



IAPD Report

James Allen Jacobs

CRD# 256420

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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

James Allen Jacobs (CRD# 256420)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE LEADERS GROUP, INC.	CRD# 37157	09/10/2018
IA	TLG ADVISORS, INC.	CRD# 111052	07/16/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** jurisdiction(s).

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

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	AXA ADVISORS, LLC	6627	CHESTERFIELD, VA	08/25/1992 - 09/11/2018
B	AXA ADVISORS, LLC	6627	CHESTERFIELD, VA	10/20/1980 - 09/11/2018
B	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY	01/27/1971 - 01/05/2000

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	5
Termination	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 **22** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **THE LEADERS GROUP, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 37157

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/10/2018
B	Alabama	Agent	Approved	09/10/2018
B	Arizona	Agent	Approved	02/12/2021
B	Colorado	Agent	Approved	12/18/2018
B	Delaware	Agent	Approved	05/17/2019
B	District of Columbia	Agent	Approved	09/10/2018
B	Florida	Agent	Approved	09/10/2018
B	Georgia	Agent	Approved	01/31/2019
B	Illinois	Agent	Approved	09/10/2018
B	Kentucky	Agent	Approved	09/10/2018
B	Louisiana	Agent	Approved	03/10/2020
B	Maryland	Agent	Approved	09/10/2018
B	Michigan	Agent	Approved	09/10/2018



Qualifications

Regulator	Registration	Status	Date
B New Jersey	Agent	Approved	12/24/2018
B North Carolina	Agent	Approved	10/05/2018
B Ohio	Agent	Approved	10/02/2018
B Pennsylvania	Agent	Approved	11/12/2020
B Rhode Island	Agent	Approved	09/10/2018
B South Carolina	Agent	Approved	12/07/2018
B Tennessee	Agent	Approved	09/11/2018
B Texas	Agent	Approved	04/26/2019
B Virginia	Agent	Approved	09/10/2018
B West Virginia	Agent	Approved	09/10/2018

Branch Office Locations

10108 Krause Road
Suite 201
Chesterfield, VA 23832

Employment 2 of 2

Firm Name: **TLG ADVISORS, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 111052

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	07/16/2019

Branch Office Locations

TLG ADVISORS, INC.



Qualifications

10108 Krause Road
Suite 201
Chesterfield, VA 23832



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
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B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B	Registered Representative Examination (S1)	Series 1	01/20/1971
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/09/1992
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/1983
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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	08/25/1992 - 09/11/2018	AXA ADVISORS, LLC	CRD# 6627	CHESTERFIELD, VA
B	10/20/1980 - 09/11/2018	AXA ADVISORS, LLC	CRD# 6627	CHESTERFIELD, VA
B	01/27/1971 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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	Pinnacle Ins & Investments, LLC	Agent	Y	Jacksonville, FL, United States
09/2018 - Present	The Leaders Group, Inc.	Registered Representative	Y	Littleton, CO, United States
09/1999 - 09/2018	AXA Advisors, LLC	Registered Representative	Y	New York, NY, United States

OTHER BUSINESS ACTIVITIES

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

- 1.) JJCCB formerly JBS LLC - 01/01/1998 - 10108 Krause Road, Suite 201, Chesterfield, VA 23832 - Owner, Not Invt Rel, Real Estate Partnership, 4 hrs/mo; 4 hrs/mo (during trading hours).
- 2.) Courthouse Commons Assoc - Thalhirner Center, 1100 West Broad Street, Glen Allen, VA 23060 - President, Operational Advisory Relationship, Not Invt Rel, Advisory Board, 2 hrs/mo; 2 hrs/mo (during trading hours).
- 3.) Rental Property - 8/1/2012 - 10 Singleton Shores Manor, Hilton Head, SC 29928 - Owner/landlord, Collects rent, Not Invt Rel, Rental House; 4 hrs/mo; 4 hrs/mo (during trading hours).
- 4.) Forman & Assoc - 3/1/1997 - 301 Concourse Blvd, #306, Glen Allen, VA 23059 - Agent, Disability Sales, Not Invt Rel, Disability Insurance Business, 4 hrs/mo; 4 hrs/mo (during trading hours).
- 5.) First National Brokerage, Corp - 3/27/2009 - 5311 Patterson Avenue, Richmond, VA 23226 - Agent, Health Insurance Sales, Not Invt Rel, Health Insurance Business, 4 hrs/mo; 4 hrs/mo (during trading hours).
- 6.) Independent Insurance Agent - 8/31/1987 - 10108 Krause Road, Suite 201, Chesterfield, VA 23832 - Agent of various carriers, Sale of Life, LTC, Disability, Health and Annuity Insurance, Not Invt Rel, Insurance Business, 3 hrs/mo; 3 hrs/mo (during trading hours).
- 7.) Pinnacle Ins & Investments LLC - 9/10/2018 - 7791 Belfort Pkwy, Jacksonville, FL 32256 - Agent, Sales, Not Invt Rel, Insurance Business, 4 hrs/mo; 4 hrs/mo (during trading hours).
- 8.) Milestone Financial Solutions - 10108 Krause Road, Suite 201, Chesterfield, VA 23832 - Owner, Inv't Rel, Sales, 160 Hrs/Mo; 160 Hrs/Mo (during trading hours).
- 9.) TLG Advisors, Inc. - Since 09/19/2018 - 26 W Dry Creek Circle, Suite 800 - Littleton, CO 80120 - Investment Related - IAR Business - IAR Rep - Devote Approx: 20 hrs p/mo.



