



## IAPD Report

# KIMBERLY JEAN BRUMBAUGH

CRD# 3065606

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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

### KIMBERLY JEAN BRUMBAUGH (CRD# 3065606)

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 **04/14/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	07/26/2021
<b>IA</b>	ADVISORNET WEALTH PARTNERS	CRD# 113074	07/28/2021
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	Exton, PA	07/26/2021 - 06/29/2023
<b>B</b>	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EXTON, PA	03/28/2013 - 07/27/2021
<b>IA</b>	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	EXTON, PA	03/28/2013 - 07/27/2021

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
Customer Dispute	2



## Report Summary



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

### Employment 1 of 3

Firm Name: **CETERA WEALTH SERVICES, LLC**  
Main Address: 2301 ROSECRANS AVE #5100  
EL SEGUNDO, CA 90245  
Firm ID#: 13572

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	07/26/2021
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	07/26/2021
<b>B</b>	Arizona	Agent	Approved	07/26/2021
<b>B</b>	California	Agent	Approved	07/26/2021
<b>B</b>	Colorado	Agent	Approved	07/26/2021
<b>B</b>	Connecticut	Agent	Approved	07/26/2021
<b>B</b>	Delaware	Agent	Approved	07/26/2021
<b>B</b>	District of Columbia	Agent	Approved	07/26/2021
<b>B</b>	Florida	Agent	Approved	07/26/2021
<b>B</b>	Georgia	Agent	Approved	07/26/2021
<b>B</b>	Indiana	Agent	Approved	07/26/2021
<b>B</b>	Maine	Agent	Approved	07/26/2021
<b>B</b>	Maryland	Agent	Approved	07/26/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Massachusetts	Agent	Approved	07/26/2021
<b>B</b> Michigan	Agent	Approved	07/26/2021
<b>B</b> New Jersey	Agent	Approved	07/26/2021
<b>B</b> New York	Agent	Approved	07/26/2021
<b>B</b> North Carolina	Agent	Approved	07/26/2021
<b>B</b> Ohio	Agent	Approved	07/28/2021
<b>B</b> Pennsylvania	Agent	Approved	07/26/2021
<b>B</b> Rhode Island	Agent	Approved	07/26/2021
<b>B</b> South Carolina	Agent	Approved	07/26/2021
<b>B</b> South Dakota	Agent	Approved	04/14/2026
<b>B</b> Tennessee	Agent	Approved	07/26/2021
<b>B</b> Texas	Agent	Approved	07/26/2021
<b>B</b> Vermont	Agent	Approved	07/26/2021
<b>B</b> Virginia	Agent	Approved	07/26/2021

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
717 CONSTITUTION DR  
SUITE 202  
EXTON, PA 19341

### Employment 2 of 3

Firm Name: **CETERA INVESTMENT ADVISERS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650



### Qualifications

Firm ID#: SCHAUMBURG, IL 60173-2096  
105644

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	06/29/2023
IA Texas	Investment Adviser Representative	Approved	06/29/2023

### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
101 S ELM ST, SUITE 56  
GREENSBORO, NC 27401

**CETERA INVESTMENT ADVISERS LLC**  
415 EAGLEVIEW BLVD, SUITE 110  
Suite 110  
EXTON, PA 19341

### Employment 3 of 3

Firm Name: **ADVISORNET WEALTH PARTNERS**  
Main Address: 110 CHESHIRE LANE  
SUITE 200  
MINNETONKA, MN 55305  
Firm ID#: 113074

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	07/28/2021

### Branch Office Locations

**ADVISORNET WEALTH PARTNERS**  
717 Constitution Dr, Suite 202  
Exton, PA 19341



## 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	02/13/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/17/1998

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/20/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/29/1998

