



IAPD Report

Paidemoyo Brian Charasika

CRD# 4091183

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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

Paidemoyo Brian Charasika (CRD# 4091183)

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 **05/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COPPERWOOD FINANCIAL	CRD# 310859	12/01/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	AMERICAN CAPITAL MANAGEMENT, INC.	122452	NEW ALBANY, IN	01/28/2021 - 10/28/2022
IA	MAGNATE ADVISORY SERVICES, LLC	283056	LOUISVILLE, KY	01/03/2020 - 09/28/2020
B	PORTSMOUTH FINANCIAL SERVICES	13980	Louisville, KY	09/05/2017 - 01/05/2018

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	2
Criminal	2
Customer Dispute	2
Termination	1
Financial	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 **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **COPPERWOOD FINANCIAL**
Main Address: 745 MCCLINTOCK DR.
SUITE 308
BURR RIDGE, IL 60527
Firm ID#: 310859

	Regulator	Registration	Status	Date
	Kentucky	Investment Adviser Representative	Approved	12/01/2022
	North Carolina	Investment Adviser Representative	Approved	05/05/2025
	Texas	Investment Adviser Representative	Restricted Approval	09/10/2024

Branch Office Locations

COPPERWOOD FINANCIAL
ASHEVILLE, NC



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 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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B Securities Industry Essentials Examination (SIE)	SIE	01/05/2018
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B Futures Managed Funds Examination (S31)	Series 31	05/12/2008
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B General Securities Representative Examination (S7)	Series 7	02/22/2000
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	03/21/2000
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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	01/28/2021 - 10/28/2022	AMERICAN CAPITAL MANAGEMENT, INC.	CRD# 122452	NEW ALBANY, IN
IA	01/03/2020 - 09/28/2020	MAGNATE ADVISORY SERVICES, LLC	CRD# 283056	LOUISVILLE, KY
B	09/05/2017 - 01/05/2018	PORTSMOUTH FINANCIAL SERVICES	CRD# 13980	Louisville, KY
IA	12/15/2016 - 06/30/2017	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Louisville, KY
B	12/14/2016 - 06/30/2017	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Louisville, KY
IA	05/05/2016 - 08/23/2016	THE PRUDENT EXPERT LLC	CRD# 238792	INDIANAPOLIS, IN
B	08/17/2015 - 04/27/2016	ADP BROKER-DEALER, INC.	CRD# 37693	ROSELAND, NJ
B	08/20/2012 - 08/05/2015	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	LOUISVILLE, KY
IA	08/20/2012 - 08/05/2015	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	LOUISVILLE, KY
IA	06/20/2012 - 08/23/2012	LANIER ASSET MANAGEMENT, LLC	CRD# 150888	LOUISVILLE, KY
B	05/08/2012 - 08/14/2012	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	CRD# 43814	LOUISVILLE, KY
B	08/22/2006 - 03/22/2012	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	LOUISVILLE, KY
IA	08/22/2006 - 03/22/2012	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	LOUISVILLE, KY
IA	01/08/2004 - 09/08/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOUISVILLE, KY
B	02/23/2000 - 09/08/2006	UBS FINANCIAL SERVICES INC.	CRD# 8174	LOUISVILLE, KY