Registration & Employment History



OTHER BUSINESS ACTIVITIES



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	5
Termination	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:	Virginia State Corporation Commission
Sanction(s) Sought:	Other: Order Imposing Special Supervisory Procedures
Date Initiated:	07/02/2019
Docket/Case Number:	SEC-2019-00031
URL for Regulatory Action:	http://www.scc.virginia.gov/docketsearch#/caseDetails/139879
Employing firm when activity occurred which led to the regulatory action:	TLG Advisors, Inc.
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Limitation Details:	Order is in effect for 2 years. Jacobs will submit all business to his designated principal for prior review and approval. Jacobs' business will be restricted to placing assets with third-party money managers and financial plans. Jacobs will not engage in discretionary trading. There will be unannounced annual inspections of Jacobs' office by a third-party auditor and the report will be provided to the Division.
Resolution:	Settled



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:	08/26/2021
Sanctions Ordered:	Other: Prohibited from discretionary trading, annual inspections, monthly meeting.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	Virginia State Corporation Commission
Sanction(s) Sought:	Other: Order imposing Special Supervisory Procedures
Date Initiated:	07/02/2019
Docket/Case Number:	SEC-2019-00031
Employing firm when activity occurred which led to the regulatory action:	TLG Advisors, Inc.
Product Type:	No Product
Allegations:	Order is in effect for 2 years. Jacobs will submit all business to his designated principal for prior review and approval. Jacobs' business will be restricted to placing assets with third-party money managers and financial plans. Jacobs will not engage in discretionary trading. There will be unannounced annual inspections of Jacobs' office by a third-party auditor and the report will be provided to the Division.
Current Status:	Final
Limitation Details:	Special Supervision for 2 years, (ending 7/15/2021) will remain pending until completed
Resolution:	Order
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:	08/26/2021
Sanctions Ordered:	Other: Special supervision for 2 years, which has been completed.
Broker Statement	The matter will be considered pending by the state until the special supervisory period is completed in 2021. Until the special supervision ends, all business conducted will be supervised by the CCO. No sanction, suspension, revocation or bar is involved, only special supervision for 2 years. The supervisory period will end 7/15/2021.



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA Advisors, LLC
Allegations:	Client alleges she was not properly informed of the fees and charges associated with the variable annuity when it was purchased in August 2016.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client did not specify a dollar amount.
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:	10/21/2016
Complaint Pending?	No
Status:	Settled
Status Date:	11/23/2016
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	In the interest of good client relations, the Firm agreed to settle the matter. There was no loss to Firm. RR Jacobs' errors and omissions carrier did not contribute to the settlement.

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS, LLC
Allegations:	CLIENT ALLEGES MISREPRESENTATION IN THE SALE OF A 2012 VARIABLE LIFE INSURANCE POLICY. CLIENT IS REQUESTING THE FIRM TO CANCEL THE POLICY AND REFUND ALL PREMIUMS PAID. DAMAGES UNSPECIFIED.



Product Type: Insurance
Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT SPECIFY A SPECIFIC DOLLAR AMOUNT.
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: 03/14/2013
Complaint Pending? No
Status: Denied
Status Date: 04/16/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: AXA ADVISORS, LLC.

