



IAPD Report

DANIEL ANDREW VISE

CRD# 3140821

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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

DANIEL ANDREW VISE (CRD# 3140821)

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 **07/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FG WEALTH MANAGEMENT	CRD# 117845	02/22/2005

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	ONYX WEALTH ADVISORS, INC.	119558	BARTLESVILLE, OK	02/20/2013 - 12/31/2013
IA	BRECEK & YOUNG ADVISORS, INC.	40395	BARTLESVILLE, OK	02/08/2005 - 12/31/2005
IA	AXA ADVISORS, LLC	6627	BARTLESVILLE, OK	05/31/2000 - 02/09/2005

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	8



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

Employment 1 of 1

Firm Name: **FG WEALTH MANAGEMENT**
Main Address: TULSA, OK
Firm ID#: 117845

Regulator	Registration	Status	Date
IA Oklahoma	Investment Adviser Representative	Approved	02/24/2005
IA Texas	Investment Adviser Representative	Approved	02/22/2005

Branch Office Locations

FG WEALTH MANAGEMENT
TULSA, OK



Qualifications

PASSED INDUSTRY EXAMS

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

This individual has passed 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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 IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/29/1999
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PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/20/2013 - 12/31/2013	ONYX WEALTH ADVISORS, INC.	CRD# 119558	BARTLESVILLE, OK
IA	02/08/2005 - 12/31/2005	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	BARTLESVILLE, OK
IA	05/31/2000 - 02/09/2005	AXA ADVISORS, LLC	CRD# 6627	BARTLESVILLE, OK

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
07/2008 - Present	WVN PROPERTIES LLC/THE PROFESSIONAL BUILDING OF BARTLESVILLE	PARTNER	N	TULSA, OK, United States
11/2003 - Present	FG WEALTH MANAGEMENT	SENIOR PARTNER	Y	TULSA, OK, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	8

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 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC

Allegations: ON OR ABOUT AUGUST 2011: CONSTRUCTIVE TRUST/FRAUD; BREACH OF FIDUCIARY DUTY OF LOYALTY; BREACH OF FIDUCIARY DUTY TO SUPERVISE; AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS. PLAINTIFF ALLEGES: SHE SUBMITTED MONEY TO SOMEONE WORKING IN CONCERT WITH A PRINCIPAL OF THE FIRM -[THIRD PARTY] FOR A PRIVATE PLACEMENT INVESTMENT IN A REAL ESTATE COMPANY THAT WAS FRAUDULENT; MR. VISE FAILED TO SUPERVISE/MONITOR THE THIRD PARTY PRINCIPAL AND/OR DISCOVER HIS MISCONDUCT, CAUSING MONETARY LOSS AND SEVERE EMOTIONAL DISTRESS.

Product Type: Other: INVESTMENT IN REAL ESTATE COMPANY "PROPERTY SHOPPE"

Alleged Damages: \$26,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT IN AND FOR WASHINGTON COUNTY STATE OF OKLAHOMA

Location of Court: WASHINGTON COUNTY OKLAHOMA

Docket/Case #: CJ-2013-286

Date Notice/Process Served: 11/05/2013

Litigation Pending? No



Disposition: Settled
Disposition Date: 01/03/2017
Monetary Compensation Amount: \$5,357.00
Individual Contribution Amount: \$0.00

Broker Statement MR. VISE VEHEMENTLY DENIES THE ALLEGATIONS AGAINST HIM. HE BELIEVES THE ALLEGATIONS AGAINST HIM ARE WITHOUT LEGAL MERIT AND A SHOWING OF THE FACTS WILL PROVE HE WAS NOT INVOLVED IN THE ACTIONS FORMING THE SUBSTANCE OF THE ALLEGATIONS.

Disclosure 2 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC

Allegations: ON OR ABOUT AUGUST 2007, FEBRUARY 2008, MAY 2008, JANUARY 2009, AND NOVEMBER 2011: FRAUD; MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; AND NEGLIGENCE/MALPRACTICE. PLAINTIFF ALLEGES: IT LOANED MONEY TO A PRINCIPAL OF THE FIRM [THIRD PARTY] IN EXCHANGE FOR A PROMISSORY NOTE THAT WAS NOT REPAYED; THE THIRD PARTY PRINCIPAL ADVISED THE FUNDS WERE INVESTED AND WOULD BE REPAYED WITH INTEREST BUT FUNDS WERE FRAUDULENTLY WITHDRAWN.

Product Type: Promissory Note

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): PLAINTIFF SEEKS JUDGMENT AGAINST MULTIPLE DEFENDANTS: IN THE AMOUNT EXCEEDING \$500,000; PLUS \$500,000 IN PUNITIVE DAMAGES

Civil Litigation Information

Type of Court: State Court
Name of Court: DISTRICT COURT IN AND FOR OSAGE COUNTY STATE OF OKLAHOMA
Location of Court: OSAGE COUNTY OKLAHOMA
Docket/Case #: CJ-2013-120
Date Notice/Process Served: 05/02/2013
Litigation Pending? Yes

Broker Statement MR. VISE VEHEMENTLY DENIES THE ALLEGATIONS AGAINST HIM. HE BELIEVES THE ALLEGATIONS AGAINST HIM ARE WITHOUT LEGAL MERIT AND A SHOWING OF THE FACTS WILL PROVE HE WAS NOT INVOLVED IN THE ACTIONS FORMING THE SUBSTANCE OF THE ALLEGATIONS.

