



IAPD Report

ERIC PAUL SCHULZE

CRD# 2648340

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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

ERIC PAUL SCHULZE (CRD# 2648340)

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 **02/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/28/2011
IA	RBC CAPITAL MARKETS, LLC	CRD# 31194	06/28/2011

QUALIFICATIONS

This representative is currently registered in **22** SRO(s) and **35** 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	B. C. ZIEGLER AND COMPANY	61	GREENWOOD VILLAGE, CO	05/22/2006 - 06/28/2011
B	B. C. ZIEGLER AND COMPANY	61	GREENWOOD VILLAGE, CO	10/07/1999 - 06/28/2011
B	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT	04/30/1999 - 10/26/1999

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	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 currently registered with **35** jurisdiction(s) and 22 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RBC CAPITAL MARKETS, LLC**

Main Address: 200 VESEY ST.
NEW YORK, NY 10281

Firm ID#: 31194

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Principal	Approved	05/11/2012
B	BOX Exchange LLC	General Securities Representative	Approved	05/11/2012
B	Cboe BYX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe C2 Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B	Cboe EDGA Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Principal	Approved	11/18/2020
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	11/18/2020
B	Cboe Exchange, Inc.	General Securities Representative	Approved	06/28/2011



Qualifications

Regulator	Registration	Status	Date
B Cboe Exchange, Inc.	General Securities Principal	Approved	07/06/2021
B FINRA	General Securities Principal	Approved	06/28/2011
B FINRA	General Securities Representative	Approved	06/28/2011
B FINRA	Municipal Securities Principal	Approved	06/28/2011
B FINRA	Invest. Co and Variable Contracts	Approved	07/06/2021
B FINRA	Municipal Securities Representative	Approved	07/06/2021
B Investors' Exchange LLC	General Securities Principal	Approved	11/18/2020
B Investors' Exchange LLC	General Securities Representative	Approved	11/18/2020
B Long-Term Stock Exchange, Inc.	General Securities Principal	Approved	11/02/2020
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	11/02/2020
B MEMX LLC	General Securities Principal	Approved	11/01/2020
B MEMX LLC	General Securities Representative	Approved	11/01/2020
B MIAX PEARL, LLC	General Securities Principal	Approved	11/02/2020
B MIAX PEARL, LLC	General Securities Representative	Approved	11/02/2020
B NYSE American LLC	General Securities Principal	Approved	06/28/2011
B NYSE American LLC	General Securities Representative	Approved	06/28/2011
B NYSE American LLC	Municipal Securities Principal	Approved	06/28/2011
B NYSE American LLC	Municipal Securities Representative	Approved	07/06/2021



Qualifications

	Regulator	Registration	Status	Date
B	NYSE Arca, Inc.	General Securities Principal	Approved	06/28/2011
B	NYSE Arca, Inc.	General Securities Representative	Approved	06/28/2011
B	NYSE National, Inc.	General Securities Principal	Approved	11/18/2020
B	NYSE National, Inc.	General Securities Representative	Approved	11/18/2020
B	NYSE National, Inc.	Municipal Securities Principal	Approved	11/18/2020
B	NYSE National, Inc.	Municipal Securities Representative	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Principal	Approved	11/18/2020
B	NYSE Texas, Inc.	General Securities Representative	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Principal	Approved	11/18/2020
B	Nasdaq GEMX, LLC	General Securities Representative	Approved	11/18/2020
B	Nasdaq ISE, LLC	General Securities Principal	Approved	06/28/2011
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/28/2011
B	Nasdaq PHLX LLC	General Securities Principal	Approved	06/28/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	06/28/2011
B	Nasdaq Stock Market	General Securities Principal	Approved	06/28/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	06/28/2011
B	Nasdaq Texas, LLC	General Securities Principal	Approved	06/28/2011
B	Nasdaq Texas, LLC	General Securities Representative	Approved	06/28/2011
B	New York Stock Exchange	General Securities Principal	Approved	06/28/2011



