



## IAPD Report

# RICHARD WILLIAM ENGEN

CRD# 2528314

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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

### RICHARD WILLIAM ENGEN (CRD# 2528314)

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 **03/13/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	GREAT PLAINS FINANCIAL SERVICES, LLP	CRD# 42141	03/22/2023
<b>IA</b>	GREAT PLAINS ADVISORY SERVICES LLC	CRD# 331168	07/03/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>IA</b>	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	FARGO, ND	01/19/2016 - 08/19/2024
<b>IA</b>	GLOBAL ASSETS ADVISORY, LLC	300460	FARGO, ND	03/16/2020 - 04/24/2023
<b>B</b>	INTERNATIONAL ASSETS ADVISORY, LLC	10645	FARGO, ND	11/09/2010 - 04/24/2023

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

### Employment 1 of 2

Firm Name: **GREAT PLAINS FINANCIAL SERVICES, LLP**  
Main Address: 6048 31ST ST S  
FARGO, ND 58104  
Firm ID#: 42141

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Principal	Approved	03/22/2023
<b>B</b> FINRA	General Securities Representative	Approved	03/22/2023
<b>B</b> Arizona	Agent	Approved	03/22/2023
<b>B</b> District of Columbia	Agent	Approved	02/13/2026
<b>B</b> Minnesota	Agent	Approved	04/10/2023
<b>B</b> Montana	Agent	Approved	03/22/2023
<b>B</b> North Dakota	Agent	Approved	03/22/2023
<b>B</b> Ohio	Agent	Approved	03/13/2026
<b>B</b> South Dakota	Agent	Approved	03/29/2023

### Branch Office Locations

Fargo, ND

### Employment 2 of 2

Firm Name: **GREAT PLAINS ADVISORY SERVICES LLC**  
Main Address: 6048 31ST ST S  
FARGO, ND 58104  
Firm ID#: 331168



## Qualifications

Regulator	Registration	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	06/02/2025
IA North Dakota	Investment Adviser Representative	Approved	07/03/2024

### Branch Office Locations

**GREAT PLAINS ADVISORY SERVICES LLC**  
Fargo, ND




## 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, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/28/2006

#### General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	09/13/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/29/1994

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/1996
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/29/1994

### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities



Administrators Association at <http://www.nasaa.org>



### 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	01/19/2016 - 08/19/2024	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	FARGO, ND
IA	03/16/2020 - 04/24/2023	GLOBAL ASSETS ADVISORY, LLC	CRD# 300460	FARGO, ND
B	11/09/2010 - 04/24/2023	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	FARGO, ND
IA	06/04/2012 - 12/31/2015	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	FARGO, ND
IA	08/16/2010 - 11/08/2010	VSR ADVISORY SERVICES	CRD# 14503	FARGO, ND
B	07/22/2010 - 11/08/2010	VSR FINANCIAL SERVICES, INC.	CRD# 14503	FARGO, ND
IA	04/22/2003 - 07/23/2010	FINTEGRA FINANCIAL SOLUTIONS	CRD# 16741	FARGO, ND
B	06/05/2000 - 07/23/2010	FINTEGRA, LLC	CRD# 16741	FARGO, ND
B	06/30/1999 - 06/05/2000	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	CEDAR RAPIDS, IA
B	09/16/1996 - 07/14/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	04/17/1996 - 07/12/1996	FINANCIAL ADVANTAGE BROKERAGE SERVICES, INC	CRD# 37027	GREENWOOD VILLAGE
B	10/13/1994 - 04/03/1996	MANEQUITY, INC.	CRD# 5249	BOSTON, MA

#### 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
01/2024 - Present	Great Plains Advisory Services LLC	Managing Member	Y	Fargo, ND, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2023 - Present	GREAT PLAINS FINANCIAL SERVICES, LLP	CCO, REGISTERED REPRESENTATIVE	Y	FARGO, ND, United States
11/2010 - 08/2024	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FARGO, ND, United States
03/2020 - 04/2023	GLOBAL ASSETS ADVISORY, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FARGO, ND, United States
11/2010 - 03/2023	INTERNATIONAL ASSETS ADVISORY LLC	REGISTERED REP	Y	ORLANDO, 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.