### PROFESSIONAL DESIGNATIONS

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

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/26/2021 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	Exton, PA
B	03/28/2013 - 07/27/2021	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EXTON, PA
IA	03/28/2013 - 07/27/2021	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	EXTON, PA
B	04/29/2003 - 04/02/2013	METLIFE SECURITIES INC.	CRD# 14251	EXTON, PA
IA	04/29/2003 - 04/02/2013	METLIFE SECURITIES INC.	CRD# 14251	EXTON, PA
B	04/29/2003 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	GLENMOORE, PA
IA	08/16/2002 - 04/12/2003	AXA ADVISORS, LLC	CRD# 6627	THORNDALE, PA
B	08/25/1998 - 04/12/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
IA	08/09/2001 - 04/09/2003	PROGRESS FINANCIAL ADVISORS	CRD# 119114	PHILADELPHIA, PA
B	08/25/1998 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
07/2021 - Present	ADVISORNET WEALTH PARTNERS	Registered IAR	Y	Exton, PA, United States
07/2021 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	Exton, PA, United States
02/2019 - Present	MID PENN BANK HOLDING COMPANY	BOARD MEMBER	N	HARRISBURG, PA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2015 - Present	BRUMBAUGH WEALTH MANAGEMENT, LLC DBA BRUMBAUGH WEALTH MANAGEMENT	Founder & CEO	Y	Exton, PA, United States
09/2008 - Present	CHESTER COUNTY CHAMBER OF BUSINESS & INDUSTRY	EMERITUS BOARD MEMBER	N	MALVERN, PA, United States
01/2020 - 12/2023	PENN MEDICINE, CHESTER COUNTY HOSPITAL FOUNDATION	HOSPITAL FOUNDATION COMMITTEE MEMBER	N	WEST CHESTER, PA, United States
09/2011 - 01/2022	HOPEWELL CHRISTIAN FELLOWSHIP CHURCH	FINANCE REVIEW COMMITTEE MEMBER	N	ELVERSON, PA, United States
03/2013 - 07/2021	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	EXTON, 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.

1. FIXED INSURANCE WITH VARIOUS COMPANIES;

INVESTMENT RELATED: YES;

SAME AS REGISTERED LOCATION;

FIXED INSURANCE;

STARTED: 05/2004;

APX NUMBER OF HOURS PER WEEK: 1; DURING TRADING HOURS,

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT;

SELLS LIFE, HEALTH, DISABILITY, ANNUITIES AND LONG-TERM CARE;

2. BRUMBAUGH WEALTH MANAGEMENT, LLC DBA BRUMBAUGH WEALTH MANAGEMENT; INVESTMENT RELATED: YES;

ADDRESS: SAME AS REGISTERED LOCATION; NATURE OF BUSINESS: FINANCIAL SERVICES & INSURANCE; START

DATE: 04/2004; POSITION/TITLE/RELATIONSHIP: FOUNDER & CEO; APX NUMBER OF HOURS PER WEEK: 40; APX

NUMBER OF HOURS DURING TRADING HOURS: 32; BRIEF DESCRIPTION OF DUTIES: FINANCIAL SERVICES &

INSURANCE;

3. ADVISORNET FINANCIAL INC, DBA ADVISORNET WEALTH PARTNERS - CRD ;

INVESTMENT RELATED: YES;

SAME AS REGISTERED LOCATION;

REGISTERED INVESTMENT ADVISOR;

START DATE: 07/2021;

INVESTMENT ADVISOR REPRESENTATIVE;

APX NUMBER OF HOURS PER WEEK: 40;

APX NUMBER OF HOURS DURING TRADING HOURS: 32;

