



IAPD Report

RORIC EUGENE GRIFFITH

CRD# 2783261

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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

RORIC EUGENE GRIFFITH (CRD# 2783261)

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 **04/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRATED FINANCIAL SOLUTIONS, PLLC	CRD# 291326	12/04/2019

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	PRINCIPAL SECURITIES, INC.	1137	WAUWATOSA, WI	11/24/2009 - 11/14/2019
B	PRINCIPAL SECURITIES, INC.	1137	WAUWATOSA, WI	05/12/2005 - 11/14/2019
IA	PRINCOR FINANCIAL SERVICES CORPORATION	1137	WAUWATOSA, WI	05/12/2005 - 11/23/2009

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	2
Customer Dispute	2



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: **INTEGRATED FINANCIAL SOLUTIONS, PLLC**
Main Address: 7115 E. BASELINE RD. STE. 110
MESA, AZ 85209
Firm ID#: 291326

Regulator	Registration	Status	Date
IA Wisconsin	Investment Adviser Representative	Approved	12/04/2019

Branch Office Locations

INTEGRATED FINANCIAL SOLUTIONS, PLLC
Hartford, WI

INTEGRATED FINANCIAL SOLUTIONS, PLLC
11220 W Burleigh, Suite 100
Wauwatosa, WI 53222



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/21/2003
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/30/1997

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	11/20/2002
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/1997

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	11/24/2009 - 11/14/2019	PRINCIPAL SECURITIES, INC.	CRD# 1137	WAUWATOSA, WI
B	05/12/2005 - 11/14/2019	PRINCIPAL SECURITIES, INC.	CRD# 1137	WAUWATOSA, WI
IA	05/12/2005 - 11/23/2009	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	WAUWATOSA, WI
IA	03/16/2005 - 05/12/2005	ON INVESTMENT MANAGEMENT CO	CRD# 105662	BROOKFIELD, WI
B	03/15/2005 - 05/12/2005	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH
B	10/07/1997 - 03/01/2005	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	10/07/1997 - 03/01/2005	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	07/31/1997 - 08/29/1997	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
02/2009 - Present	RG INVESTMENT STRATEGIES	FINANCIAL REPRESENTATIVE	Y	MILWAUKEE, WI, United States
03/2016 - 11/2019	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	WAUWATOSA, WI, United States
05/2005 - 11/2019	PRINCIPAL LIFE INSURANCE	AGENT	Y	MILWAUKEE, WI, 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.

*OUTSIDE INSURANCE. SELLING TERM INSURANCE, FIXED ANNUITIES, P&C, LTC, HEALTH INSURANCE AND EMPLOYEE BENEFITS. EFFECTIVE 9/15/11

*RENTAL PROPERTY; OWNER; 08/01/2016

*CASHEL ACADEMY OF IRISH DANCE, NO, 9205 W CENTER ST WAUWATOSA, WI 53222. CO-PRESIDENT, 2HR/MO, ASSIST IN ORGANIZING EVENTS, 11/2022



Registration & Employment History



OTHER BUSINESS ACTIVITIES



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2

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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/26/2013
Docket/Case Number:	2010025350001
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORPORATION
Product Type:	Mutual Fund Other: DIVIDEND FUNDS; CLOSED END FUNDS
Allegations:	FINRA RULE 2010, NASD RULE 2510: GRIFFITH, WITH THE LACK OF WRITTEN AUTHORIZATION FROM A CUSTOMER AND THE PROHIBITION IN HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES, IMPROPERLY EXERCISED TIME AND PRICE DISCRETION IN THE PURCHASE OF DIVIDEND FUNDS AND DIVIDEND-GENERATING MUTUAL AND CLOSED END FUNDS, IN THE CUSTOMER'S INDIVIDUAL RETIREMENT ACCOUNT (IRA). GRIFFITH ENGAGED IN UNAUTHORIZED TRANSACTIONS IN THE CUSTOMER'S ACCOUNT, AN IRA, WHEN HE PURCHASED 7,145 SHARES OF A DEBT FUND FOR THE CUSTOMER'S ACCOUNT. AT NO TIME DID THE CUSTOMER AUTHORIZE GRIFFITH TO PURCHASE ANY SHARES OF THE DEBT FUND FOR HIS ACCOUNT.
Current Status:	Final
Action Appealed To:	SRO



