



IAPD Report

HENRY MARTIN KLAUSMAN

CRD# 271217

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

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

HENRY MARTIN KLAUSMAN (CRD# 271217)

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 **05/14/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE KLAUSMAN GROUP	CRD# 286505	01/30/2017

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	TRIAD ADVISORS, INC.	25803	Marietta, GA	07/20/2016 - 01/05/2017
B	TRIAD ADVISORS, INC.	25803	Marietta, GA	07/19/2016 - 01/05/2017
IA	PEACHTREE CAPITAL TAX AND ADVISORY, LLC	158729	ATLANTA, GA	03/02/2016 - 08/19/2016

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	10




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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **THE KLAUSMAN GROUP**
Main Address: ATLANTA, GA
Firm ID#: 286505

Regulator	Registration	Status	Date
 Georgia	Investment Adviser Representative	Approved	01/30/2017

Branch Office Locations

THE KLAUSMAN GROUP
ATLANTA, GA



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
General Securities Principal Examination (S24)	Series 24	08/28/1986

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	01/05/2017
Registered Representative Examination (S1)	Series 1	09/14/1966

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	02/07/1995

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	07/20/2016 - 01/05/2017	TRIAD ADVISORS, INC.	CRD# 25803	Marietta, GA
B	07/19/2016 - 01/05/2017	TRIAD ADVISORS, INC.	CRD# 25803	Marietta, GA
IA	03/02/2016 - 08/19/2016	PEACHTREE CAPITAL TAX AND ADVISORY, LLC	CRD# 158729	ATLANTA, GA
B	11/03/2015 - 08/19/2016	PEACHTREE CAPITAL CORPORATION	CRD# 25590	ATLANTA, GA
B	08/19/1998 - 11/02/2015	TRIAD ADVISORS, INC.	CRD# 25803	MARIETTA, GA
B	01/30/1995 - 08/18/1998	CAYE & CO., SECURITIES BROKERAGE	CRD# 21286	ROSWELL, GA
B	05/02/1990 - 01/26/1995	INVESTTECH CAPITAL CORPORATION	CRD# 18456	BIRMINGHAM, AL
B	11/19/1989 - 04/27/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/06/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	08/12/1985 - 03/19/1987	SBL PLANNING, INC.	CRD# 4315	
B	08/06/1986 - 01/29/1987	PLANVEST CAPITAL CORPORATION	CRD# 14849	
B	08/12/1985 - 09/15/1986	SECURITY DISTRIBUTORS, INC.	CRD# 3336	
B	02/07/1985 - 08/22/1986	PILOT FINANCIAL SERVICES, INC.	CRD# 7838	
B	04/12/1980 - 02/19/1985	FSC SECURITIES CORPORATION	CRD# 7461	
B	03/10/1977 - 05/21/1980	WEINRICH, ZITZMANN & WHITEHEAD, INC.	CRD# 5717	
B	11/27/1973 - 04/02/1977	ETI INVESTMENT CORPORATION	CRD# 6288	
B	03/19/1973 - 12/01/1973	CG EQUITY SALES COMPANY	CRD# 145	



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	10/27/1970 - 04/07/1973	SHANKER AND COMPANY	CRD# 1000003	

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
07/2016 - Present	Triad Advisors, Inc.	Registered Representative/Investment Advisor Representative	Y	Norcross, GA, United States
12/2015 - 07/2016	Peachtree Capital Tax and Advisory	Investment Advisor Representative	Y	Atlanta, GA, United States
11/2015 - 07/2016	Peachtree Capital Corporation	Registered Representative	Y	Atlanta, GA, 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)H.M. Klausman;not investment related;874 Hyde Road,Marietta,GA 30068;tax and accounting;proprietor;1966;10 hrs/month;less than 1 hr during trading;accounting and tax work
- 2)H.M. Klausman;not investment related;874 Hyde Road,Marietta,GA 30068;insurance appointment with multiple carriers;proprietor;1966;5 hrs/month;less than 1 hr during trading;sales and servicing of 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
Regulatory Event	1
Customer Dispute	10