Qualifications

	Regulator	Registration	Status	Date
B	New York Stock Exchange	General Securities Representative	Approved	06/28/2011
B	New York Stock Exchange	Municipal Securities Principal	Approved	06/28/2011
B	New York Stock Exchange	Municipal Securities Representative	Approved	07/06/2021
B	Alaska	Agent	Approved	06/28/2011
B	Arizona	Agent	Approved	06/28/2011
B	California	Agent	Approved	11/07/2014
B	Colorado	Agent	Approved	06/28/2011
IA	Colorado	Investment Adviser Representative	Approved	06/28/2011
B	Delaware	Agent	Approved	08/30/2019
B	Florida	Agent	Approved	10/29/2014
B	Georgia	Agent	Approved	10/29/2014
B	Hawaii	Agent	Approved	02/27/2015
B	Illinois	Agent	Approved	10/28/2014
B	Indiana	Agent	Approved	10/29/2014
B	Iowa	Agent	Approved	01/03/2020
B	Kansas	Agent	Approved	06/28/2011
B	Louisiana	Agent	Approved	02/28/2018
B	Minnesota	Agent	Approved	10/28/2014
B	Mississippi	Agent	Approved	02/04/2026



Qualifications

	Regulator	Registration	Status	Date
B	Missouri	Agent	Approved	03/19/2025
B	Nevada	Agent	Approved	10/12/2023
B	New Jersey	Agent	Approved	10/15/2014
B	New Mexico	Agent	Approved	05/20/2014
B	New York	Agent	Approved	10/15/2014
B	North Carolina	Agent	Approved	09/17/2025
B	North Dakota	Agent	Approved	10/16/2023
B	Ohio	Agent	Approved	10/29/2014
B	Oklahoma	Agent	Approved	06/28/2011
B	Oregon	Agent	Approved	06/28/2011
B	Pennsylvania	Agent	Approved	10/16/2014
B	South Carolina	Agent	Approved	10/10/2023
B	South Dakota	Agent	Approved	10/30/2014
B	Texas	Agent	Approved	06/28/2011
IA	Texas	Investment Adviser Representative	Restricted Approval	02/05/2015
B	Utah	Agent	Approved	06/28/2011
B	Virginia	Agent	Approved	02/20/2016
B	Washington	Agent	Approved	06/28/2011



Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	10/12/2023
B	Wisconsin	Agent	Approved	06/28/2011
B	Wyoming	Agent	Approved	06/28/2011

Branch Office Locations

RBC CAPITAL MARKETS, LLC
1801 California Street
Suite 3900
DENVER, CO 80202-5822

RBC CAPITAL MARKETS, LLC
LITTLETON, CO



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	05/28/2008
B	General Securities Principal Examination (S24)	Series 24	10/31/2003

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/26/1998
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/17/1995

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/19/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/24/1995



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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
IA	05/22/2006 - 06/28/2011	B. C. ZIEGLER AND COMPANY	CRD# 61	GREENWOOD VILLAGE
B	10/07/1999 - 06/28/2011	B. C. ZIEGLER AND COMPANY	CRD# 61	GREENWOOD VILLAGE
B	04/30/1999 - 10/26/1999	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, CT
B	11/05/1998 - 01/05/1999	FORTIS INVESTORS, INC.	CRD# 421	OAKDALE, MN
B	08/18/1995 - 05/22/1998	STRONG FUNDS DISTRIBUTORS, INC.	CRD# 15658	MENOMONEE FALLS, W

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	City National Bank	Employee of an affiliate	Y	Denver, CO, United States
06/2011 - Present	RBC CAPITAL MARKETS, LLC	Registered Representative	Y	DENVER, CO, 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) NAME OF ENTITY: BADGER95;
ADDRESS: PERSONAL RESIDENCE;
NOT INVESTMENT RELATED;
BUSINESS DESCRIPTION: REAL ESTATE LLC;
CAPACITY: OWNER-ACTIVE;
START DATE: 10/2019;
DUTIES: MAKE GENERAL BUY AND SELL RECOMMENDATIONS ON PROPERTIES;
HOURS DEVOTED PER MONTH: 1;
HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0;

2) NAME OF ENTITY: National Kidney Foundation
ADDRESS: 30 E 33rd Street NY, NY 10016
INVESTMENT/NOT INVESTMENT RELATED: No
BUSINESS DESCRIPTION: Kidney disease
START DATE: 04.15.24
CAPACITY: Committee/Council Member



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DUTIES: Help direct the golf committee to produce a productive and profitable golf tournament

HOURS DEVOTED PER MONTH: 3

HOURS DEVOTED DURING SECURITIES HOURS PER MONTH: 0



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RBC Capital Markets, LLC
Allegations:	Client alleged that Registered Representative executed trades without her authorization, and her portfolio underperformed against benchmarks. Time frame is 2/24/15 to 9/17/19.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$189,590.00
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:	09/17/2019
Complaint Pending?	No
Status:	Denied
Status Date:	04/27/2020
Settlement Amount:	
Individual Contribution Amount:	

**Disclosure 2 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY

Allegations: CLIENTS ALLEGE MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS RESULTING IN DAMAGES.

