



IAPD Report

KEVIN RICHARD WILSON

CRD# 3262701

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



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>



Report Summary

KEVIN RICHARD WILSON (CRD# 3262701)

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 **02/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	OLLIE GRANT PRIVATE WEALTH	CRD# 332010	12/17/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	SW FINANCIAL	145012	NEW YORK, NY	10/06/2021 - 05/16/2022
B	WORDEN CAPITAL MANAGEMENT LLC	148366	New York, NY	11/29/2019 - 10/14/2021
B	NATIONAL SECURITIES CORPORATION	7569	NEW YORK, NY	08/07/2017 - 12/10/2019

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	10



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OLLIE GRANT PRIVATE WEALTH**
Main Address: 123 NW 4TH STREET
SUITE 14
EVANSVILLE, IN 47708
Firm ID#: 332010

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	12/17/2025

Branch Office Locations

OLLIE GRANT PRIVATE WEALTH
Manahawkin, NJ



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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 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/09/1999

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/03/2025
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/2000

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	10/06/2021 - 05/16/2022	SW FINANCIAL	CRD# 145012	NEW YORK, NY
B	11/29/2019 - 10/14/2021	WORDEN CAPITAL MANAGEMENT LLC	CRD# 148366	New York, NY
B	08/07/2017 - 12/10/2019	NATIONAL SECURITIES CORPORATION	CRD# 7569	NEW YORK, NY
B	10/27/2010 - 09/05/2017	LIDLAW & COMPANY (UK) LTD.	CRD# 119037	NEW YORK, NY
B	12/22/2008 - 11/16/2010	AEGIS CAPITAL CORP.	CRD# 15007	NEW YORK, NY
B	08/29/2006 - 01/21/2009	GILFORD SECURITIES INCORPORATED	CRD# 8076	NEW YORK, NY
B	03/24/2005 - 09/11/2006	WESTMINSTER SECURITIES CORPORATION	CRD# 6105	NEW YORK, NY
B	06/20/2001 - 04/26/2005	CASIMIR CAPITAL L.P.	CRD# 105061	GREENWICH, CT
B	11/25/2002 - 03/24/2003	KUHNS BROTHERS SECURITIES CORPORATION	CRD# 47331	LIME ROCK, CT
B	11/10/1999 - 07/09/2001	SANDS BROTHERS & CO., LTD.	CRD# 26816	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
12/2025 - Present	Ollie Grant Private Wealth	Advisor	Y	Evansville, IN, United States
05/2022 - Present	KRW Consulting	Owner	N	Manahawkin, NJ, United States
10/2021 - 05/2022	SW FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Melville, NY, United States
11/2019 - 10/2021	WORDEN CAPITAL MANAGEMENT LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
08/2017 - 11/2019	NATIONAL SECURITIES CORPORAION	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2010 - 08/2017	LIDLAW & COMPANY (UK) LTD	REGISTERED REPRESENTATIVE	N	NEW YORK, NY, 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.

KRW INC, PASS THROUGH CORP/BILL PAYING ONLY, OWNER,1043 SAILOR DRIVE, MANAHAWKIN, NJ 08050 START 8-2017 O HRS/MONTH. NON_INVESTMENT RELATED

Advisors Mortgage - 5 per week, Mortgage Loan originator (MLO), 5114 Route 33 Wall, NJ, 07719



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	10

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 10

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NATIONAL SECURITIES CORPORATION
Allegations:	Allege RR misrepresented investments and purchased speculative investments that were not suitable
Product Type:	Equity Listed (Common & Preferred Stock) Other: Private Placement
Alleged Damages:	\$185,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01758
Filing date of arbitration/CFTC reparation or civil litigation:	09/01/2022

Customer Complaint Information

Date Complaint Received:	09/06/2022
Complaint Pending?	No



Status: Settled

Status Date: 02/28/2024

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LAIDLAW & COMPANY (UK) LTD.

Allegations: Attorney for Claimant alleges RR misrepresented private placements and excessive trading/commissions.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Other: PRIVATE PLACEMENTS

Alleged Damages: \$900,000.00

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: FINRA

Docket/Case #: 22-00971

Filing date of arbitration/CFTC reparation or civil litigation: 05/03/2022

Customer Complaint Information

Date Complaint Received: 05/16/2022

Complaint Pending? No

Status: Settled

Status Date: 02/18/2025

Settlement Amount: \$198,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORPORATION

Allegations: Attorney for claimant alleges representative misrepresented private placements and failed to disclose commissions



Product Type: Other: Private Placement

Alleged Damages: \$1,500,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-00970

Filing date of arbitration/CFTC reparation or civil litigation: 05/02/2022

Customer Complaint Information

Date Complaint Received: 05/04/2022

Complaint Pending? No

Status: Settled

Status Date: 09/11/2023

Settlement Amount: \$375,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORPORATION

Allegations: Attorney for Claimant alleges RR misrepresented private placements and failed to disclose commissions.

