11/22/2014  
**Type of Court:** IRS DEPARTMENT OF TREASURY  
**Name of Court:** IRS DEPARTMENT OF TREASURY  
**Location of Court:** IRS DEPARTMENT OF TREASURY  
**Judgment/Lien Outstanding?** Yes

### Disclosure 2 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** SPOKANE COUNTY  
**Judgment/Lien Amount:** \$16,880.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 08/23/2013  
**Date Individual Learned:** 11/25/2013  
**Type of Court:** State Court  
**Name of Court:** SPOKANE COUNTY  
**Location of Court:** SPOKANE COUNTY, WA  
**Docket/Case #:** 6241455  
**Judgment/Lien Outstanding?** Yes

### Disclosure 3 of 4

**Reporting Source:** Individual  
**Judgment/Lien Holder:** SPOKANE COUNTY  
**Judgment/Lien Amount:** \$29,779.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 05/31/2011  
**Date Individual Learned:** 11/25/2013  
**Type of Court:** State Court  
**Name of Court:** SPOKANE COUNTY  
**Location of Court:** SPOKANE COUNTY



**Docket/Case #:** 6002966

**Judgment/Lien Outstanding?** Yes

**Disclosure 4 of 4**

**Reporting Source:** Individual

**Judgment/Lien Holder:** SPOKANE COUNTY

**Judgment/Lien Amount:** \$35,765.00

**Judgment/Lien Type:** Tax

**Date Filed with Court:** 03/15/2011

**Date Individual Learned:** 11/25/2013

**Type of Court:** State Court

**Name of Court:** SPOKANE COUNTY

**Location of Court:** SPOKANE COUNTY, WA

**Docket/Case #:** 5985812

**Judgment/Lien Outstanding?** Yes



## End of Report

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