Disclosure 3 of 8

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC

Allegations: ON OR ABOUT OCTOBER 2009: CONSTRUCTIVE TRUST/FRAUD; BREACH OF FIDUCIARY DUTY OF LOYALTY; BREACH OF FIDUCIARY DUTY TO SUPERVISE; AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS. PLAINTIFF ALLEGES: SHE INVESTED IN TWO COMPANIES THE BEHEST OF A PRINCIPAL OF THE FIRM [THIRD PARTY] AND MR. VISE FAILED TO SUPERVISE/MONITOR THE THIRD PARTY PRINCIPAL AND/OR DISCOVER HIS MISCONDUCT, CAUSING MONETARY LOSS AND SEVERE EMOTIONAL DISTRESS.

Product Type: Other: INVESTMENT IN REAL ESTATE COMPANY "PROPERTY SHOPPE"; AND "BARTNET WIRELESS".

Alleged Damages: \$242,000.00

Alleged Damages Amount Explanation (if amount not exact): PLAINTIFF MADE INVESTMENTS TOTALING \$242,000 BUT SEEKS UNSPECIFIED DAMAGES AGAINST VARIOUS DEFENDANTS TOTALING \$450,000.

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 01/03/2017

Settlement Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT IN AND FOR WASHINGTON COUNTY STATE OF OKLAHOMA

Location of Court: WASHINGTON COUNTY, OKLAHOMA

Docket/Case #: CJ-2013-49

Date Notice/Process Served: 02/08/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/03/2017

Monetary Compensation Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Broker Statement MR. VISE VEHEMENTLY DENIES THE ALLEGATIONS AGAINST HIM. HE BELIEVES THE ALLEGATIONS AGAINST HIM ARE WITHOUT LEGAL MERIT AND A SHOWING OF THE FACTS WILL PROVE HE WAS NOT INVOLVED IN THE ACTIONS FORMING THE SUBSTANCE OF THE ALLEGATIONS.

**Disclosure 4 of 8**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC

Allegations: FRAUD, CONSTRUCTIVE FRAUD, MISREPRESENTATION, DECEIT, BREACH OF FIDUCIARY DUTY OF LOYALTY, BREACH OF FIDUCIARY DUTY TO SUPERVISE, UNSUITABLE TRADING/INVESTMENTS, NEGLIGENCE/MALPRACTICE, BREACH OF FIDUCIARY DUTY OF DISCLOSURE, CONVERSION AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.

Product Type: Other: IRA ACCOUNT

Alleged Damages: \$250,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: DISTRICT COURT , OK

Docket/Case #: CJ-2012-391

Filing date of arbitration/CFTC reparation or civil litigation: 12/28/2012

Customer Complaint Information

Date Complaint Received: 12/28/2012

Complaint Pending? No

Status: Settled

Status Date: 01/03/2017

Settlement Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: WASHINGTON COUNTY, OK

Docket/Case #: CJ-2012-391

Date Notice/Process Served: 12/28/2012

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/03/2017

Monetary Compensation \$5,357.00



Amount:	
Individual Contribution Amount:	\$0.00
Broker Statement	MR. VISE VEHEMENTLY DENIES ALL THE CLAIMS ALLEGED AGAINST HIM IN THE COMPLAINT, AND THAT SUCH CLAIMS ARE WITHOUT LEGAL MERIT.
Disclosure 5 of 8	
Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	THE FOCUS GROUP ADVISORS, LLC
Allegations:	FRAUD, CONSTRUCTIVE FRAUD, MISREPRESENTATION, DECEIT, BREACH OF FIDUCIARY DUTY OF LOYALTY, BREACH OF FIDUCIARY DUTY TO SUPERVISE, UNSUITABLE TRADING/INVESTMENTS, NEGLIGENCE/MALPRACTICE, BREACH OF FIDUCIARY DUTY OF DISCLOSURE, CONVERSION AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.
Product Type:	Penny Stock Promissory Note
Alleged Damages:	\$20,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	DISTRICT COURT -OK
Docket/Case #:	CJ-2013-30
Filing date of arbitration/CFTC reparation or civil litigation:	01/23/2013
Customer Complaint Information	
Date Complaint Received:	01/24/2013
Complaint Pending?	No
Status:	Settled
Status Date:	01/03/2017
Settlement Amount:	\$5,357.00
Individual Contribution Amount:	\$0.00
Civil Litigation Information	
Type of Court:	State Court
Name of Court:	DISTRICT COURT
Location of Court:	WASHINGTON COUNTY, OK
Docket/Case #:	CJ-2013-30



Date Notice/Process Served: 01/24/2013
Litigation Pending? No
Disposition: Settled
Disposition Date: 01/03/2017
Monetary Compensation Amount: \$5,357.00
Individual Contribution Amount: \$0.00
Broker Statement MR. VISE VEHEMENTLY DENIES ALL THE CLAIMS ALLEGED AGAINST HIM IN THE COMPLAINT, AND THAT SUCH CLAIMS ARE WITHOUT LEGAL MERIT.

