IAPD Report

CORY TODD SCHMELZER

CRD# 2822157

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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

User Guidance

www.adviserinfo.sec.gov

Report Summary

CORY TODD SCHMELZER (CRD# 2822157)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023
IA	OSAIC WEALTH, INC.	CRD# 23131	09/01/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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
B	SAGEPOINT FINANCIAL, INC.	133763	SAN DIEGO, CA	10/31/2005 - 09/01/2023
IA	SAGEPOINT FINANCIAL, INC.	133763	SAN DIEGO, CA	10/31/2005 - 09/01/2023
IA	SAN DIEGO WEALTH MANAGEMENT, LLC	155876	SAN DIEGO, CA	04/06/2011 - 09/01/2021

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

Employment 1 of 1

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	09/01/2023
B	FINRA	General Securities Representative	Approved	09/01/2023
B	FINRA	Municipal Securities Principal	Approved	09/01/2023
B	FINRA	Municipal Securities Representative	Approved	09/01/2023
B	Alabama	Agent	Approved	09/01/2023
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	01/08/2026
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Connecticut	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
B	Georgia	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023
B	Iowa	Agent	Approved	03/11/2025
B	Maryland	Agent	Approved	09/01/2023
B	Massachusetts	Agent	Approved	09/01/2023
B	Michigan	Agent	Approved	05/23/2025
B	Montana	Agent	Approved	09/01/2023
B	Nevada	Agent	Approved	09/01/2023
B	New Hampshire	Agent	Approved	09/01/2023
B	New Jersey	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
B	Oklahoma	Agent	Approved	09/01/2023
B	Oregon	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
B	Rhode Island	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	Tennessee	Agent	Approved	09/01/2023

Qualifications

	Regulator	Registration	Status	Date
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Utah	Agent	Approved	09/01/2023
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023
B	Wisconsin	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
6390 GREENWICH DRIVE
SUITE 215
SAN DIEGO, CA 92122

OSAIC WEALTH, INC.
Escondido, CA

Qualifications

PASSED INDUSTRY EXAMS

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

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/13/2005
B	General Securities Principal Examination (S24)	Series 24	09/14/2004

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	09/25/2025
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	10/07/1997
B	General Securities Representative Examination (S7)	Series 7	12/26/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/05/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/03/1997

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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
B	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN DIEGO, CA
IA	10/31/2005 - 09/01/2023	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SAN DIEGO, CA
IA	04/06/2011 - 09/01/2021	SAN DIEGO WEALTH MANAGEMENT, LLC	CRD# 155876	SAN DIEGO, CA
IA	01/21/2004 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	LA JOLLA, CA
B	01/16/2004 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	07/01/2003 - 01/29/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 01/29/2004	WACHOVIA SECURITIES, LLC	CRD# 19616	SAN DIEGO, CA
IA	07/08/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	SAN DIEGO, CA
B	06/27/1997 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/01/1997 - 02/24/1997	RICKEL & ASSOCIATES, INC.	CRD# 7839	NEW YORK, NY

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2023 - Present	OSAIC WEALTH, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
02/2011 - Present	SAN DIEGO WEALTH MANAGEMENT, LLC (155876)	MANAGING MEMBER	Y	SAN DIEGO, CA, United States
01/2009 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REP	Y	PHOENIX, AZ, United States

Registration & Employment History

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) PACIFIC ALLIANCE ADVISORS, LLC;
NOT INVESTMENT RELATED; P O BOX 8188 LA JOLLA CA 92038; OWNER/REALTOR/PROPERTY MANAGER; JANUARY 2004; 5 HRS/MTH; 0 HRS DURING TRADING; REALTY SALES, PROPERTY MANAGEMENT SERVICES.

2) PACIFIC ALLIANCE ADVISORS, LLC (REAL ESTATE)
POSITION: Owner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 06/26/2002
ADDRESS: PO Box 8188, La Jolla CA 92038, United States. ; DESCRIPTION: Help consumers buy and sell real estate as well as Rent my home/guest home on Airbnb/VRBO/Etc

3) AIRBNB/VRBO/ETC
POSITION: Owner NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 07/01/2017
ADDRESS: 9043 Harmony Grove Road, Escondido CA 92029, United States
DESCRIPTION: Manage bookings of my home and guest home.

