



## IAPD Report

# TRENT ALAN SCHULER

CRD# 2535041

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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

### TRENT ALAN SCHULER (CRD# 2535041)

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 **03/30/2026**.

### CURRENT EMPLOYERS

|           | Firm                | CRD#        | Registered Since |
|-----------|---------------------|-------------|------------------|
| <b>B</b>  | GWN SECURITIES INC. | CRD# 128929 | 11/01/2017       |
| <b>IA</b> | GWN SECURITIES INC. | CRD# 128929 | 11/01/2017       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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>B</b>  | NATIONAL PLANNING CORPORATION                               | 29604  | SPRINGFIELD, OH | 08/31/2011 - 11/10/2017 |
| <b>IA</b> | NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY) | 29604  | SPRINGFIELD, OH | 08/31/2011 - 11/10/2017 |
| <b>IA</b> | GWN SECURITIES INC.                                         | 128929 | SPRINGFIELD, OH | 09/08/2005 - 09/01/2011 |

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 | 5     |



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

### Employment 1 of 1

Firm Name: **GWN SECURITIES INC.**  
Main Address: 11440 NORTH JOG ROAD  
PALM BEACH GARDENS, FL 33418-3764  
Firm ID#: 128929

|                                                                                    | Regulator  | Registration                      | Status   | Date       |
|------------------------------------------------------------------------------------|------------|-----------------------------------|----------|------------|
|    | FINRA      | General Securities Principal      | Approved | 11/01/2017 |
|    | FINRA      | General Securities Representative | Approved | 11/01/2017 |
|  | Arizona    | Agent                             | Approved | 11/01/2017 |
|  | California | Agent                             | Approved | 11/01/2017 |
|  | Colorado   | Agent                             | Approved | 03/30/2026 |
|  | Florida    | Agent                             | Approved | 11/02/2017 |
|  | Georgia    | Agent                             | Approved | 11/01/2017 |
|  | Illinois   | Agent                             | Approved | 11/01/2017 |
|  | Indiana    | Agent                             | Approved | 11/16/2017 |
|  | Iowa       | Agent                             | Approved | 10/13/2022 |
|  | Kentucky   | Agent                             | Approved | 11/13/2017 |
|  | Michigan   | Agent                             | Approved | 11/01/2017 |
|  | New Jersey | Agent                             | Approved | 02/12/2025 |



## Qualifications

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| B  | North Carolina | Agent                             | Approved | 11/01/2017 |
| B  | Ohio           | Agent                             | Approved | 11/01/2017 |
| IA | Ohio           | Investment Adviser Representative | Approved | 11/01/2017 |
| B  | Oregon         | Agent                             | Approved | 11/01/2017 |
| B  | Pennsylvania   | Agent                             | Approved | 11/01/2017 |
| B  | South Carolina | Agent                             | Approved | 11/20/2017 |
| B  | Tennessee      | Agent                             | Approved | 11/01/2017 |
| B  | Texas          | Agent                             | Approved | 11/01/2017 |
| B  | Utah           | Agent                             | Approved | 07/28/2020 |
| B  | Virginia       | Agent                             | Approved | 04/05/2018 |
| B  | Wisconsin      | Agent                             | Approved | 11/01/2017 |

## Branch Office Locations

**GWN SECURITIES INC.**  
3380 MIDDLE URBANA ROAD  
SPRINGFIELD, OH 45502



## 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>B</b> General Securities Principal Examination (S24) | Series 24 | 01/27/2012 |

#### General Industry/Product Exams

| Exam                                                        | Category | Date       |
|-------------------------------------------------------------|----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination (S7) | Series 7 | 10/31/1994 |

#### State Securities Law Exams

| Exam                                                            | Category  | Date       |
|-----------------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66) | Series 66 | 01/15/1999 |