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: SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/30/1977

Docket/Case Number: Unknown

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

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Consent

Resolution Date: 02/19/1980

Sanctions Ordered: Suspension

Other Sanctions Ordered:

Sanction Details:

Regulator Statement 3-4-80 ND 80-44 REL. 34-16585: KLAUSMAN CONSENTED TO AN ORDER



WHICH SUSPENDED HIM FROM ASSOCIATION WITH ANY B/D OR INVESTMENT ADVISER FOR 30 DAYS. HE WAS FURTHER ORDERED 1) TO PROVIDE EACH INVESTOR IN THE REAL ESTATE LIMITED PARTNERSHIPS SYNDICATED BY HIM BETWEEN 1972 AND 1974 WITH A DOCUMENT DISCLOSING THE PRICE AT WHICH HE ACQUIRED THE PROPERTY AND THE PRICE THAT THE PARTNERSHIP PAID TO ACQUIRE THE PROPERTY. 2) FOR A PERIOD OF 12 MONTHS NOT TO OFFER FOR SALE OR OTHERWISE PARTICIPATE IN THE DISTRIBUTION OF UNREGISTERED SECURITIES OFFERINGS MADE IN RELIANCE ON SECTION 3(A) (11) OR SECTION 4 (2) OF THE SECURITIES ACT WITHOUT OBTAINING ADVICE OF COUNSEL REGARDING COMPLIANCE WITH THE EXEMPTION.

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Reporting Source:	Individual
Regulatory Action Initiated By:	SEC
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	
Date Initiated:	11/30/1977
Docket/Case Number:	801-12795
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	PRIVATE PLACEMENT REAL ESTATE SYNDICATIONS.
Allegations:	FAILURE TO DISCLOSE IN WRITING MARK UP IN PROPERTY AND STATING INVESTOR'S FUNDS WOULD BE RETURNED IF PROPERTY NOT ACQUIRED BY A SPECIFIED DATE.
Current Status:	Final
Resolution:	Consent
Resolution Date:	02/19/1980
Sanctions Ordered:	Suspension
Other Sanctions Ordered:	
Sanction Details:	30 DAY SUSPENSION
Broker Statement	ADMINISTRATIVE PROCEEDINGS ON SOME PRIVATE PLACEMENT REAL ESTATE SYNDICATIONS DONE IN 1972 AND 1973. WITHOUT ADMITTING OR DENYING ANY ALLEGATIONS, SEC AND I AGREED ON A SETTLEMENT ONLY INVOLVING A 30 DAY SUSPENSION. SEE SEC FILE NO. 801-12795



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 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PeachCap Securities, Inc. & PeachCap Tax & Advisory LLC
Allegations:	Claimant alleges sales practice violations including unauthorized trading, unsuitable investments, and misrepresentations and omissions.
Product Type:	Other: managed accounts
Alleged Damages:	\$48,496.70
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 #:	20-01456
Filing date of arbitration/CFTC reparation or civil litigation:	05/11/2020

Customer Complaint Information

Date Complaint Received:	05/18/2020
Complaint Pending?	No
Status:	Denied
Status Date:	05/10/2021
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PeachCap Securities, Inc. & PeachCap Tax & Advisory LLC
Allegations:	Claimants allege sales practice violations including unauthorized trading, unsuitable investments, and misrepresentations and omissions.
Product Type:	Other: managed accounts



Alleged Damages: \$48,993.00

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 #: 20-01540

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 05/11/2020

Customer Complaint Information

Date Complaint Received: 05/11/2020

Complaint Pending? No

Status: Denied

Status Date: 02/26/2021

Settlement Amount: \$0.00

**Individual Contribution
Amount:**

Disclosure 3 of 10

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** PeachCap Securities, Inc. & PeachCap Tax & Advisory, LLC

Allegations: Customer alleges sales practice violations in relation to their managed accounts from October 2015 to December 2016.

