IAPD Report

GREGG RANDALL FORTUNE

CRD# 2701163

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

GREGG RANDALL FORTUNE (CRD# 2701163)

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 **02/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC ADVISORY SERVICES, LLC	CRD# 171070	11/08/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	ARBOR POINT ADVISORS	165127	WEST BLOOMFIELD, MI	10/03/2019 - 11/08/2024
IA	SECURITIES AMERICA ADVISORS, INC.	110518	NAPLES, FL	12/08/2011 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	PALM BEACH GARDENS, FL	11/12/2002 - 06/14/2024

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	9

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

Employment 1 of 2

Firm Name: **OSAIC ADVISORY SERVICES, LLC**

Main Address: 2300 WINDY RIDGE PARKWAY
SUITE 750
ATLANTA, GA 30339

Firm ID#: 171070

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	11/08/2024
IA	Illinois	Investment Adviser Representative	Approved	09/10/2025
IA	Michigan	Investment Adviser Representative	Approved	11/08/2024

Branch Office Locations

OSAIC ADVISORY SERVICES, LLC
6960 Orchard Lake Road
Suite 120
West Bloomfield, MI 48322

Employment 2 of 2

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	Alabama	Agent	Approved	06/14/2024
B	Arizona	Agent	Approved	06/14/2024
B	California	Agent	Approved	06/14/2024
B	Colorado	Agent	Approved	06/14/2024
B	Florida	Agent	Approved	06/14/2024
IA	Florida	Investment Adviser Representative	Approved	06/14/2024
B	Georgia	Agent	Approved	06/14/2024
B	Illinois	Agent	Approved	06/14/2024
B	Indiana	Agent	Approved	06/14/2024
B	Iowa	Agent	Approved	06/14/2024
B	Kansas	Agent	Approved	06/14/2024
B	Michigan	Agent	Approved	06/14/2024
IA	Michigan	Investment Adviser Representative	Approved	06/14/2024
B	Nevada	Agent	Approved	06/14/2024
B	New Jersey	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	North Carolina	Agent	Approved	06/14/2024
B	Oklahoma	Agent	Approved	06/14/2024
B	Pennsylvania	Agent	Approved	06/14/2024

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024
B	Texas	Agent	Approved	06/14/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
6960 ORCHARD LAKE ROAD
SUITE 120
WEST BLOOMFIELD, MI 48322

OSAIC WEALTH, INC.
11300 US Hwy 1
Ste. 401
PALM BEACH GARDENS, FL 33408

OSAIC WEALTH, INC.
2 MIDAMERICA PLAZA
STE 750
OAKBROOK TERRACE, IL 60181

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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	03/11/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/28/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/30/1996

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

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	10/03/2019 - 11/08/2024	ARBOR POINT ADVISORS	CRD# 165127	WEST BLOOMFIELD, MI
IA	12/08/2011 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	NAPLES, FL
B	11/12/2002 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	PALM BEACH GARDEN:
IA	03/05/2018 - 11/13/2019	CEDAR BROOK GROUP	CRD# 290670	WEST BLOOMFIELD, MI
IA	09/07/2007 - 05/24/2012	THE PROFESSIONAL ADVISOR GROUP, LLC	CRD# 124353	WEST BLOOMFIELD, MI
IA	01/22/1999 - 11/12/2002	FSC SECURITIES CORPORATION	CRD# 7461	FARMINGTON HILLS, M
B	08/28/1997 - 11/12/2002	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	01/31/1996 - 08/28/1997	LUTHERAN BROTHERHOOD SECURITIES CORP.	CRD# 4205	MINNEAPOLIS, MN

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
11/2024 - Present	OSAIC ADVISORY SERVICES, LLC	Mass Transfer	Y	ATLANTA, GA, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	PALM BEACH GARDENS, FL, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	PALM BEACH GARDENS, FL, United States
12/1998 - Present	THE PROFESSIONAL ADVISOR GROUP, LLC	MANAGING MEMBER/INVESTMENT ADVISOR REPRESENTATIVE	Y	WEST BLOOMFIELD, MI, United States
09/2019 - 11/2024	ARBOR POINT ADVISORS	IAR	Y	WEST BLOOMFIELD, MI, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2011 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	WEST BLOOMFIELD, MI, United States
11/2002 - 06/2024	SECURITIES AMERICA, INC	REGISTERED REPRESENTATIVE	Y	WEST BLOOMFIELD, MI, United States
02/2018 - 11/2019	CEDAR BROOK FINANCIAL PARTNERS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WEST BLOOMFIELD, MI, 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. SECURITIES AMERICA, INC.
INVESTMENT-RELATED - WEST BLOOMFIELD, MI - BROKER-DEALER - REGISTERED REPRESENTATIVE - 11/2002 - APPROX 20 HRS/MONTH (APPROX 20 HRS/MONTH DURING TRADING HRS) - GENERAL SECURITIES REPRESENTATIVE.