### 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 |
|----|-------------------------|-------------------------------------------------------------|-------------|-----------------|
| B  | 08/31/2011 - 11/10/2017 | NATIONAL PLANNING CORPORATION                               | CRD# 29604  | SPRINGFIELD, OH |
| IA | 08/31/2011 - 11/10/2017 | NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY) | CRD# 29604  | SPRINGFIELD, OH |
| IA | 09/08/2005 - 09/01/2011 | GWN SECURITIES INC.                                         | CRD# 128929 | SPRINGFIELD, OH |
| B  | 09/06/2005 - 09/01/2011 | GWN SECURITIES INC.                                         | CRD# 128929 | SPRINGFIELD, OH |
| IA | 09/23/2002 - 08/18/2005 | ING FINANCIAL PARTNERS, INC                                 | CRD# 2882   | SPRINGFIELD, OH |
| B  | 11/01/1994 - 08/18/2005 | ING FINANCIAL PARTNERS, INC.                                | CRD# 2882   | WINDSOR, CT     |

### 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                     |
|-------------------|--------------------------------|---------------------------|--------------------|---------------------------------------|
| 11/2017 - Present | GWN SECURITIES, INC.           | REGISTERED REPRESENTATIVE | Y                  | PALM BEACH GARDENS, FL, United States |
| 08/2005 - Present | SCHULER'S BAKERY, INC          | CEO/OWNER                 | N                  | SPRINGFIELD, OH, United States        |
| 01/2001 - Present | GALAXY MANAGEMENT LLC          | OPERATING MANAGER         | N                  | SPRINGFIELD, OH, United States        |
| 01/2001 - Present | GEMINI PARTNERS MANAGEMENT LLC | OPERATING MANAGER         | Y                  | SPRINGFIELD, OH, United States        |
| 01/2001 - Present | NEW MILLENIUM MANAGEMENT LLC   | OPERATING MANAGER         | N                  | SPRINGFIELD, OH, United States        |
| 05/1998 - Present | SCHULER FINANCIAL GROUP LLC    | PRESIDENT/CEO             | Y                  | SPRINGFIELD, OH, United States        |
| 08/2011 - 11/2017 | NATIONAL PLANNING CORPORATION  | REGISTERED REPRESENTATIVE | Y                  | SANTA MONICA, CA, United States       |



## Registration & Employment History



### 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.

SCHULER'S BAKERY, INC.; NON-INVESTMENT RELATED; 1911 SOUTH LIMESTONE STREET SPRINGFIELD OH 45505, CEO/OWNER, 8/1/2011, 8 HOURS TOTAL, 0 DURING TRADING HOURS, MAKING EXECUTIVE MANAGEMENT, PLANNING, AND FINANCIAL DECISIONS FOR THE BAKERY.-- NEW MILLENIUM MGMT LLC; NON-INVESTMENT RELATED; 3380 MIDDLE URBANA RD., SPRINGFIELD, OH, 45502; OPERATING MANAGER- MAKING MANAGEMENT & FINANCIAL DECISIONS; 2 HOURS/MONTH DURING NON-TRADING HOURS.-- GEMINI PARTNERS MGMT LLC; NON-INVESTMENT RELATED; 3380 MIDDLE URBANA ROAD, SPRINGFIELD, OH, 45502; OPERATING MANAGER-ACTING AS A GENERAL PARTNER FOR A LIMITED PARTNERSHIP THAT LEASES REAL ESTATE TO SCHULER FINANCIAL GROUP; 1 HOUR/MONTH DURING NON TRADING HOURS.-- GALAXY MGMT LLC; NON-INVESTMENT RELATED; 3380 MIDDLE URBANA ROAD, SPRINGFIELD, OH, 45502; OPERATING MANAGER-ACTING AS A GENERAL PARTNER FOR A LIMITED PARTNERSHIP THAT LEASES OFFICE EQUIPMENT TO SCHULER FINANCIAL GROUP; 1 HOUR/PER MONTH DURING NON-TRADING HOURS.-- SCHULER FINANCIAL GROUP LLC; INVESTMENT RELATED; 3380 MIDDLE URBANA ROAD, SPRINGFIELD, OH, 45502; PROVIDES INSURANCE TO FINANCIAL PLANNING CLIENTS; 20 HOURS/MONTH DURING TRADING HOURS.



