



## IAPD Report

# ROBERT MICHAEL KUHN

CRD# 2971886

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

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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

### ROBERT MICHAEL KUHN (CRD# 2971886)

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 **10/10/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	KUHN CAPITAL PARTNERS	CRD# 283028	05/23/2016

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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>B</b>	UBS FINANCIAL SERVICES INC.	8174	PLANO, TX	09/09/2011 - 11/16/2015
<b>IA</b>	UBS FINANCIAL SERVICES INC.	8174	PLANO, TX	09/09/2011 - 11/16/2015
<b>IA</b>	LPL FINANCIAL LLC	6413	MCKINNEY, TX	05/20/2009 - 09/21/2011

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	2
Termination	1
Financial	1
Judgment/Lien	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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **KUHN CAPITAL PARTNERS**  
Main Address: 1415 WEST 22ND ST  
STE 530  
OAK BROOK, IL 60523  
Firm ID#: 283028

	Regulator	Registration	Status	Date
	Illinois	Investment Adviser Representative	Approved	10/14/2020
	Iowa	Investment Adviser Representative	Approved	07/20/2020
	Michigan	Investment Adviser Representative	Approved	08/03/2020
	Texas	Investment Adviser Representative	Approved	05/23/2016

### Branch Office Locations

**KUHN CAPITAL PARTNERS**  
1415 WEST 22ND ST  
STE 530  
OAK BROOK, IL 60523



## 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, 2 general industry/product exams, and 3 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	11/16/2015
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 General Securities Representative Examination (S7)	Series 7	03/05/1998
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#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	06/24/2009
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  Uniform Combined State Law Examination (S66)	Series 66	08/07/2000
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/28/1998
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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
B	09/09/2011 - 11/16/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	PLANO, TX
IA	09/09/2011 - 11/16/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	PLANO, TX
IA	05/20/2009 - 09/21/2011	LPL FINANCIAL LLC	CRD# 6413	MCKINNEY, TX
B	05/07/2009 - 09/21/2011	LPL FINANCIAL LLC	CRD# 6413	MCKINNEY, TX
B	01/24/2007 - 04/30/2009	DIRECTED SERVICES LLC	CRD# 21675	WEST CHESTER, PA
B	04/17/2006 - 01/31/2007	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	10/27/2005 - 04/18/2006	CAPITAL BROKERAGE CORPORATION	CRD# 10465	GLEN ALLEN, VA
B	10/03/2003 - 09/27/2005	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	COLUMBUS, OH
B	05/09/2003 - 08/26/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
IA	05/09/2003 - 08/26/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	HANOVER PARK, IL
B	01/09/2003 - 05/14/2003	EDWARD JONES	CRD# 250	ST. LOUIS, MO
IA	08/22/2002 - 12/19/2002	CHARLES SCHWAB & CO., INC.	CRD# 5393	PLANO, TX
B	08/19/2002 - 12/19/2002	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
IA	08/16/2000 - 07/29/2002	UBS PAINWEBBER INC.	CRD# 8174	OAKBROOK TERRAC, IL
B	07/28/2000 - 07/29/2002	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	04/26/1999 - 09/09/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	02/16/1999 - 04/29/1999	EISNER SECURITIES, INC.	CRD# 40585	ST. LOUIS, MO
B	03/09/1998 - 03/02/1999	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY



## Registration & Employment History

### 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
05/2016 - Present	KUHN CAPITAL PARTNERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PLANO, TX, United States
11/2015 - Present	Independent Insurance Agent	INSURANCE AGENT	Y	PLANO, TX, United States
08/2018 - 10/2021	EPUS GLOBAL ENERGY, LLC	MARKETING ASSOCIATE	Y	PLANO, TX, 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.