2. Gregg Fortune
refer clients to Premier Trust - Start date: 01/01/2013 - Located at: 6960 orchard lake rd, West Bloomfield, MI 48322

3. ARBOR POINT ADVISORS
POSITION: IAR NATURE: Advisory business through an RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 10/01/2019 ADDRESS: 6960 orchard lake road, Suite 120, W Bloomfield MI 48322 DESCRIPTION: Advisory and fee related business for clients.

4. 3G FINANCIAL
POSITION: agent NATURE: insurance sales INVESTMENT RELATED: No NUMBER OF HOURS: 15 SECURITIES TRADING HOURS: 15 START DATE: 10/01/2019 ADDRESS: 6960 Orchard Lake Rd, Suite 120, W Bloomfield MI 48322 DESCRIPTION: insurance sales-fixed

5. 3G FINANCIAL
POSITION: owner/member NATURE: SECURITIES AMERICA ADVISORS, INC. - INVESTMENT ADVISOR - INVESTMENT ADVISOR REPRESENTATIVE INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 12/01/2011 ADDRESS: 6960 Orchard Lake Rd, W Bloomfield MI 48322 DESCRIPTION: advisory business

6. GREGG R FORTUNE
POSITION: teacher NATURE: GREGG R FORTUNE/TEACH CFP COURSES--ADJUNCT FACULTY - 5% TIME SPENT INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 0 START DATE: 11/10/2016 ADDRESS: 12790 Cypress Cape Circle, 203, Fort Myers FL 33966 DESCRIPTION: Teach the CFP program at local colleges when available.

7. OSAIC ADVISORY SERVICES
POSITION: IAR NATURE: Advisory business through an RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 10/01/2019

Registration & Employment History

OTHER BUSINESS ACTIVITIES

ADDRESS: 6960 orchard lake road, Suite 120, W Bloomfield MI 48322, United States
DESCRIPTION: Advisory and fee related business for clients.

8. ADVANCED PLANNING EDUCATION GROUP
POSITION: Managing Director NATURE: S-Corporation INVESTMENT RELATED: No NUMBER OF HOURS: 8 SECURITIES TRADING HOURS: 8 START DATE: 01/02/2026
ADDRESS: 6960 orchard lake rd, WEST BLOOMFIELD MI 48322, United States
DESCRIPTION: I help teach classes and enrich education in the financial planning business industry. We connect with B/Ds and agencies to help educate their advisors

10. GCG WEALTH MANAGEMENT
POSITION: Financial Planner NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 80 START DATE: 01/01/2026
ADDRESS: 1415 Vantage Park Dr #25, Charlotte NC 28207, United States
DESCRIPTION: Financial planning, Securities, Insurance

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	9

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 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Securities America, Inc.
Allegations:	Suitability allegations regarding allocation of investment portfolio.
Product Type:	Other: Advisory Account
Alleged Damages:	$16,434.58
Alleged Damages Amount Explanation (if amount not exact):	Client demands return of advisory fees of $16,434.58 since inception, plus the fluctuating difference in actual investment portfolio versus a hypothetical investment portfolio.
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:	11/16/2020
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/03/2021
Settlement Amount:	
Individual Contribution	

Amount:

Disclosure 2 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA INC
Allegations:	CLIENT ALLEGES THAT HER PURCHASE OF PROVIDENT ASSET MANAGEMENT SHALE ROYALTIES 20 WAS AN UNSUITABLE INVESTMENT.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$1,717,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT IS REQUESTING AN AMOUNT BETWEEN $1,000,000.00 AND $1,717,000.00
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:	01/13/2015
Complaint Pending?	No
Status:	Denied
Status Date:	02/02/2015
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	THIS WAS WRITTEN COMPLAINT NOT A COURT ACTION
Name of Court:	
Location of Court:	
Docket/Case #:	
Date Notice/Process Served:	
Litigation Pending?	
Broker Statement	THE COURT ORDERED THAT ALL RELEASED CLAIMS WERE DISMISSED WITH PREJUDICE AND THE RELEASES' WERE RELEASED FROM ANY AND ALL LIABILITY AS TO THE RELEASED CLAIMS. FURTHER, THE SETTLEMENT AGREEMENT DEFINED RELEASES TO INCLUDE SETTLING MY INTERESTS, INCLUDING THOSE OF MY FIRM, SECURITIES AMERICA, INC. AND ALONG WITH EACH OF THEIR CURRENT AND FORMER REGISTERED REPRESENTATIVES WHICH INCLUDES ME. THIS CLAIMS HAS NO DEFENSIBLE BASIS FOR THE COMPLAINT AGAINST ME OR THE FIRM.

