



IAPD Report

MARIO R PELOSI

CRD# 2775070

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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

MARIO R PELOSI (CRD# 2775070)

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 **01/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TIME INVESTMENTS, LLC	CRD# 134313	01/03/2007

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	GLASGOW PARTNERS, LLC	139607	HUNTINGDON VALLEY, PA	02/18/2011 - 01/25/2024
IA	H&R BLOCK FINANCIAL ADVISORS, INC.	5979	JENKINTOWN, PA	07/31/2003 - 01/25/2005

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	7
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TIME INVESTMENTS, LLC**
Main Address: HUNTINGDON VALLEY, PA
Firm ID#: 134313

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	01/03/2007

Branch Office Locations

TIME INVESTMENTS, LLC
HUNTINGDON VALLEY, PA



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/25/2002
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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	02/18/2011 - 01/25/2024	GLASGOW PARTNERS, LLC	CRD# 139607	HUNTINGDON VALLEY,
IA	07/31/2003 - 01/25/2005	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	JENKINTOWN, PA

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
01/2007 - Present	TIME INVESTMENTS LLC	MANAGER	Y	HUNTINGDON VALLEY, PA, 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.

No information reported.



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	7
Termination	1

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 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGES UNSUITABILITY, UNAUTHORIZED TRANSACTIONS, CHURNING, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, VIOLATION OF PENNSYLVANIA AND NEW YORK CONSUMER PROTECTION ACTS, AND NEGLIGENCE. THE TIME PERIOD INVOLVED IS BETWEEN 1999 AND 2004.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/08/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/05/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 06-05392

Date Notice/Process Served: 01/05/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/29/2007

Monetary Compensation Amount: \$49,900.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H & R BLOCK FINANCIAL ADVISORS

Allegations: CUSTOMER ALLEGES ACCOUNT MISMANAGEMENT AND INAPPROPRIATE, UNSPECIFIED TRANSACTIONS. THE ALLEGED ACTIVITIES OCCURRED BETWEEN 1999 AND 2004.

Product Type: Equity - OTC

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 06/08/2005

Complaint Pending? No

Status: Denied

Status Date: 08/09/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMERS ALLEGE UNSUITABILITY, CHURNING, UNAUTHORIZED TRADING, MISREPRESENTATION AND INAPPROPRIATE MARGIN USE IN CONNECTION WITH TRANSACTIONS OCCURRING BETWEEN 1996 AND 2004.

Product Type: Equity - OTC

Alleged Damages: \$7,000,000.00

Customer Complaint Information

Date Complaint Received: 04/19/2005



Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/19/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 05-01808

Date Notice/Process Served: 04/19/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/27/2006

Monetary Compensation Amount: \$600,000.00

Individual Contribution Amount: \$0.00

Firm Statement TAKING INTO CONSIDERATION THE AMOUNT INVOLVED TOGETHER WITH THE UNCERTAINTIES AND COSTS ASSOCIATED WITH PROCEEDING WITH ARBITRATION, THE PARTIES AGREED TO SETTLE THE MATTER.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS

Allegations: CUSTOMER ALLEGES UNSUITABILITY, CHURNING, UNAUTHORIZED TRADING, MISREPRESENTATION AND INAPPROPRIATE MARGIN USE IN CONNECTION WITH TRANSACTIONS OCCURRING BETWEEN 1996 AND 2004

Product Type: Equity - OTC

Alleged Damages: \$7,000,000.00

Customer Complaint Information

Date Complaint Received: 04/19/2005

Complaint Pending? No

Status: Settled

Status Date: 04/19/2005

Settlement Amount: \$600,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 05-01808



Date Notice/Process Served: 04/19/2005
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/27/2006
Monetary Compensation Amount: \$600,000.00
Individual Contribution Amount: \$0.00
Broker Statement I DID NOT PARTICIPATE IN THE DECISION TO SETTLE AND DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 3 of 7