## 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 | 5     |

### 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>                                                   | Individual                                                                                                                                 |
| <b>Employing firm when activities occurred which led to the complaint:</b> | WASHINGTON SQUARE SECURITIES, INC.                                                                                                         |
| <b>Allegations:</b>                                                        | INAPPROPRIATE ADVICE GIVEN FOLLOWING A SEMINAR IN 1995 RELATED TO INVESTMENT ADVICE AND VARIABLE ANNUITIES SOLD IN 1996 BY REGISTERED REP. |
| <b>Product Type:</b>                                                       | Annuity-Variable                                                                                                                           |
| <b>Alleged Damages:</b>                                                    | \$50,000.00                                                                                                                                |
| <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>        | 02/23/2011       |
| <b>Complaint Pending?</b>              | No               |
| <b>Status:</b>                         | Closed/No Action |
| <b>Status Date:</b>                    | 09/27/2012       |
| <b>Settlement Amount:</b>              | \$0.00           |
| <b>Individual Contribution Amount:</b> | \$0.00           |

**Broker Statement**

NPC, WITH DIRECTION FROM FINRA, IS CLOSING THIS ISSUE DUE TO A LACK OF COOPERATION FROM THE AMENDING BROKER-DEALER AND THE MINIMAL AMOUNT OF INFORMATION AVAILABLE DUE TO THE TIME THAT HAS PASSED SINCE THE ACTIVITY IN QUESTION. THE REPRESENTATIVE MAINTAINS THAT THERE IS NO VALIDITY TO THE CLAIM.

**Disclosure 2 of 5****Reporting Source:**

Firm

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

WASHINGTON SQUARE SECURITIES INC

**Allegations:**

CLIENT ALLEGES THE INVESTMENT RECOMMENDED BY TRENT IN 1998 WERE UNSUITABLE. RR ALLEGEDLY RECOMMENDED TO STOP CONTRIBUTIONS TO A PRE-TAX TSA AND REDIRECT THOSE FUNDS TO A VUL. RR ALSO ALLEGEDLY RECOMMENDED CLIENT REFINANCE THEIR HOME TO FUND THESE VUL "RETIREMENT VEHICLE."

**Product Type:**

Insurance

**Other Product Type(s):**

VUL

**Alleged Damages:**

\$27,394.00

**Customer Complaint Information****Date Complaint Received:**

02/15/2006

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

03/14/2006

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

THIS MATTER WAS INVESTIGATED BY AN AFFILIATED THIRD PARTY (THE ISSUING INSURANCE COMPANY) AND THE ALLEGATIONS WERE FOUND TO BE WITHOUT MERIT

.....

**Reporting Source:**

Individual

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

WASHINGTON SQUARE SECURITIES

**Allegations:**

THE COMPLAINT ALLEGES USE OF UNSUITABLE INVESTMENTS AND A BREACH OF FIDUCIARY DUTY BUYING/WASHINGTON SQUARE SECURITIES, INC. IN THE SALE OF VARIABLE UNIVERSAL LIFE POLICIES IN JUNE OF 1998.

**Product Type:**

Insurance

**Alleged Damages:**

\$27,394.00

**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: 02/16/2006

Complaint Pending? No

Status: Denied

Status Date: 03/14/2006

Settlement Amount:

Individual Contribution  
Amount:

Broker Statement I DENY ALL CHARGES THAT HAVE BEEN ALLEGED TO OCCUR. I HAVE FILED MY RESPONSE WITH BOTH THE NASD AND THE STATE OF OHIO DEPARTMENT OF INSURANCE.