INDEPENDENT INSURANCE AGENT; INVESTMENT RELATED; PLANO, TX; INSURANCE SALES; INSURANCE AGENT; START DATE 11/2015; APPROX 30% OF TIME

BISON NATURAL RESOURCES; INVESTMENT RELATED; 2020 CALAMOS COURT, SUITE 200, NAPERVILLE, IL 60563, USA; OWNER OF INVESTMENT RELATED BUSINESSES WITH INTENTION OF LAUNCHING ADDITIONAL INVESTMENT VEHICLES FOR QUALIFIED CLIENTS; CEO AND PRESIDENT RESPONSIBLE FOR DAY TO DAY MANAGEMENT AND ALL INVESTMENT RELATED DECISIONS, 2024-09-01; HOURS PER MONTH DEVOTED TO BUSINESS DURING TRADING HOURS: 4;HOURS PER MONTH DEVOTED TO BUSINESS OUTSIDE TRADING HOURS: 5

KCP ENERGY FUND LP & KCP ENERGY FUND GP LLC; AND KCP OPPORTUNITY FUND LP & KCP OPPORTUNITY FUND GP LLC; OWNER OF THE GP LLC AND MANAGER OF THE HEDGE FUND; INVESTMENT RELATED: YES; 2020 CALAMOS COURT, SUITE 200, NAPERVILLE, IL 60563, USA; OWNER AND PORTFOLIO MANAGER RESPONSIBLE FOR MAKING THE DAY TO DAY INVESTMENT DECISIONS FOR PORTFOLIOS TAILORED TO QUALIFIED CLIENTS; LAUNCHED 2023-11-01 AND 2022-10-01 RESPECTIVELY; HOURS PER MONTH DEVOTED TO BUSINESS DURING TRADING HOURS: 4;HOURS PER MONTH DEVOTED TO BUSINESS OUTSIDE TRADING HOURS: 5

As part of his role at Kuhn Capital Partners, LLC, Robert Kuhn is a partner of the General Partner for Bison Alpha Fund & Bison II, two Private Funds managed by Kuhn Capital Partners, LLC.



## 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	2
Termination	1
Financial	1
Judgment/Lien	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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	Texas
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Date Initiated:</b>	05/23/2016
<b>Docket/Case Number:</b>	REG16-SUS-01
<b>URL for Regulatory Action:</b>	<a href="https://www.ssb.texas.gov/sites/default/files/files/news/Order%20No.%20REG16-SUS-01_1.pdf">https://www.ssb.texas.gov/sites/default/files/files/news/Order%20No.%20REG16-SUS-01_1.pdf</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	UBS Financial Services, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Robert Kuhn received approval from his firm to invest in a private company. However, Kuhn also personally guaranteed multiple lines of credit on behalf of the company, which was not told to UBS. The company ultimately failed to make payments on at least four lines of credit. As a result, certain lenders filed liens against Kuhn. Sections 115.9 and 116.9 of the Rules and Regulations of the Texas State Securities Board require registrants to update within thirty days certain information that has previously been disclosed to the Securities Commissioner. Kuhn had



previously indicated on his Form U4 that he had no unsatisfied judgments or liens against him. After receiving notice of the liens, Kuhn failed to disclose the liens on his Form U4 within thirty days.

As a result of the aforementioned conduct, Kuhn violated §115.9 and 116.9 of the Board Rules. These violations provide a basis for the assessment of an administrative fine of \$5,000 and a thirty day suspension. Kuhn consented to the entry of the Order. Kuhn's registration was granted on August 23, 2016, on which day the suspension also began.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	05/23/2016
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	Investment Adviser Representative
<b>Duration:</b>	30 Days
<b>Start Date:</b>	05/23/2016
<b>End Date:</b>	06/21/2016
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	05/23/2016
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## 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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS Financial Services, Inc.
<b>Allegations:</b>	Time frame: April 2015 - August 2016 Allegations: Customer alleges that his financial advisors failed to timely roll over \$95,000 in American Airlines post-bankruptcy benefit assets into his IRA account.
<b>Product Type:</b>	Other: Equities
<b>Alleged Damages:</b>	\$34,390.81
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA Arbitration
<b>Docket/Case #:</b>	19-00414
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	02/06/2019

### Customer Complaint Information

<b>Date Complaint Received:</b>	02/06/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/31/2019
<b>Settlement Amount:</b>	\$15,990.81
<b>Individual Contribution Amount:</b>	\$0.00

### Disclosure 2 of 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	UBS FINANCIAL SERVICES INC
<b>Allegations:</b>	Time Frame: May 5, 2014 to February 19, 2016 The client alleges his annuity was misrepresented as they were lead to believe that



their principle was protected against market loss and could never go down. The client further alleges this was an unsuitable investment.