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.
Allegations: CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABILITY IN CONNECTION WITH MUTUAL FUND PURCHASED IN MAY 2004.
Product Type: Mutual Fund
Alleged Damages: \$25,000.00
Alleged Damages Amount Explanation (if amount not exact): THE DAMAGE AMOUNT WAS UNSPECIFIED HOWEVER A GOOD FAITH DETERMINATION MADE BELIEVED TO BE APPROXIMATELY \$25000.00
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: 10/01/2004
Complaint Pending? No
Status: Settled
Status Date: 09/28/2005
Settlement Amount: \$30,000.00
Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD
Docket/Case #: 06-02474
Date Notice/Process Served: 07/18/2006
Arbitration Pending? No



Disposition: Settled

Disposition Date: 05/29/2009

Monetary Compensation Amount: \$30,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: COURT OF COMMON PLEAS

Location of Court: PHILADELPHIA COUNTY, PENNSYLVANIA

Docket/Case #: 001134

Date Notice/Process Served: 09/28/2005

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 11/18/2005

Firm Statement LITIGATION DISMISSED ON 11/18/2005; CUSTOMER SUBSEQUENTLY SERVED ARBITRATION CLAIM ON 07/18/2006.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGES NON-DISCLOSURE OF FEES IN CONNECTION WITH 5/10/2004 PURCHASE OF MUTUAL FUND.

Product Type: Mutual Fund(s)

Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 10/01/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/2004

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #06-02474
COURT OF COMMON PLEAS, PHILADELPHIA COUNTY, PENNSYLVANIA CASE NO. 001134

Date Notice/Process Served: 10/01/2004

Arbitration Pending? Yes



Disposition:

Disposition Date: 10/01/2004

Monetary Compensation Amount: \$0.00

Individual Contribution Amount: \$0.00

Broker Statement: LITIGATION DISMISSED ON 11/18/2005; CUSTOMER SUBSEQUENTLY SERVED ARBITRATION CLAIM ON 07/18/2006.

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGED EXCESSIVE TRADING, DISCRETIONARY TRADING, UNSUITABILITY, INAPPROPRIATE MARGIN USE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, VIOLATION OF PENNSYLVANIA CONSUMER PROTECTION LAW FROM SEPTEMBER 1998 UNTIL SEPTEMBER 2002.

Product Type: Equity - OTC

Alleged Damages: \$1,250,000.00

Customer Complaint Information

Date Complaint Received: 10/01/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/01/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE CASE NO. 2004-015722

Date Notice/Process Served: 10/01/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/2006

Monetary Compensation Amount: \$395,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGES EXCESSIVE TRADING, DISCRETIONARY TRADING, UNSUITABILITY, INAPPROPRIATE MARGIN USE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, VIOLATION OF PENNSYLVANIA CONSUMER PROTECTION LAW FROM SEPTEMBER 1998 UNTIL SEPTEMBER 2002.

Product Type: Equity - OTC

Alleged Damages: \$1,250,000.00

Customer Complaint Information

Date Complaint Received: 10/01/2004

Complaint Pending? No

Status: Settled

Status Date: 08/01/2006

Settlement Amount: \$395,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NYSE CASE NO. 2004-015722

Date Notice/Process Served: 10/01/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/01/2006

Monetary Compensation Amount: \$395,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DID NOT PARTICIPATE IN THE DECISION TO SETTLE AND DID NOT CONTRIBUTE TO THE SETTLEMENT.

Disclosure 5 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: TWO UNAUTHORIZED SHORT SALES. THE EVENTS OCCURRED IN OCTOBER 2002 AND FEBRUARY 2003.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY - OTC

Alleged Damages: \$50,000.00

Customer Complaint Information



Date Complaint Received: 04/15/2004

Complaint Pending? No

Status: Settled

Status Date: 09/01/2004

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: COURT OF COMMON PLEAS OF MONTGOMERY COUNTY, PENNSYLVANIA
CASE NO. 04-09838

Date Notice/Process Served: 05/17/2004

Litigation Pending? No

Disposition: No Action

Disposition Date: 09/01/2004

Broker Statement I DENY THE ALLEGATIONS OF THE TRANSACTIONS AT ISSUE. THE WERE DONE WITH THE CUSTOMER'S FULL KNOWLEDGE AND AUTHORIZATION. SUBSEQUENT TO RECEIVING A VERBAL COMPLAINT, THE CUSTOMERS FILED A SUMMONS WITH THE COURT SOLELY FOR THE PURPOSE OF TOLLING THE STATUTE OF LIMITATIONS. THE CUSTOMERS DID NOT FILE A COMPLAINT IN THE COURT CASE. I DID NOT PARTICIPATE IN THE FIRM'S DECISION TO SETTLE THE MATTER AND WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 6 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMERS ALLEGE UNSUITABILITY OF UNIT INVESTMENT TRUST PURCHASED ON 02/28/2000. SEEKING RESCISSION OF TRANSACTION.