Product Type: Other: Private Placement

Alleged Damages: \$1,500,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 22-00970

Filing date of arbitration/CFTC reparation or civil litigation: 05/02/2022

Customer Complaint Information

Date Complaint Received: 05/04/2022



Complaint Pending? No

Status: Settled

Status Date: 09/11/2023

Settlement Amount: \$375,000.00

Individual Contribution Amount: \$0.00

Broker Statement This matter was resolved entirely by B. Riley Wealth Management (successor to National Securities Corporation). I was not named as a party to this arbitration. The settlement was a business decision made by the firm in its capacity as the employing broker-dealer. I incurred no personal financial liability, and no regulatory findings were made against me.

Disclosure 4 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Laidlaw & Company (UK) Ltd.

Allegations: CLIENTS ALLEGE UNSUITABILITY

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Other: PRIVATE PLACEMENTS

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): DOLLAR AMOUNT OF DAMGES NOT SPECIFIED

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: FINRA

Docket/Case #: 21-00318

Filing date of arbitration/CFTC reparation or civil litigation: 02/16/2021

Customer Complaint Information

Date Complaint Received: 02/16/2021

Complaint Pending? No

Status: Settled

Status Date: 08/03/2022

Settlement Amount: \$230,000.00

Individual Contribution Amount: \$0.00



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Laidlaw & amp; Company (UK) Ltd.

Allegations: CLIENTS ALLEGED UNSUITABLITY

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Other: PRIVATE PLACEMENTS

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): DOLLAR AMOUNT OF DAMGES NOT SPECIFIED

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-00318

Filing date of arbitration/CFTC reparation or civil litigation: 02/16/2021

Customer Complaint Information

Date Complaint Received: 02/16/2021

Complaint Pending? No

Status: Settled

Status Date: 08/03/2022

Settlement Amount: \$230,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 2115277

Date Notice/Process Served: 08/03/2022

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/03/2022

Monetary Compensation Amount: \$230,000.00



Individual Contribution Amount: \$0.00

Broker Statement This matter was resolved entirely by B. Riley Wealth Management (successor to National Securities Corporation). I was not named as a party to this arbitration. All commission disclosures and private placement offerings complied with applicable securities regulations and firm procedures. The settlement represented a business resolution by the employing broker-dealer. I incurred no personal financial liability, and no regulatory findings were made against me.

Disclosure 5 of 10

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP

Allegations: SUJITABILITY
Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$400,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-00193

Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2021

Customer Complaint Information

Date Complaint Received: 01/27/2021

Complaint Pending? No

Status: Withdrawn

Status Date: 04/11/2022

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: NATIONAL SECURITIES CORP

Allegations: SUITABILITY
Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$400,000.00



Is this an oral complaint? No

Is this a written complaint? No

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

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 21-00193

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 01/26/2021

Customer Complaint Information

Date Complaint Received: 01/27/2021

Complaint Pending? No

Status: Withdrawn

Status Date: 04/11/2022

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement This matter was filed against my former employer, National Securities Corporation (now part of B. Riley), and was subsequently withdrawn by the customer. I was not named as a respondent or party to the complaint. No settlement was reached, and no findings or determinations were made against me in connection with this matter.

Disclosure 6 of 10

Reporting Source: Regulator

**Employing firm when
activities occurred which led
to the complaint:** Laidlaw & Company (UK) Ltd.

Allegations: Wilson was named in a customer complaint that asserted the following causes of action: unauthorized transactions (fraudulent activity) and failure to supervise.

Product Type: Other: Unspecified Securities

Alleged Damages: \$90,405.00

Arbitration Information

**Arbitration/Reparation Claim
filed with and Docket/Case
No.:** [FINRA - CASE #19-01199](#)

Date Notice/Process Served: 04/30/2019

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/26/2022

Disposition Detail: Respondent Kevin Wilson is jointly and severally liable for and shall pay to Claimant the sum of \$60,205.06 in compensatory damages.



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd.

Allegations: Client alleges unauthorized trading in 2014.

Product Type: Equity-OTC

Alleged Damages: \$90,405.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [19-01199](#)

Date Notice/Process Served: 05/07/2019

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/26/2022

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd.