PROVIDING ADVISORY SERVICES TO CLIENTS THROUGH THE ADVISORNET RIA;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

4. MID PENN BANK HOLDING COMPANY;  
INVESTMENT RELATED: NO;  
ADDRESS: PARK DRIVE, HARRISBURG, PA 17110;  
NATURE OF BUSINESS: BANK BOARD;  
START DATE: 02/2019;  
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER;  
APX NUMBER OF HOURS PER WEEK: 1;  
APX NUMBER OF HOURS DURING TRADING HOURS: 1;  
BRIEF DESCRIPTION OF DUTIES: ATTEND MONTHLY MEETINGS TO ASSIST WITH MONITORING THE OVERALL GROWTH OF THE BANK AS A FINANCIAL INSTITUTION.
5. CHESTER COUNTY CHAMBER OF BUSINESS & INDUSTRY;  
INVESTMENT RELATED: NO;  
ADDRESS: 1600 PAOLI PIKE, MALVERN, PA 19355;  
NATURE OF BUSINESS: COUNTY BOARD;  
START DATE: 09/2008;  
POSITION/TITLE/RELATIONSHIP: EMERITUS BOARD MEMBER;  
APX NUMBER OF HOURS PER WEEK: LESS THAN 1;  
APX NUMBER OF HOURS DURING TRADING HOURS: NONE;  
BRIEF DESCRIPTION OF DUTIES: ATTEND MONTHLY BOARD MEETINGS TO HELP GUIDE THE ORGANIZATION ON OVERALL GROWTH AND GROWTH OF MEMBERS. OFFER COUNSEL TO CEO ON EMPLOYEE MATTERS WHEN NEEDED AND OTHER BUSINESS MATTERS AS THEY ARISE / SOUNDING BOARD.
6. MID PENN BANK;  
INVESTMENT RELATED: NO;  
ADDRESS: PARK DRIVE, HARRISBURG, PA 17110;  
NATURE OF BUSINESS: BANK BOARD;  
START DATE: 02/2019;  
POSITION/TITLE/RELATIONSHIP: COMPENSATION COMMITTEE MEMBER;  
APX NUMBER OF HOURS PER WEEK: LESS THAN 1;  
APX NUMBER OF HOURS DURING TRADING HOURS: LESS THAN 1;  
BRIEF DESCRIPTION OF DUTIES: MEET SEMI-ANNUALLY TO REVIEW COMPENSATION OF EXECUTIVE TEAM. PARTICIPATE IN MEETINGS ANNUALLY WITH OUTSIDE ADVISORS TO REVIEW COMPENSATION OF COMPETING BANKS / PEERS TO ENSURE THE BANK IS COMPETITIVE WITH COMP PACKAGES. MAKE RE
7. HOPEWELL CHRISTIAN FELLOWSHIP CHURCH,  
INVESTMENT RELATED: NO,  
ADDRESS: 2286 HOPEWELL RD., ELVERSON, PA, 19520,  
NATURE OF BUSINESS: RELIGIOUS INSTITUTION,  
START DATE: 08/2022,  
POSITION/TITLE/RELATIONSHIP: FINANCE REVIEW COMMITTEE,  
LESS THAN ONE HOUR PER WEEK, MAY BE DURING TRADING HOURS,  
BRIEF DESCRIPTION OF DUTIES: ASSIST WITH BUDGET PROCESS, MAKE RECOMMENDATIONS ON HOW TO MANAGE CAPITAL EXPENSE, QUARTERLY REVIEW OF EXPENSES;
8. NAME OF OTHER BUSINESS: MID PENN BANK HOLDING COMPANY;  
INVESTMENT RELATED: NO;  
ADDRESS: PARK DRIVE, HARRISBURG, PA 17110;  
NATURE OF BUSINESS: BOARD;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

START DATE: 02/2026;

POSITION/TITLE/RELATIONSHIP: EXECUTIVE COMMITTEE MEMBER;

APX NUMBER OF HOURS PER WEEK: .5;

APX NUMBER OF HOURS DURING TRADING HOURS: .5;

BRIEF DESCRIPTION OF DUTIES: MEET AS NEEDED TO ADVISE ON OVERALL DIRECTION OF THE COMPANY, ESPECIALLY REGARDING MERGERS AND ACQUISITIONS;



## 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	2

### 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>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	METLIFE
<b>Allegations:</b>	CLIENT ALLEGES THAT MS. BRUMBAUGH MISREPRESENTED THE VARIABLE ANNUITY CONTRACT SHE PURCHASED IN JULY 2004.
<b>Product Type:</b>	Annuity(ies) - Variable
<b>Alleged Damages:</b>	\$55,997.84

#### Customer Complaint Information

<b>Date Complaint Received:</b>	06/05/2006
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	04/10/2007
<b>Settlement Amount:</b>	\$7,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	AS DEFINED IN THE ANNUITY CONTRACT PROVISIONS CLIENT ACCEPTED METLIFE'S OFFER TO PAY THE CLIENT A LUMP SUM OF \$7,000.00. THE FIRM NOTED THAT AN ERROR WAS MADE WHEN REGISTERING THE ACCOUNT AND FOUND NO WRONG DOING BY MS. BRUMBAUGH.

#### Disclosure 2 of 2



**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** AXA ADVISORS, INC.

**Allegations:** CUSTOMER ALLEGES HE WAS MISLED IN PURCHASING AN ANNUITY CONTRACT IN 2000. CUSTOMER STATES HE WAS LED TO BELIEVE THAT THE CASH VALUE OF THE POLICY WOULD RISE BY 5% EACH YEAR. CUSTOMER FURTHER STATES THE LIVING BENEFIT WAS NOT EXPLAINED AT THE TIME OF PURCHASE. DAMAGES UNSPECIFIED.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 08/29/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/21/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

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**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** AXA ADVISORS, INC.

**Allegations:** CUSTOMER ALLEGES HE WAS MISLED PURCHASING AN ANNUITY CONTRACT IN 2000. CUSTOMER STATES HE WAS LED TO BELIEVE THAT THE CASH VALUE OF THE POLICY WOULD RISE BY 5% EACH YEAR. CUSTOMER FURTHER STATES THE LIVING BENEFIT WAS NOT EXPLAINED AT THE TIME OF PURCHASE. DAMAGES UNSPECIFIED.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$0.00

**Customer Complaint Information**

**Date Complaint Received:** 08/29/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/21/2005

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.



## End of Report

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