Product Type: Unit Investment Trust(s)

Alleged Damages: \$14,550.00

Customer Complaint Information

Date Complaint Received: 05/24/2004

Complaint Pending? No

Status: Settled

Status Date: 06/30/2004

Settlement Amount: \$7,300.00

Individual Contribution Amount: \$0.00

Broker Statement THE CUSTOMERS' ALLEGATIONS ARE WITHOUT MERIT. THE TRANSACTION AT ISSUE WAS IN ACCORDANCE WITH THEIR STATED INVESTMENT OBJECTIVES AND STRATEGY. THE CUSTOMERS INITIAL CONTACT WITH



THE FIRM EXPRESSING THEIR CONCERN OCCURRED WELL OVER 4 YEARS FROM THE PURCHASE DATE INDICATING THAT THE INVESTMENT'S DECLINE IN VALUE PROMPTED THE CONTACT. I WAS ADVISED THAT THE FIRM MADE A BUSINESS DECISION TO SETTLE THE MATTER AND AVOID THE COSTS ASSOCIATED WITH ARBITRATION TAKING INTO CONSIDERATION THE AMOUNTS INVOLVED. I DID NOT PARTICIPATE IN THE DECISION TO SETTLE AND WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT.

Disclosure 7 of 7

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGED NEGLIGENCE, UNSUITABILITY AND BREACH OF FIDUCIARY DUTY IN CONNECTION WITH UNSPECIFIED TRANSACTIONS OCCURRING BETWEEN FEBRUARY 2000 AND MAY 2002.

Product Type: Equity - OTC
Other Product Type(s): EQUITY - LISTED
Alleged Damages: \$1,800,000.00

Customer Complaint Information

Date Complaint Received: 04/17/2003
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/17/2003

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 02-05849
Date Notice/Process Served: 04/17/2003
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/15/2005
Monetary Compensation Amount: \$225,000.00
Individual Contribution Amount: \$0.00

Firm Statement TAKING INTO CONSIDERATION THE AMOUNTS INVOLVED TOGETHER WITH THE COSTS AND UNCERTAINTIES WITH PROCEEDING WITH THE ARBITRATION, THE PARTIES AGREED TO SETTLE THE MATTER. MR. PELOSI DID NOT PARTICIPATE IN THE DECISION TO SETTLE AND DID NOT CONTRIBUTE TO THE SETTLEMENT.



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: H&R BLOCK FINANCIAL ADVISORS, INC.

Allegations: CUSTOMER ALLEGES NEGLIGENCE, UNSUITABILITY AND BREACH OF FIDUCIARY DUTY IN CONNECTION WITH UNSPECIFIED TRANSACTIONS OCCURRING BETWEEN FEBRUARY 2000 AND MAY 2002.

Product Type: Equity - OTC

Other Product Type(s): EQUITY - LISTED

Alleged Damages: \$1,800,000.00

Customer Complaint Information

Date Complaint Received: 04/17/2003

Complaint Pending? No

Status: Settled

Status Date: 04/17/2003

Settlement Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NO. 02-05849

Date Notice/Process Served: 04/17/2003

Arbitration Pending? Yes

Monetary Compensation Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Broker Statement I DID NOT PARTICIPATE IN THE DECISION TO SETTLE AND DID NOT CONTRIBUTE TO THE SETTLEMENT.



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:	Glasgow Partners llc
Termination Type:	Discharged
Termination Date:	01/23/2024
Allegations:	Mr. Pelosi failed to provide current Form ADV Part I and Part II Brochure to a new client. Instead, he transmitted Form ADV date November 2008
Product Type:	Other: 401k Retirement Plans



End of Report

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