Disclosure 3 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL AND PROVIDENT SHALE, CLAIMANTS ALLEGE UNSUITABILITY AND MISREPRESENTATIONS.
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	$125,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-00454
Filing date of arbitration/CFTC reparation or civil litigation:	01/27/2011

Customer Complaint Information

Date Complaint Received:	02/14/2011
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$58,024.26
Individual Contribution Amount:	$0.00
Broker Statement	GREGG R. FORTUNE IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 4 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES MISREPRESENTATIONS, UNSUITABILITY AND OVER-CONCENTRATION.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$200,000.00

Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-04185
Filing date of arbitration/CFTC reparation or civil litigation:	09/16/2010

Customer Complaint Information

Date Complaint Received:	09/30/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$92,838.81
Individual Contribution Amount:	$0.00
Broker Statement	GREGG R. FORTUNE IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 5 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANT ALLEGES UNSUITABILITY, MISREPRESENTATION AND VIOLATIONS OF NASD CONDUCT RULES.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$158,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-03693
Filing date of arbitration/CFTC reparation or civil litigation:	08/13/2010

Customer Complaint Information

Date Complaint Received:	08/27/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$73,342.66
Individual Contribution Amount:	$0.00
Broker Statement	GREGG R. FORTUNE IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 6 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL CLAIMANT ALLEGES UNSUITABILITY, INAPPROPRIATE ASSET ALLOCATION AND NEGLIGENCE.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-02819
Filing date of arbitration/CFTC reparation or civil litigation:	06/15/2010

Customer Complaint Information

Date Complaint Received:	06/28/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$96,699.58
Individual Contribution Amount:	$0.00
Broker Statement	GREGG R. FORTUNE IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY

SECURITIES AMERICA, INC. 05/07/2012: SECURITIES AMERICA SETTLED THE CLIENT'S FINAL REMAINING CLAIM FOR $3,860.77. GREGG FORTUNE WAS NOT ASKED TO, NOR DID HE, CONTRIBUTE TO EITHER SETTLEMENT.

Disclosure 7 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	IN CONNECTION WITH THE RECOMMENDATION AND SALE OF MEDICAL CAPITAL, CLAIMANTS ALLEGE MISREPRESENTATION, UNSUITABILITY, NEGLIGENCE, AND BREACH OF FIDUCIARY DUTY.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$1,100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-01734
Filing date of arbitration/CFTC reparation or civil litigation:	04/09/2010

Customer Complaint Information

Date Complaint Received:	04/23/2010
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2011
Settlement Amount:	$510,613.47
Individual Contribution Amount:	$0.00
Broker Statement	GREGG R. FORTUNE IS NOT A NAMED RESPONDENT IN THIS MATTER. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

Disclosure 8 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLAIMANT ALLEGES INVESTMENTS IN MEDICAL CAPITAL AND PROVIDENT SHALE WERE FRAUDULENT AND UNSUITABLE. ALLEGATIONS INCLUDE NEGLIGENCE, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY,

	FRAUD, AND NEGLIGENT MISREPRESENTATION.
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Oil & Gas
Alleged Damages:	$750,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-06715
Date Notice/Process Served:	12/30/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/29/2011
Monetary Compensation Amount:	$162,467.92
Individual Contribution Amount:	$0.00
Broker Statement	THE CLAIMANT'S INVESTMENTS WERE SUITABLE FOR HER NEEDS AND EXPERIENCE. SHE IS AN EXPERIENCED, ACCREDITED INVESTOR WHO HELD A PORTFOLIO FOR MANY YEARS WHICH INCLUDED INDIVIDUAL STOCKS. THE CURRENT SEC ALLEGATIONS ON TWO OF HER INVESTMENTS HAVE CAUSED CONCERN FOR THE CLIENT. I HAVE NOT BREACHED ANY FIDUCIARY DUTY AND THERE WAS NO WRONGDOING. 10/04/2011: THE PORTION OF THIS CLAIM RELATING TO MEDICAL CAPITAL & PROVIDENT SHALE WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC. CLAIMS CONCERNING ADDITIONAL PRODUCTS CONTINUE AT THIS TIME. 1/08/2012: GREGG FORTUNE WAS DISMISSED FROM THIS MATTER WITH PREJUDICE.

Disclosure 9 of 9

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	CLAIMANT ALLEGES THAT REPRESENTATIVE SOLD HIM UNSUITABLE INVESTMENTS IN MEDICAL CAPITAL. ALLEGATIONS INCLUDE MISREPRESENTATION AND BREACH OF FIDUCIARY DUTY.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$225,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	
Status:	
Status Date:	11/18/2009

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-06276
Date Notice/Process Served:	11/18/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/29/2011
Monetary Compensation Amount:	$104,443.66
Individual Contribution Amount:	$0.00
Broker Statement	THE CLAIMANT'S INVESTMENTS WERE SUITABLE FOR HIS NEEDS AND EXPERIENCE. HE IS A VERY SOPHISTICATED, ACCREDITED INVESTOR WITH A GOOD UNDERSTANDING OF THE INVESTMENTS HE PURCHASED. HE REPEATEDLY BOUGHT THE SAME SECURITY OVER THE YEARS. THE CURRENT SEC ALLEGATIONS ON THE INVESTMENT HAVE CAUSED CONCERNS FOR THE CLIENT AND HE MADE IT CLEAR HE DID NOT HOLD ME RESPONSIBLE. I HAVE NOT BREACHED ANY FIDUCIARY DUTY AND THERE WAS NO WRONGDOING. 10/04/2011: THIS CLAIM WAS PART OF A GLOBAL SETTLEMENT BY SECURITIES AMERICA, INC.

End of Report

This page is intentionally left blank.