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
12/2022 - Present	COPPERWOOD FINANCIAL	SENIOR WEALTH ADVISOR	Y	LOUISVILLE, IN, United States
12/2022 - Present	KIDVESTORS	BUSINESS ADVISOR	N	LOUISVILLE, KY, United States
01/2022 - Present	FISH AGENCY	HEAD OF SALES	Y	LOUISVILLE, KY, United States
01/2022 - Present	KLG MANAGEMENT INC. dba COPPERWOOD INSURANCE SERVICES	INSURANCE PRODUCER	Y	LOUISVILLE, KY, United States
09/2022 - 12/2022	GREYHAWK CAPITAL MANAGEMENT	INVESTOR RELATIONS MANAGER	Y	KETCHUM, ID, United States
01/2021 - 10/2022	American Capital Management Inc.	Investment Advisor representative	Y	New Albany, IN, United States
01/2013 - 10/2020	Sippin Tea Company	Owner	N	Louisville, KY, United States
12/2019 - 09/2020	Magnate Advisory Services, LLC	Advisor Agent	Y	Louisville, KY, United States
05/2018 - 12/2019	University of Louisville	Director	N	Louisville, KY, United States
01/2018 - 05/2018	Aria Retirement	Regional Director	Y	Louisville, KY, United States
09/2017 - 05/2018	Portsmouth Financial Services, Inc.	Registered Representative	Y	Louisville, KY, United States
11/2016 - 05/2018	Allstate Insurance Co	Agent	N	Louisville, KY, United States
03/2008 - 11/2016	ZIM ACROPOLIS, LLC	MEMBER	N	LOUISVILLE, KY, United States
04/2016 - 08/2016	The Prudent Expert	Investment Adviser Representative	Y	INDIANAPOLIS, IN, United States
08/2015 - 04/2016	ADP LLC.	Regional District Mgr Retirement Plan Sales	N	LOUISVILLE, KY, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

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

- 1) FISH AGENCY; NEW YORK, NY; PLACEMENT AGENCY/APPOINTMENT SETTER; HEAD OF SALES; 01/2022; APPROX. 10 HOURS PER MONTH DURING TRADING AND NON-TRADING HOURS; INITIAL SALES LEAD TO INTRODUCE COMPANY TO POTENTIAL CLIENTS.
- 2) KLG MANAGEMENT INC.; INVESTMENT RELATED; 745 McCLINTOCK DR., SUITE 308, BURR RIDGE, IL 60527; INSURANCE PRODUCTION AGENCY; PRODUCER; 01/2022; APPROX. 5 HOURS PER MONTH DURING TRADING HOURS; INSURANCE PRODUCER.
- 3) POPSTAR VENTURES; INVESTMENT RELATED; MANHATTAN, NY; VENTURE CAPITAL FIRM; WEALTH ADVISORY CONSULTANT; 10/2023; APPROX. 10 HOURS PER MONTH DURING TRADING AND NON-TRADING HOURS; NON-COMPENSATED ADVISOR TO GENERAL BUSINESS, CAPITAL FUNDRAISE, AND CLIENT ACQUISITION FUNCTIONS.
- 4) SHARK JOCKEY PRO; INVESTMENT RELATED; LOUISVILLE, KY; BRANDING AND MARKETING SOLUTIONS PLATFORM; SPORTS AND ENTERTAINMENT ACCREDITED WEALTH ADVISOR; 06/2023; APPROX. 10 HOURS PER MONTH DURING TRADING AND NON-TRADING HOURS; NON-COMPENSATED FINANCIAL ADVISOR.
- 5) PRO ATHLETE WEALTH (DBA NAME AND SEPARATE BUSINESS FUNCTION OF COPPERWOOD FINANCIAL); INVESTMENT RELATED; LOUISVILLE, KY; INVESTMENT ADVISOR FIRM DBA NAME; CO-FOUNDER, DIRECTOR ATHLETE & ENTERTAINER WEALTH MANAGEMENT; 01/2024; APPROX. 40 HOURS PER MONTH DURING TRADING AND NON-TRADING HOURS; REGISTERED INVESTMENT ADVISOR REPRESENTATIVE ADVISING PRO ATHLETES.



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	2
Criminal	2
Customer Dispute	2
Termination	1
Financial	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Kentucky
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Revocation
Date Initiated:	10/12/2022
Docket/Case Number:	2022-AH-0022
URL for Regulatory Action:	https://kfi.ky.gov/Documents/SECU;%202022-AH-0022%20Paidemoyo%20Brian%20Charasika.pdf
Employing firm when activity occurred which led to the regulatory action:	American Capital Management
Product Type:	No Product
Allegations:	Upon reviewing the U4 application, the Department discovered Respondent did not report all disclosures for several Form U4 filings.
Current Status:	Final
Resolution:	Settled