Product Type: Other: Managed accounts

Alleged Damages: \$22,009.49

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 #: 20-00402

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 02/05/2020

Customer Complaint Information

Date Complaint Received: 02/11/2020



Complaint Pending? No
Status: Denied
Status Date: 03/02/2021
Settlement Amount: \$0.00
Individual Contribution Amount:

Disclosure 4 of 10

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PeachCap Tax & Advisory, LLC and PeachCap Securities, Inc.
Allegations: Customers allege multiple sales practice violations in relation to their managed accounts from October 2015 to January 2017.
Product Type: Other: managed accounts
Alleged Damages: \$49,954.00
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 #: 20-00041
Filing date of arbitration/CFTC reparation or civil litigation: 01/15/2020

Customer Complaint Information

Date Complaint Received: 01/22/2020
Complaint Pending? No
Status: Denied
Status Date: 06/05/2020
Settlement Amount: \$0.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 10

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PeachCap Securities, Inc. & PeachCap Tax & Advisory, LLC
Allegations: Claimant alleges sales practice violations related to mismanagement of their accounts.



Product Type: Other: managed accounts

Alleged Damages: \$27,936.14

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 #: 19-03552

Filing date of arbitration/CFTC reparation or civil litigation: 12/02/2019

Customer Complaint Information

Date Complaint Received: 12/12/2019

Complaint Pending? No

Status: Settled

Status Date: 03/03/2021

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PeachCap Securities, Inc. & PeachCap Tax & Advisory, LLC

Allegations: Claimant alleges sales practice violations related to mismanagement of their accounts.

Product Type: Other: managed accounts

Alleged Damages: \$49,551.00

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 #: 19-03747

Filing date of arbitration/CFTC reparation or civil litigation: 12/26/2019

Customer Complaint Information



Date Complaint Received: 01/03/2020

Complaint Pending? No

Status: Denied

Status Date: 06/18/2020

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PeachCap Securities, Inc

Allegations: Customer alleged multiple sales practice violations.

Product Type: Equity Listed (Common & Preferred Stock)
Other: Mismanaged accounts

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): Unable to determine full amount, but over \$5000.

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: 03/22/2019

Complaint Pending? No

Status: Denied

Status Date: 10/14/2020

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Firm Statement PeachCap investigated the claims and determined they were without merit.

Disclosure 8 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PeachCap Securities Inc, PeachCap Tax & Advisory LLC

Allegations: Allegation that investments were mismanaged.

Product Type: Equity Listed (Common & Preferred Stock)



Alleged Damages: \$43,541.00

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 #: 19-03001

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 10/24/2019

Customer Complaint Information

Date Complaint Received: 10/28/2018

Complaint Pending? No

Status: Denied

Status Date: 07/13/2020

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 9 of 10

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** PeachCap Securities Inc, PeachCap Tax & Advisory LLC

Allegations: Allegation that investments were mismanaged.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Mismanaged Investments-Claimed over 5,000 dollars - could not determine total figure based on claim.

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 #: 20-02276

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/07/2020

Customer Complaint Information



Date Complaint Received: 07/28/2018

Complaint Pending? No

Status: Denied

Status Date: 01/21/2021

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Disclosure 10 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Peachtree Capital Corporation

Allegations: The clients have alleged misrepresentation of fee arrangements, mismanagement of accounts, failure to diversify investments and a breach of fiduciary duty, and unsuitable investments.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$200,000.00

Alleged Damages Amount Explanation (if amount not exact): Each client has alleged damages for investment advisory fees, account and platform fees, ticket charges of \$25 each, and other investment losses. These fees ranged from \$2,000 to \$20,000.

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: 09/01/2018

Complaint Pending? No

Status: Denied

Status Date: 07/17/2020

Settlement Amount:

Individual Contribution Amount:



End of Report

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