Product Type: Debt-Corporate

Alleged Damages: \$700,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION ARBITRATION

Docket/Case #: 13-00082

Filing date of arbitration/CFTC reparation or civil litigation: 01/09/2013

Customer Complaint Information

Date Complaint Received: 01/22/2013

Complaint Pending? No

Status: Settled

Status Date: 01/24/2014

Settlement Amount: \$400,000.00

Individual Contribution Amount: \$0.00

Firm Statement IN ORDER TO SETTLE ANY AND ALL LIABILITY WITH RESPECT TO THE CLIENT'S ALLEGATIONS, AND WITHOUT ADMITTED LIABILITY, ZIEGLER AGREED TO PAY, AND CLIENT ACCEPTED, THE SUM OF \$400,000.00.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY

Allegations: CLIENTS ALLEGE MISREPRESENTATION AND UNSUITABLE INVESTMENT RECOMMENDATIONS RESULTING IN DAMAGES.

Product Type: Debt-Corporate

Alleged Damages: \$700,000.00

Is this an oral complaint? No

Is this a written complaint? No



Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION ARBITRATION

Docket/Case #: 13-00082

Filing date of arbitration/CFTC reparation or civil litigation: 01/09/2013

Customer Complaint Information

Date Complaint Received: 01/22/2013

Complaint Pending? No

Status: Settled

Status Date: 01/24/2014

Settlement Amount: \$400,000.00

Individual Contribution Amount: \$0.00

Broker Statement IN ORDER TO SETTLE ANY AND ALL LIABILITY WITH RESPECT TO THE CLIENT'S ALLEGATIONS, AND WITHOUT ADMITTED LIABILITY, ZIEGLER AGREED TO PAY AND CLIENT ACCEPTED, THE SUM OF \$400,000.00.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY

Allegations: CLIENT IS ALLEGING AN INVESTMENT RECOMMENDED/SOLD TO THEM WAS UNSUITABLE AND OUTSIDE THEIR RISK TOLERANCE.

Product Type: Other: ERICKSON REG D PRIVATE PLACEMENT

Alleged Damages: \$125,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION

Docket/Case #: 12-03553

Filing date of arbitration/CFTC reparation or civil litigation: 10/05/2012

Customer Complaint Information

Date Complaint Received: 11/08/2012

Complaint Pending? No



Status: Settled
Status Date: 08/15/2013
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00
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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY
Allegations: CLIENT IS ALLEGING AN INVESTMENT RECOMMENDED/SOLD TO THEM WAS UNSUITABLE AND OUTSIDE THEIR RISK TOLERANCE.
Product Type: Other: ERICKSON REG D PRIVATE PLACEMENT
Alleged Damages: \$125,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA DISPUTE RESOLUTION
Docket/Case #: 12-03553
Filing date of arbitration/CFTC reparation or civil litigation: 10/05/2012

Customer Complaint Information

Date Complaint Received: 11/08/2012
Complaint Pending? No
Status: Settled
Status Date: 08/15/2013
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: B.C. ZIEGLER AND COMPANY
Allegations: CLIENT IS ALLEGING LOSSES TO THEIR INVESTMENT PORTFOLIO DUE TO NEGLIGENCE, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION, BREACH OF CONTRACT AND FRAUD.
Product Type: Other: ERICKSON REG D PRIVATE PLACEMENT



Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA DISPUTE RESOLUTION

Docket/Case #: 12-03140

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/27/2012

Customer Complaint Information

Date Complaint Received: 09/10/2012

Complaint Pending? No

Status: Settled

Status Date: 08/06/2013

Settlement Amount: \$42,500.00

**Individual Contribution
Amount:** \$0.00

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Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** B.C. ZIEGLER AND COMPANY

Allegations: CLIENT IS ALLEGING LOSSES TO THEIR INVESTMENT PORTFOLIO DUE TO NEGLIGENCE, BREACH OF FIDUCIARY DUTY, NEGLIGENT SUPERVISION, BREACH OF CONTRACT AND FRAUD.

Product Type: Other: ERICKSON REG D PRIVATE PLACEMENT

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA DISPUTE RESOLUTION

Docket/Case #: 12-03140

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/27/2012

Customer Complaint Information

Date Complaint Received: 09/10/2012



Complaint Pending?	No
Status:	Settled
Status Date:	08/06/2013
Settlement Amount:	\$42,500.00
Individual Contribution Amount:	\$0.00



End of Report

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