- 1) GREAT PLAINS WEALTH MGMT - dba for GPFS LLP SECURITIES BUSINESS, GPAS LLC ADVISORY BUSINESS AND PERSONAL INSURANCE BUSINESS - 6048 31ST STREET S, FARGO, ND 58104 - INVESTMENT AND INSURANCE - 100% OWNER SINCE 2009 - APPROX 60 HRS/MO
- 2) GREAT PLAINS FINANCIAL SERVICES, LLP 6048 31St St S, FARGO ND 58104 - BROKER-DEALER - 85% OWNER/PARTNER SINCE 3/2023 - APPROX 25 HRS/MO
- 3) GREAT PLAINS ADVISORY SERVICES LLC 6048 31ST ST S, FARGO, ND 58104 - RIA - 50% PARTNER SINCE 01/2024 - APPROX 60 HRS/MO
- 4) FARMLAND RENTAL - 1570 22ND ST NE, ANAMOOSSE, NORTH DAKOTA - FARMLAND AVAILABLE FOR RENTAL OR SHARE-CROPPING - 100% OWNER SINCE 4/2015 - APPROX 1 HR/QTR
- 5) MCJ COMMERCIAL REAL ESTATE 1620 32ND AVENUE S, FARGO, ND 58103 - REAL ESTATE SALES - AGENT SINCE 1/2022 - APPROX 3 HRS/QTR
- 6) ENGEN COMPANIES LLC 6048 31ST STREET S, FARGO, ND 58104 - BUSINESS & REAL ESTATE HOLDING COMPANY - 100% OWNER SINCE 1995 - APPROX 1 HR/QTR
- 7) IDFUSION LLC - 6046 31ST ST S, FARGO, ND 58104 - TECHNOLOGY CO - NOT INVESTMENT RELATED - 62% OWNER SINCE 2010 - 2 HRS/YR



## 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	05/08/2012
<b>Docket/Case Number:</b>	2009016691403
<b>Employing firm when activity occurred which led to the regulatory action:</b>	FINTEGRA, LLC
<b>Product Type:</b>	Mutual Fund

**Allegations:** NASD RULES 2110, 3110: FROM JULY 2005 THROUGH APRIL 2008, ENGEN EXECUTED 47 MUTUAL FUND PURCHASES FOR 20 CUSTOMERS AND DESIGNATED ALL OF THESE TRANSACTIONS AS BEING ELIGIBLE FOR A WAIVER OF THE FRONT-END LOAD BASED ON A \$1 MILLION RIGHT OF ACCUMULATION (ROA). NONE OF THESE 47 PURCHASES QUALIFIED FOR THE WAIVER OF THE FRONT-END LOAD THROUGH THE ROA DESIGNATION, BECAUSE THE CUSTOMERS DID' NOT EACH HAVE A CUMULATIVE INVESTMENT OF \$1 MILLION WITH THE MUTUAL FUND ISSUERS. AS A RESULT OF ENGEN'S MISREPRESENTATIONS WHEN EXECUTING THESE TRANSACTIONS, THE 20 CUSTOMERS PURCHASED A TOTAL OF \$1,293,285 OF MUTUAL FUNDS WITH NO FRONT-END LOADS WHEN, IN FACT, ALL OF THE TRANSACTIONS SHOULD HAVE INCLUDED A FRONT-END LOAD ASSESSMENT. THROUGH HIS MISREPRESENTATIONS, ENGEN DEPRIVED HIS MEMBER FIRM AND THE MUTUAL FUND ISSUERS OF FEES TO WHICH THEY WERE OTHERWISE ENTITLED.