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	12/02/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: Heightened supervision upon completion of suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities (IAR)
Duration:	30 days
Start Date:	12/02/2022
End Date:	12/31/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,000.00
Portion Levied against individual:	\$2,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	KENTUCKY DIVISION OF SECURITIES
Sanction(s) Sought:	Suspension
Date Initiated:	12/02/2022
Docket/Case Number:	ADMIN. ACTION NO. 2022-AH-0022
Employing firm when activity occurred which led to the regulatory action:	AMERICAN CAPITAL MANAGEMENT, INC. COPPERWOOD FINANCIAL, INC.
Product Type:	No Product
Allegations:	ALLEGED TO HAVE FILED APPLICATION FOR REGISTRATION THAT, AS OF ITS EFFECTIVE DATE, WAS INCOMPLETE IN ANY MATERIAL RESPECT OR CONTAINED ANY STATEMENT THAT WAS, IN LIGHT OF THE CIRCUMSTANCES UNDER WHICH IT WAS MADE, FALSE OR MISLEADING



WITH RESPECT TO ANY MATERIAL FACT.

Current Status: Final

Resolution: Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 12/02/2022

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: INVESTMENT ADVISOR REPRESENTATIVE

Duration: 30 DAYS

Start Date: 12/02/2022

End Date: 01/01/2023

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,000.00

Portion Levied against individual: \$2,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: INDIANA DEPARTMENT OF INSURANCE

Sanction(s) Sought: Revocation

Date Initiated: 04/23/2018

Docket/Case Number: CAUSE NO.: 16324-AG17-0913-169

Employing firm when activity occurred which led to the regulatory action: PORTSMOUTH FINANCIAL SERVICES

Product Type: No Product



Allegations:	MR. CHARASIKA WAS A NON-RESIDENT INSURANCE PRODUCER LICENSED BY THE INDIANA DEPARTMENT OF INSURANCE. ON NOVEMBER 17, 2017 THE COMMISSIONER OF THE INDIANA DEPARTMENT OF INSURANCE ISSUED A FINAL ORDER AGAINST MR. CHARASIKA FOR FAILING TO TIMELY REPORT TWO MISDEMEANOR CONVICTIONS TO THE DEPARTMENT, ASSESSING A \$500 FINE TO BE PAID WITHIN 30 DAYS AFTER THE COMMISSIONER SIGNED THE FINAL ORDER. THE DEPARTMENT DID NOT RECEIVE PAYMENT OF THE ADMINISTRATIVE FINE AND SOUGHT REVOCATION.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/10/2018
Sanctions Ordered:	Revocation



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: JEFFERSON DISTRICT COURT

Location of Court: LOUISVILLE, KY

Docket/Case #: 21-F-003133

Charge Date: 04/26/2021

Charge(s) 1 of 1

Formal Charge(s)/Description: THEFT BY FAILURE TO MAKE REQUIRED DISPOSITION OF PROPERTY \$500 < \$10,000. KRS 518.070.

No of Counts: 1

Felony or Misdemeanor: Felony

Plea for each charge: NOT GUILTY

Disposition of charge: Dismissed

Current Status: Final

Status Date: 08/06/2021

Disposition Date: 08/06/2021

Sentence/Penalty: DISMISSED WITHOUT PREJUDICE ON AUGUST 6, 2021.

Disclosure 2 of 2

Reporting Source: Individual

Formal Charges were brought in: State Court

Name of Court: SHELBY DISTRICT COURT

Location of Court: SHELBY COUNTY, KENTUCKY

Docket/Case #: 21-M-00471

Charge Date: 01/30/2022

Charge(s) 1 of 1

Formal Charge(s)/Description: K.R.S. 514.040; THEFT BY DECEPTION UNDER \$500; ISSUANCE OF A "BAD CHECK"; NOT INVESTMENT RELATED.