Date Appeal filed:	07/11/2014
Appeal Limitation Details:	
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/25/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Monetary Sanction 1 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$2,685.77

Portion Levied against individual: \$2,685.77

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

HEARING PANEL DECISION RENDERED JUNE 13, 2014 WHEREIN GRIFFITH IS FINED A TOTAL OF \$10,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSIONS SHALL RUN CONCURRENTLY. THE SANCTIONS WERE BASED ON FINDINGS THAT GRIFFITH EXERCISED DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT



HAVING THE CUSTOMER'S WRITTEN AUTHORIZATION AND HIS MEMBER FIRM'S ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY. THE FINDINGS STATED THAT GRIFFITH'S FIRM PROHIBITED THE EXERCISE OF DISCRETION BY ITS REGISTERED REPRESENTATIVES. GRIFFITH NEVERTHELESS EXERCISED DISCRETION OVER WHEN, AND AT WHAT PRICE, TO PURCHASE SECURITIES FOR THE CUSTOMER'S ACCOUNT. THE FINDINGS ALSO STATED THAT GRIFFITH PURCHASED SHARES FOR THE CUSTOMER'S ACCOUNT WITHOUT AUTHORIZATION FROM THE CUSTOMER. ON JULY 11, 2014, GRIFFITH APPEALED THE DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING THE APPEAL. NAC decision rendered December 22, 2015 wherein the findings made are affirmed and the sanctions imposed by the Hearing Panel are modified. The NAC found that a suspension, in this case, will not protect the public or ensure that Griffith will not make an unauthorized trade again. The NAC fined Griffith \$5,000 for making discretionary trades without written authority, an additional \$5,000 for his unauthorized trading and affirmed the Hearing Panel's order to pay \$2,685.77 in costs. Decision is final on January 25, 2016.

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/26/2013
Docket/Case Number:	2010025350001
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORPORATION
Product Type:	Other: MUTUAL AND CLOSED END FUNDS
Allegations:	FINRA RULE 2010, NASD RULE 2510: GRIFFITH, WITH THE LACK OF WRITTEN AUTHORIZATION FROM A CUSTOMER AND THE PROHIBITION IN HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES, IMPROPERLY EXERCISED TIME AND PRICE DISCRETION IN THE PURCHASE OF DIVIDEND FUNDS, DIVIDEND-GENERATING MUTUAL AND CLOSED END FUNDS, IN THE CUSTOMER'S IRA. GRIFFITH ENGAGED IN UNAUTHORIZED TRANSACTION FOR THE CUSTOMER'S ACCOUNT, AN IRA, WHEN HE PURCHASED 7,145 SHARES OF A DEBT FUND FOR THE CUSTOMER'S ACCOUNT. AT NO TIME DID THE CUSTOMER AUTHORIZE GRIFFITH TO PURCHASE ANY SHARES OF THE DEBT FUND FOR HIS ACCOUNT.
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	07/11/2014
Appeal Limitation Details:	
Resolution:	Decision
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 01/25/2016
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines

Monetary Sanction 1 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$2,685.77

Portion Levied against individual: \$2,685.77

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

HEARING PANEL DECISION RENDERED JUNE 13,2014 WHEREIN GRIFFITH IS FINED A TOTAL OF\$10,000,SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSIONS SHALL RUN CONCURRENTLY.THE SANCTIONS WERE BASED ON FINDINGS THAT GRIFFITH EXERCISED DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT HAVING THE CUSTOMER'S WRITTEN AUTHORIZATION AND HIS MEMBER FIRM'S ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY. THE FINDINGS STATED THAT GRIFFITH'S FIRM PROHIBITED THE EXERCISE OF DISCRETION BY ITS REGISTERED REPRESENTATIVES. GRIFFITH NEVERTHELESS EXERCISED DISCRETION OVER WHEN,AND AT WHAT PRICE,TO PURCHASE SECURITIES FOR THE CUSTOMER'S CCOUNT. THE FINDINGS ALSO STATED THAT GRIFFITH PURCHASED SHARES FOR THE CUSTOMER'S CCOUNT WITHOUT AUTHORIZATION FROM THE CUSTOMER. ON JULY 11,2014,GRIFFITH APPEALED HE DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING THE APPEAL. NAC decision rendered December 22, 2015 wherein the findings made