AMENDED COMPLAINT MAY 8, 2012: THE ALLEGATION THAT ENGEN'S



ACTIONS ALSO CAUSED HIS FIRM'S BOOKS AND RECORDS RELATING TO THESE MUTUAL FUND PURCHASES TO CONTAIN FALSE INFORMATION WAS REPLACED WITH THE ALLEGATION THAT ENGEN'S MISREPRESENTATIONS CAUSED HIS FIRM'S BOOKS AND RECORDS TO CONTAIN FALSE INFORMATION ABOUT THE MUTUAL FUND PURCHASES FOR WHICH HE INCORRECTLY ENTERED AN ROA DESIGNATION.

**Current Status:**

Final

**Resolution:**

Decision & Order of Offer of Settlement

**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:**

10/29/2012

**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**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	30 DAYS
<b>Start Date:</b>	11/19/2012
<b>End Date:</b>	12/18/2012

**Monetary Sanction 1 of 1**

<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$15,000.00
<b>Portion Levied against individual:</b>	\$15,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	11/06/2012
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ENGEN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE SUSPENSION IS IN EFFECT FROM NOVEMBER 19, 2012, THROUGH DECEMBER 18, 2012. FINE PAID IN FULL ON 11/6/2012.

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**Reporting Source:**

Individual

**Regulatory Action Initiated By:**

FINANCIAL INDUSTRY REGULATORY AUTHORITY

**Sanction(s) Sought:****Date Initiated:**

04/23/2012

**Docket/Case Number:**

2006016691403

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

FINTEGRA

**Product Type:**

Mutual Fund

**Allegations:**

JULY 2005 TO JULY 2008 ENGEN EXECUTED 47 MUTUAL FUND PURCHASES FOR 20 CLIENTS AND DESIGNATED ALL THE TRANSACTIONS AS BEING ELIGIBLE FOR A WAIVER OF THE FRONT-END LOAD BASED ON A \$1 MIL FOA. NONE OF THE PURCHASES QUALIFIED FOR THE WAIVER. ALLEGED MISREPRESENTATIONS CAUSED FINTEGRABOOKS AND RECORDS RELATING TO THE TRANSACTIONS TO CONTAIN FALSE INFORMATION VIOLATING NASD RULE 2110 AND 3110.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver &amp; 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:**

10/25/2012

**Sanctions Ordered:**Civil and Administrative Penalty(ies)/Fine(s)  
Suspension**Sanction 1 of 1****Sanction Type:**

Suspension

**Capacities Affected:**

GS, GP

**Duration:**

30 DAYS

**Start Date:**

11/19/2012

**End Date:**

12/18/2012

**Monetary Sanction 1 of 1****Monetary Related Sanction:**

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



**Total Amount:** \$15,000.00

**Portion Levied against individual:** \$15,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

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

**Amount Waived:**



## 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:** FITEGRA, LLC

**Allegations:** CUSTOMER ALLEGES HE WAS PROVIDED MISLEADING INFORMATION AND RECEIVED POOR CUSTOMER SERVICE.

**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$16,740.00

**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:** 10/28/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/07/2010

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** I DISPUTE ALL CLAIMS MADE, ALLEGATIONS AND DEROGATORY STATEMENTS MADE BY MY CUSTOMER. FINRA CONDUCTED AN EXAMINATION OF THE FACTS AND BASED ON THEIR ASSESSMENT OF THE INFORMATION, FINRA HAS CLOSED ITS INVESTIGATION OF THIS MATTER.

.....

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGES HE WAS PROVIDED MISLEADING INFORMATION AND RECEIVED POOR CUSTOMER SERVICE.

**Product Type:** Equity-OTC  
Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$16,740.00



**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:** 10/28/2009

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/07/2010

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I DISPUTE ALL CLAIMS MADE, ALLEGATIONS AND DEROGATORY STATEMENTS MADE BY MY CUSTOMER.



## End of Report

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