Allegations: CUSTOMER ALLEGES AGENT REPRESENTED THAT THE POLICY PREMIUMS ON VARIABLE AND TRADITIONAL LIFE INSURANCE POLICIES WOULD BE MAINTAINED BY THE DIVIDENDS, BUT THE AGENT FAILED TO ADVISE THE CUSTOMER THAT IF THE POLICIES FAILED TO PRODUCE THE DIVIDENDS REPRESENTED, HE COULD LOSE THE POLICIES AND THE PREMIUMS PAID. AS A RESULT OF THE AGENT'S FAILURE TO ADVISE, THE CUSTOMER SUSTAINED DAMAGES. DAMAGES UNSPECIFIED.

Product Type: Insurance
Other: VARIABLE AND TRADITIONAL LIFE INS. POLICIES

Alleged Damages: \$0.00
Alleged Damages Amount Explanation (if amount not exact): DAMAGES NOT SPECIFIED.

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: 11/04/2009



Complaint Pending? No
Status: Closed/No Action
Status Date: 03/24/2010
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00
Broker Statement THE FIRM REFERRED THE MATTER TO THE AGENT'S E&O CARRIER AND THEY CLOSED THEIR CASE AS NO BASIS.

Disclosure 4 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EQUITABLE LIFE
Allegations: CLIENT ALLEGES I DID NOT DISCLOSE THE TOTAL FEES TO BE PAID DURING THE PURCHASE OF A 1998 ISSUE VARIABLE LIFE INSURANCE POLICY. CLIENT REQUESTED THE REIMBURSEMENT OF HIDDEN CHARGES AND ALL PREMIUMS PAID, BUT DID NOT SPECIFY ANY AMOUNT OF DAMAGES. I AM AN AGENT OF EQUITBLE LIFE.
Product Type: Insurance
Other Product Type(s): VARIABLE LIFE INSURANCE
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/16/1998
Complaint Pending? No
Status: Denied
Status Date: 02/03/1999
Settlement Amount:
Individual Contribution Amount:
Broker Statement EQUITABLE FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 5 of 5

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: EQUICO SECURITIES, INC.; EQUITABLE LIFE ASSURANCE SOCIETY OF THE U.S.
Allegations: BRCH OF FIDUCIARY DT; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-NEGLIGENCE; OTHER
Product Type:
Alleged Damages: \$80,000.00

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #97-02822

Date Notice/Process Served: 06/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/22/1998

Disposition Detail: CLOSED - PARTIES SETTLED THRU MEDIATION
** PARTIES SETTLED THRU MEDIATION **

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EQUICO SECURITIES, INC.; EQUITABLE LIFE ASSURANCE SOCIETY OF THE U.S.

Allegations: THE [CUSTOMERS] ALLEGE THAT I MISREPRESENTED BOTH THE LIMITED PARTNERSHIP AND THE MUTUAL FUND DURING THE SALES PRESENTATION AND THAT BOTH INVESTMENTS WERE UNSUITABLE TO THEIR INVESTMENT OBJECTIVES. DAMAGES ARE ALLEGED TO BE APPROXIMATELY \$80,000.00. I WAS EMPLOYED BY EQUITABLE LIFE AND EQUICO SECURITIES, INC AT THE TIME OF SALE.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 03/18/1997

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/25/1997

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 97-02822

Date Notice/Process Served: 06/25/1997

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/22/1998

Monetary Compensation Amount: \$55,000.00

Individual Contribution Amount: \$50,000.00

Broker Statement PARTIES SETTLED THROUGH MEDIATION. IN FULL SETTLEMENT OF ANY



AND ALL CLAIMS AGAINST THE PARTIES, THE [CUSTOMER] RECEIVED THE SUM OF \$55,000.00. OF THAT AMOUNT, MY ERRORS AND OMISSIONS CARRIED PAID \$50,000.00 ON MY BEHALF. EQ FINANCIAL CONSULTANTS CONTRIBUTED \$5,000.00. SETTLEMENT WAS MADE WITHOUT THE ADMISSION OF ANY LIABILITY ON THE PART OF EITHER EQ FINANCIAL CONSULTANTS, INC. OR MYSELF.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: AXA ADVISORS, LLC
Termination Type: Permitted to Resign
Termination Date: 09/01/2018
Allegations: RR permitted to resign while under internal review for violation of Firm document integrity policies as well as other Firm policies.
Product Type: No Product

Reporting Source: Individual
Firm Name: AXA ADVISORS LLC
Termination Type: Permitted to Resign
Termination Date: 09/01/2018
Allegations: RR PERMITTED TO RESIGN WHILE UNDER REVIEW FOR VIOLATION OF FIRM DOCUMENT INTEGRITY AS WELL AS OTHER FIRM POLICIES.
Product Type: No Product



End of Report

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