**Product Type:** Other: variable annuities

**Alleged Damages:** \$100,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/10/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/29/2016

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS Financial Services

**Allegations:** Client Alleges that the annuity they purchased was misrepresented and an unsuitable investment.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$100,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 03/10/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/06/2018

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Disposition:** Denied

**Disposition Date:** 05/01/2017



**Broker Statement**

This client was a client of one of the Financial Advisors on our team. I had very little interaction with the client. This allegation was denied by UBS and Prudential.



## 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:** UBS FINANCIAL SERVICES INC.(

**Termination Type:** Voluntary Resignation

**Termination Date:** 10/20/2015

**Allegations:** Mr. Kuhn voluntarily resigned after concerns were raised that he may have failed to make required disclosures concerning client complaints, unsatisfied judgments entered against him, and his role in an outside business.

**Product Type:** No Product

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**Reporting Source:** Individual

**Firm Name:** UBS Financial Services, Inc.

**Termination Type:** Voluntary Resignation

**Termination Date:** 10/20/2015

**Allegations:** Mr. Kuhn voluntarily resigned after allegations were raised that he may have failed to make required disclosures concerning client complaints, unsatisfied judgement entered against him and his role in an outside business.

**Product Type:** No Product

**Broker Statement**

In 18 years acting in various capacities in the financial services business, I have never had a verbal or written complaint. In 2013, I partnered with a first year financial advisor. The complaints that we received were service related and due to my junior partner. Not a single service related complaint rose to the level of needing to be handled outside of the local branch. In January 2015, given the several service complaints that we received, I voluntarily helped in the process of an internal review of our business. I was told not to share any of the review with my junior partner during the process, it was later brought to my attention that I was lied to and they did not include him in the review. I feel this was because his father is a big producer for the complex. During the time of the review it became evident that I was being singled out for actions of a junior partner and during the review it was impossible to do business and provide for my family due to the hostile work environment that was created by management. It was during the business review I was told I did not receive proper approval for an outside business activity which I vehemently disagree with. The outside business activity was disclosed on our annual compliance review for three years and not once was I questioned. I do believe that I was discriminated against and decided that resignation was the only option.



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual

**Action Type:** Compromise

**Action Date:** 10/07/2020

**Organization Investment-Related?**

**Action Pending?** No

**Disposition:** Satisfied/Released

**Disposition Date:** 10/07/2020

**If a compromise with creditor, provide:**

**Name of Creditor:** NextGear Capital, Inc.

**Original Amount Owed:** \$64,949.36

**Terms Reached with Creditor:** The matter was settled by a release agreement dated 10/07/2020 which accepted a full payment of \$4553.00.

**Amount Paid:**

**SIPA (Securities Investor Protection Act) Trustee:**

**Currently Open?** No

**Date Direct Payment Initiated/Filed or Trustee Appointed:**

**Broker Statement**

I was the sole investor both financial and lines of credit in Auto Sales of North Texas. I was a silent partner and had no day to day interaction with the management of the company. I invested a significant amount of money and had personally guaranteed several lines of credit with just my signature due to my credit worthiness. The manager of the company over time defrauded me out of all of my initial investment as well as maxing out several lines of credit totaling \$300,000. The disclosures are the last few lines of credit yet to be satisfied. I have been advised by console to not satisfy the judgments until all legal options to recoup any and all losses are exhausted.

The matter was settle by a compromise settlement agreement which released the lien for a payment of \$4,553.00



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	TD BANK USA, N.A
<b>Judgment/Lien Amount:</b>	\$16,618.20
<b>Judgment/Lien Type:</b>	Civil
<b>Date Filed with Court:</b>	09/15/2014
<b>Date Individual Learned:</b>	09/15/2014
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	COUNTY COURT AT LAW NO 5.
<b>Location of Court:</b>	COLLIN COUNTY, TX
<b>Docket/Case #:</b>	005-01188-2014
<b>Judgment/Lien Outstanding?</b>	Yes

### Broker Statement

I was the sole investor both financial and lines of credit in Auto Sales of North Texas. I was a silent partner and had no day to day interaction with the management of the company. I invested a significant amount of money and had personally guaranteed several lines of credit with just my signature due to my credit worthiness. The manager of the company over time defrauded me out of all of my initial investment as well as maxing out several lines of credit totaling \$300,000. The disclosures are the last few lines of credit yet to be satisfied. I have been advised by console to not satisfy the judgments until all legal options to recoup any and all losses are exhausted.



## End of Report

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