Allegations: Client alleges unauthorized trading in 2014

Product Type: Equity-OTC

Alleged Damages: \$90,405.00

Customer Complaint Information

Date Complaint Received: 04/30/2019

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 01/26/2022

Settlement Amount: \$60,205.06

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA



Docket/Case #: [19-01199](#)
Date Notice/Process Served: 05/07/2019
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 01/26/2022
Monetary Compensation Amount: \$60,205.06
Individual Contribution Amount: \$0.00
Broker Statement I was named as a respondent (party) in this arbitration. The settlement was paid entirely by my former firm Laidlaw & Company (U.K.) Ltd. any contribution for me personally. I was not sanctioned by any regulator.

Disclosure 7 of 10

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd.
Allegations: Client alleges unsuitability and over-concentration from 2010 to 2017
Product Type: Other: Private Placements
Alleged Damages: \$300,000.00
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: FINRA

Docket/Case #: 19-01035
Filing date of arbitration/CFTC reparation or civil litigation: 04/23/2019

Customer Complaint Information

Date Complaint Received: 04/23/2019
Complaint Pending? No
Status: Settled
Status Date: 05/05/2021
Settlement Amount: \$70,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd

Allegations: Client alleges unsuitability and over-concentration from 2010 to 2017

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$300,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 19-01035

Filing date of arbitration/CFTC reparation or civil litigation: 04/23/2019

Customer Complaint Information

Date Complaint Received: 05/01/2019

Complaint Pending? No

Status: Settled

Status Date: 05/05/2021

Settlement Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Broker Statement This matter was resolved entirely by Laidlaw & Company (UK) Ltd. I was not named as a party to this arbitration. The investment recommendations at issue were made in accordance with applicable suitability standards for accredited investors with documented risk tolerance and investment objectives. The settlement represented a business resolution by the employing broker-dealer. I incurred no personal financial liability, and no regulatory findings were made against me.

Disclosure 8 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd.

Allegations: Client alleges unsuitability and over-concentration from 2012 to 2017

Product Type: Other: Private Placements

Alleged Damages: \$440,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC Yes



reparation or civil litigation?

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 19-00842

Filing date of arbitration/CFTC reparation or civil litigation: 03/28/2019

Customer Complaint Information

Date Complaint Received: 04/05/2019

Complaint Pending? No

Status: Settled

Status Date: 05/06/2021

Settlement Amount: \$225,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LAIDLAW & COMPANY (UK) LTD

Allegations: Client alleges unsuitability and over-concentration from 2012 to 2017

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$440,000.00

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: FINRA

Docket/Case #: 19-00842

Filing date of arbitration/CFTC reparation or civil litigation: 03/28/2019

Customer Complaint Information

Date Complaint Received: 04/08/2019

Complaint Pending? No

Status: Settled

Status Date: 05/06/2021

Settlement Amount: \$225,000.00

Individual Contribution Amount: \$0.00

**Broker Statement**

This matter was resolved entirely by Laidlaw & Company (UK) Ltd. I was not named as a party to this arbitration. The investment recommendations at issue were made in accordance with applicable suitability standards and documented client investment profiles. The settlement represented a business resolution by the employing broker-dealer. I incurred no personal financial liability, and no regulatory findings were made against me.

Disclosure 9 of 10

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LAIDLAW & COMPANY

Allegations: MISREPRESENTATION

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$75,000.00

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: 12/21/2017

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/22/2019

Settlement Amount:

Individual Contribution Amount:

Broker Statement This matter was closed with no action.

Disclosure 10 of 10

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Laidlaw and Company (UK) Ltd.

Allegations: Client alleges unsuitability from 2010 to 2017

Product Type: Other: Private Placements

Alleged Damages: \$2,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Estimated

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:** FINRA

Docket/Case #: 18-03062

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/06/2018

Customer Complaint Information

Date Complaint Received: 09/06/2018

Complaint Pending? No

Status: Settled

Status Date: 06/08/2023

Settlement Amount: \$200,000.00

**Individual Contribution
Amount:** \$0.00

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Reporting Source: Individual

**Employing firm when
activities occurred which led
to the complaint:** Laidlaw and Company (UK) Ltd

Allegations: Client alleges unsuitability from 2010 to 2017

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$2,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 18-03062

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/06/2018

Customer Complaint Information

Date Complaint Received: 10/04/2018

Complaint Pending? No

Status: Settled

Status Date: 06/08/2023

Settlement Amount: \$200,000.00



Individual Contribution Amount:

\$0.00

Broker Statement

This matter was resolved entirely by Laidlaw & Company (UK) Ltd. I was not named as a party to this arbitration. The investment recommendations at issue were consistent with the client's accredited investor status and documented investment objectives. The settlement represented a business resolution by the employing broker-dealer. I incurred no personal financial liability, and no regulatory findings were made against me.



End of Report

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