### Disclosure 3 of 5

Reporting Source: Individual

Employing firm when  
activities occurred which led  
to the complaint: ING FINANCIAL PARTNERS

Allegations: THE CUSTOMERS PURCHASED FROM MR SCHULER SEVERAL PRODUCTS, INCLUDING VARIABLE ANNUITIES, VARIABLE LIFE, AND FIXED INSURANCE. THE CUSTOMERS HAVE ALLEGED THAT THE SALES WERE UNSUITABLE AND THAT THE PRODUCTS WERE MISREPRESENTED TO THEM. THE ALLEGED DAMAGES ARE EXPECTED TO EXCEED \$5000.

Product Type: Annuity-Variable  
Insurance

Alleged Damages: \$0.00

Alleged Damages Amount  
Explanation (if amount not  
exact): THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD EXCEED \$5,000.

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: 03/14/2005

Complaint Pending? No

Status: Closed/No Action

Status Date: 06/06/2005

Settlement Amount:

Individual Contribution  
Amount:

**Broker Statement**

THESE CLIENTS INVESTED MONEY WITH MY FIRM IN MARCH OF 2000 AND SUFFERED MARKET LOSSES THAT THEY WANT REIMBURSED. RECEIVED LETTER FROM OHIO DEPARTMENT OF INSURANCE DATED AUGUST 24, 2005 THAT THEIR FILE CLOSED AS OF 06/06/2005.

**Disclosure 4 of 5****Reporting Source:**

Individual

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

WASHINGTON SQUARE SECURITIES

**Allegations:**

CUSTOMERS PURCHASED THREE VARIABLE ANNUITIES AND A VARIABLE LIFE POLICY FROM REPRESENTATIVE IN LATE 2000. THE CUSTOMERS ARE ALLEGING THAT THE SALE OF THE PRODUCTS WERE UNSUITABLE BASED ON THEIR OBJECTIVES AND FINANCIAL HOLDING. THEY ARE SEEKING TO SURRENDER THE ANNUITIES WITHOUT PENALTIES.

**Product Type:**

Annuity-Variable

**Alleged Damages:**

\$177,000.00

**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:**

11/17/2004

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

03/24/2005

**Settlement Amount:**

\$27,000.00

**Individual Contribution Amount:**

\$17,000.00

**Broker Statement**

CUSTOMER HAD A [REDACTED] AND BECAME EMOTIONALLY UNSTABLE DUE TO INABILITY TO UNDERSTAND INVESTMENTS ANYMORE. I CHOSE NOT TO PURSUE THIS ISSUE WITH HIS DAUGHTER WHO TOOK OVER. THE FIRM AND REP ENTERED INTO A SETTLEMENT WITH THE CLIENTS WITHOUT ADMITTING LIABILITY OR WRONGDOING. THE SETTLEMENT WAS ENTERED INTO SOLELY TO AVOID A COSTLY AND LENGTHY DISPUTE PROCESS.

**Disclosure 5 of 5****Reporting Source:**

Individual

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

WASHINGTON SQUARE SECURITIES, INC

**Allegations:**

STATEMENT OF CLAIM ALLEGES MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE.

**Product Type:**

Insurance



**Alleged Damages:** \$333,119.00

**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:** 07/08/2003

**Complaint Pending?** No

**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)

**Status Date:** 03/10/2004

**Settlement Amount:**

**Individual Contribution  
Amount:**

### Arbitration Information

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

**Docket/Case #:** 03-04663

**Date Notice/Process Served:** 03/13/2003

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/10/2004

**Monetary Compensation  
Amount:** \$75,000.00

**Individual Contribution  
Amount:** \$0.00

**Broker Statement** AN ARBITRATION WAS SCHEDULED, ROSS TALMAN DID A PERFORMANCE ANALYSIS TO SHOW THE CLIENT SPENT DOWN HER MONEY AND DID NOT LOSE MARKET VALUE AS CLAIMED. MY ATTORNEY RECOMMENDED THAT WE PROCEED WITH ARBITRATION. ING AND AIG (E&O CARRIER) SETTLED FOR ATTORNEY'S FEES WITHOUT MY APPROVAL.



## End of Report

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