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: NOT GUILTY

Disposition of charge: ENTERED INTO DIVERSION AGREEMENT

Current Status: Pending



Status Date:

Broker Statement

ON JANUARY 30, 2022 I WAS CHARGED WITH A MISDEMEANOR UNDER KENTUCKY REVISED STATUTE SECTION 514.040 RELATING TO THE ISSUANCE OF A "BAD CHECK" IN A NOMINAL AMOUNT. I HAVE BEEN PROVIDED WITH A COPY OF THE DOCKET ACTIVITY BY THE CLERK OF COURT FOR THE SHELBY DISTRICT COURT AND NOTE THAT THE CHARGE WAS DISPOSED OF WITH AN ENTRY INTO A "DIVERSION" AGREEMENT WITH THE COMMONWEALTH OF KENTUCKY ON MAY 5, 2022. THE DIVERSION WILL BE COMPLETED ON NOVEMBER 3, 2022.



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

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: UNAUTHORIZED TRADING. ACTIVITY DATES FROM 4/1/13 TO 12/3/14.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust
Other: REITS

Alleged Damages: \$38,353.00

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: 06/02/2015

Complaint Pending? No

Status: Settled

Status Date: 10/26/2015

Settlement Amount: \$12,500.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES & ASSOCIATES, INC.

Allegations: UNAUTHORIZED TRADING. ACTIVITY DATES FROM 4/1/13 TO 12/3/14.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund
Unit Investment Trust
Other: REITS

Alleged Damages: \$38,353.00

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: 06/02/2015

Complaint Pending? No

Status: Settled

Status Date: 10/26/2015

Settlement Amount: \$12,500.00

Individual Contribution
Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: STIFEL, NICOLAUS & COMPANY, INCORPORATED

Allegations: CUSTOMER ALLEGES THAT HE WAS NOT ADEQUATELY INFORMED
REGARDING THE RISKS INVOLVED IN PURCHASING CERTAIN HIGH RISK
BONDS.

Product Type: Debt - Corporate

Alleged Damages: \$14,000.00

Customer Complaint Information

Date Complaint Received: 01/03/2008

Complaint Pending? No

Status: Denied

Status Date: 01/14/2008

Settlement Amount:

Individual Contribution
Amount:



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: Discharged
Termination Date: 08/11/2006
Allegations: FILLED OUT COMMONWEALTH OF KENTUCKY CONTINUING EDUCATION COURSE ATTENDANCE ROSTER FORMS WITH INFORMATION FOR ANOTHER EMPLOYEE WHO DID NOT ATTEND COURSES.
Product Type: Other
Other Product Types: NON-APPLICABLE

Reporting Source: Individual
Firm Name: UBS FINANCIAL SERVICES
Termination Type: Discharged
Termination Date: 08/11/2006
Allegations: CAUSED SUBMISSION OF FALSE DOCUMENTATION REGARDING STATE CONTINUING EDUCATION AND PROVIDED INACCURATE ANSWERES DURING AN INTERNAL REVIEW.
Product Type: No Product

Other Product Types:

Broker Statement ENROLLED MY PARTNER IN A CE CLASS TO BEGIN PROCESS OF RECEIVING CREDIT WHICH WAS MISCONSTRUED AS AN ATTEMPT TO GET HIM CREDIT WITHOUT HIM HAVING TAKEN THE CLASS. MY ANSWERS WERE DEEMED INACCURATE BECAUSE I ASSUME THEY DIDN'T FALL IN LINE WITH WHAT UBS ASSUMED TO BE TRUE. AS A RESULT I WAS DISCHARGED AS A POTENTIAL LIABILITY TO THE FIRM.



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: Bankruptcy
Bankruptcy: Chapter 13
Action Date: 10/19/2018

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: UNITED STATES BANKRUPTCY COURT
Location of Court: WESTERN DISTRICT OF KENTUCKY
Docket/Case #: 18-33201
Action Pending? No
Disposition: Dismissed
Disposition Date: 04/01/2020

Broker Statement

I filed a Chapter 13 to account for the ongoing expenses I had surrounding my divorce and life, in general. At the time the success of my investment business was greatly diminished so I was unable to subsidize various life expenses and it made more sense to aggregate them and pay them down all at once.



End of Report

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