4) CLEARLAKE PROPERTIES, LLC
POSITION: Owner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 11/02/2000
ADDRESS: 9043 Harmony Grove Road, Escondido CA 92029, United States; DESCRIPTION: Property Management

5) ALTA LA JOLLA HOA
POSITION: Board Member - NATURE: Non-Profit - INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/13/1998
ADDRESS: 9043 Harmony Grove Road, Escondido CA 92029, United States; DESCRIPTION: Vote on matters affecting the Alta La Jolla HOA

6) CLEARSTONE PROPERITIES, LLC
POSITION: Owner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/22/2004
ADDRESS: 9043 Harmony Grove Road, Escondido CA 92029, United States
DESCRIPTION: Property Management

7) SAN DIEGO WEALTH MANAGEMENT, LLC DBA SAN DIEGO WEALTH
POSITION: CEO NATURE: DBA/Marketing name for the SPF securities/RIA business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 01/11/2011
ADDRESS: 6390 Greenwich Drive, Ste. 230, San Diego CA 92122, United States
DESCRIPTION: CEO, CIO, CFO, Investment Advisor, Financial Planner

8) IGNIMBRITE DOMUS, LLC
POSITION: Manager NATURE: Holding Company INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2026
ADDRESS: PO Box 8188, La Jolla CA 92038, United States
DESCRIPTION: Tax prep, accounting, business planning

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	1

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	10/28/2010
Docket/Case Number:	2007008935002
Employing firm when activity occurred which led to the regulatory action:	SAGEPOINT FINANCIAL, INC.
Product Type:	Other: STOCK TO CASH LOAN PROGRAM
Allegations:	NASD RULES 2110, 3010: SCHMELZER FAILED TO FULFILL HIS SUPERVISORY RESPONSIBILITIES OVER THE ACTIVITIES OF A REGISTERED REPRESENTATIVE UNDER HIS SUPERVISION. SPECIFICALLY, SCHMELZER DID NOT ENSURE THE REPRESENTATIVE PROMPTLY DISCLOSED HIS ACTIVITY IN A "STOCK TO CASH" PROGRAM TO THEIR EMPLOYING FIRM, EVEN AFTER LEARNING THAT THE REPRESENTATIVE HAD IGNORED SCMELTZER'S PRIOR INSTRUCTION TO MAKE SUCH DISCLOSURE. SCHMELZER DID NOT SUPERVISE THE REPRESENTATIVE'S PERFORMANCE OF THE REPRESENTATIVE'S SUITABILITY AND DUE DILIGENCE OBLIGATIONS IN CONNECTION WITH RECOMMENDING THE PROGRAM TO CUSTOMERS. AS A RESULT OF SCHMELZER'S SUPERVISORY DEFICIENCIES, THE REPRESENTATIVE ENGAGED IN CONDUCT WHICH THE FIRM DEEMED INAPPROPRIATE AND WHICH POTENTIALLY PUT THE FIRM'S CLIENTS' ASSETS AT RISK.
Current Status:	Final

Resolution:	Acceptance, Waiver & Consent(AWC)
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:	10/28/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
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?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	15 BUSINESS DAYS
Start Date:	12/06/2010
End Date:	12/24/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	11/18/2010
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, SCHMELZER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $7,500 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR 15 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM DECEMBER 6, 2010, THROUGH DECEMBER 24, 2010.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension Other: N/A

Date Initiated:	10/28/2010
Docket/Case Number:	2007008935002
Employing firm when activity occurred which led to the regulatory action:	SAGEPOINT FINANICAL,INC.
Product Type:	No Product
Allegations:	FAILURE TO SUPERVISE A REGISTERED REPRESENTATIVE'S OUTSIDE ACTIVITY REGARDING A STOCK TO CASH LOAN PROGRAM BETWEEN JUNE AND DECEMBER 2007.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	10/28/2010
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY PRINCIPAL CAPACITY
Duration:	15 BUSINESS DAYS
Start Date:	12/06/2010
End Date:	12/24/2010
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$7,500.00
Portion Levied against individual:	$7,500.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	11/18/2010
Was any portion of penalty waived?	No
Amount Waived:	

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Osaic Wealth, Inc.
Allegations:	Cory Schmelzer was named in a customer complaint that asserted the following causes of action: breach of fiduciary duty, suitability, and negligence.
Product Type:	Other: Unspecified securities
Alleged Damages:	$42,151.49

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #25-00001
Date Notice/Process Served:	12/31/2024
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	05/27/2025
Disposition Detail:	Respondent Cory Schmelzer is liable for and shall pay to Claimant the sum of $7,579.18 in compensatory damages and shall pay interest on the above stated sum. Respondent is liable for and shall reimburse Claimant the sum of $600 for the filing fee previously paid to FINRA Office of Dispute Resolution.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OSAIC WEALTH, INC.
Allegations:	Customer alleges that discretionary trades made in her portfolio by the financial professional were not in her best interest.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$42,151.00
Alleged Damages Amount Explanation (if amount not exact):	Arbitration claim seeks the amount noted plus costs, etc.
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:	11/26/2024
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	12/31/2024
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-00001
Date Notice/Process Served:	01/19/2025
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	05/28/2025
Monetary Compensation Amount:	$7,579.18
Individual Contribution Amount:	$7,579.18

End of Report

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