are affirmed and the sanctions imposed by the Hearing Panel are modified. The NAC found that a suspension, in this case, will not protect the public or ensure that Griffith will not make an unauthorized trade again. The NAC fined Griffith \$5,000 for making discretionary trades without written authority, an additional \$5,000 for his unauthorized trading and affirmed the Hearing Panel's order to pay \$2,685.77 in costs. Decision is final on January 25, 2016.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: WISCONSIN

Sanction(s) Sought: Revocation

Date Initiated: 10/22/2009

Docket/Case Number: NONE

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: PRINCOR FINANCIAL SERVICES CORP

Product Type: No Product

Allegations: DELINQUENT FOR WI STATE TAXES

Current Status: Final

Resolution: NOTICE OF REVOCATION

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 11/23/2009

Sanctions Ordered: Revocation

Regulator Statement WISCONSIN DEPT OF REVENUE CERTIFIED GRIFFITH AS DELINQUENT FOR STATE TAXES. STATUTE REQUIRES REVOCATION AFTER 30 DAYS NOTICE. NOTICE ISSUED 10/22/2009. GRIFFITH FAILED TO RESOLVE HIS DELINQUENCY BY THE DUE DATE OF 11/21/2009. THIS IS NOT A DISCIPLINARY EVENT FOR VIOLATIONS OF ANY SECURITIES LAW. AGENT/RA MAY REAPPLY AFTER RESOLUTION OF TAX DELINQUENCY. WI DEPT OF REVENUE ISSUED OCCUPATIONAL LICENSE CLEARANCE CERTIFICATE DTD 11/24/2009 WHICH REFLECTS AGENT HAS MADE SATISFACTORY ARRANGEMENTS WITH THE DEPT CONCERNING HIS DELINQUENT TAX ACCOUNT.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF WISCONSIN - DEPT OF REVENUE

Sanction(s) Sought: Revocation

Date Initiated: 11/23/2009



Docket/Case Number:	NONE
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORPORATION
Product Type:	No Product
Allegations:	DELINQUENT FOR WI STATE TAXES. THIS WAS ATTEMPTED TO BE RECTIFIED IN OCTOBER PRIOR TO THE ACTION BEING TAKEN.
Current Status:	Final
Resolution:	PAYMENT OF DELINQUENT TAXES
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/24/2009
Sanctions Ordered:	Revocation
Broker Statement	I RECEIVED A NOTICE IN EARLY OCTOBER AND ATTEMPTED TO COMPLY IMMEDIATELY. I RECEIVED NO COMMUNICATION NOTING THIS WAS STILL OUTSTANDING UNTIL YESTERDAY, 11/23/09. I IMMEDIATELY CONTACTED THE STATE AND WAS COMPLIANT WITHIN 20 HOURS OF NOTIFICATION.



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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORPORATION
Allegations:	INVESTMENT ALLOCATION AND STRATEGY REQUIRED FEATURES OF 401K THAT WERE NOT ALLOWED TO TAKE ADVANTAGE OF AGE 55 SEPARATION RULES. ALLOCATION NOT INVESTED WITH MARKET ORDERS. JULY 2009.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGES ALLEGED
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:	09/10/2009
Complaint Pending?	No
Status:	Settled
Status Date:	02/17/2011
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$100,000.00

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	METLIFE
Allegations:	CLIENT ALLEGES HER PORTFOLIO HAS BEEN SCREWED UP BY FALSE PROMISES, NEGLIGENCE AND GREED AND REQUESTS HER ACCOUNT BE MADE WHOLE.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$9,000.00



Customer Complaint Information

Date Complaint Received: 07/14/2001

Complaint Pending? No

Status: Denied

Status Date: 08/29/2001

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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