Disclosure 6 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC
Allegations: ON OR ABOUT JUNE 3, 2011 AND MARCH 5, 2012. FRAUD, CONSTRUCTIVE FRAUD, MISREPRESENTATION, DECEIT, BREACH OF FIDUCIARY DUTY OF LOYALTY, BREACH OF FIDUCIARY DUTY TO SUPERVISE, UNSUITABLE TRADING/INVESTMENTS, NEGLIGENCE/MALPRACTICE, BREACH OF FIDUCIARY DUTY OF DISCLOSURE, CONVERSION AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.
Product Type: Penny Stock
Real Estate Security
Alleged Damages: \$100,000.00
Is this an oral complaint?
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: DISTRICT COURT - OK
Docket/Case #: CJ-2013-27
Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2013

Customer Complaint Information

Date Complaint Received: 01/25/2013
Complaint Pending? No
Status: Settled
Status Date: 01/03/2017
Settlement Amount: \$5,357.00
Individual Contribution Amount: \$0.00



Civil Litigation Information

Type of Court: State Court
Name of Court: DISTRICT COURT
Location of Court: WASHINGTON COUNTY, OK
Docket/Case #: CJ-2013-27
Date Notice/Process Served: 01/25/2013
Litigation Pending? No
Disposition: Settled
Disposition Date: 01/03/2017
Monetary Compensation Amount: \$5,357.00
Individual Contribution Amount: \$0.00
Broker Statement MR. VISE VEHEMENTLY DENIES ALL THE CLAIMS ALLEGED AGAINST HIM IN THE COMPLAINT, AND THAT SUCH CLAIMS ARE WITHOUT LEGAL MERIT.

Disclosure 7 of 8

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC
Allegations: ON OR ABOUT AUGUST 2012. FRAUD, CONSTRUCTIVE FRAUD, MISREPRESENTATION, DECEIT, BREACH OF FIDUCIARY DUTY OF LOYALTY, BREACH OF FIDUCIARY DUTY TO SUPERVISE, UNSUITABLE TRADING/INVESTMENTS, NEGLIGENCE/MALPRACTICE, BREACH OF FIDUCIARY DUTY OF DISCLOSURE, CONVERSION AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.
Product Type: Promissory Note
Alleged Damages: \$50,000.00
Is this an oral complaint?
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: DISTRICT COURT -OK
Docket/Case #: CJ-2013-26
Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2013

Customer Complaint Information

Date Complaint Received: 01/25/2013
Complaint Pending? No



Status: Settled

Status Date: 01/03/2017

Settlement Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: WASHINGTON COUNTY, OK

Docket/Case #: CJ-2013-26

Date Notice/Process Served: 01/25/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/03/2017

Monetary Compensation Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Broker Statement MR. VISE VEHEMENTLY DENIES ALL THE CLAIMS ALLEGED AGAINST HIM IN THE COMPLAINT, AND THAT SUCH CLAIMS ARE WITHOUT LEGAL MERIT.

Disclosure 8 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: THE FOCUS GROUP ADVISORS, LLC

Allegations: ON OR ABOUT MAY 29, 2009; FRAUD, CONSTRUCTIVE FRAUD, MISREPRESENTATION, DECEIT, BREACH OF FIDUCIARY DUTY OF LOYALTY, BREACH OF FIDUCIARY DUTY TO SUPERVISE, UNSUITABLE TRADING/INVESTMENTS, NEGLIGENCE/MALPRACTICE, BREACH OF FIDUCIARY DUTY OF DISCLOSURE, CONVERSION AND INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS.

Product Type: Promissory Note

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? Yes

Arbitration/Reparation forum or court name and location: DISTRICT COURT

Docket/Case #: CJ-2013-28



Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2013

Customer Complaint Information

Date Complaint Received: 01/25/2013

Complaint Pending? No

Status: Settled

Status Date: 01/03/2017

Settlement Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: DISTRICT COURT

Location of Court: WASHINGTON COUNTY, OK

Docket/Case #: CJ-2013-28

Date Notice/Process Served: 01/25/2013

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/03/2017

Monetary Compensation Amount: \$5,357.00

Individual Contribution Amount: \$0.00

Broker Statement MR. VISE VEHEMENTLY DENIES ALL THE CLAIMS ALLEGED AGAINST HIM IN THE COMPLAINT, AND THAT SUCH CLAIMS ARE WITHOUT LEGAL MERIT.



End of Report

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