



IAPD Report

JANENNE MARIE LACKEY

CRD# 4142760

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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

JANENNE MARIE LACKEY (CRD# 4142760)

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 **04/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	01/02/2008
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/21/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** 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	CETERA ADVISORS LLC	10299	MESA, AZ	04/14/2008 - 03/21/2024
B	FIRST FINANCIAL EQUITY CORPORATION	16507	SCOTTSDALE, AZ	11/09/2001 - 01/03/2008
B	WESTAMERICA INVESTMENT GROUP	6626	SCOTTSDALE, AZ	04/24/2001 - 11/09/2001

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



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

Employment 1 of 2

Firm Name: **CETERA ADVISORS LLC**
Main Address: 5299 DTC BLVD #800
GREENWOOD VILLAGE, CO 80111
Firm ID#: 10299

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	01/02/2008
B FINRA	General Securities Principal	Approved	12/20/2013
B Alabama	Agent	Approved	01/11/2016
B Alaska	Agent	Approved	12/10/2018
B Arizona	Agent	Approved	01/02/2008
B Arkansas	Agent	Approved	05/22/2014
B California	Agent	Approved	01/02/2008
B Colorado	Agent	Approved	10/05/2010
B Connecticut	Agent	Approved	07/27/2010
B Delaware	Agent	Approved	01/12/2016
B District of Columbia	Agent	Approved	08/06/2019
B Florida	Agent	Approved	05/19/2008
B Georgia	Agent	Approved	01/09/2008



Qualifications

Regulator	Registration	Status	Date
B Hawaii	Agent	Approved	05/22/2014
B Idaho	Agent	Approved	07/27/2010
B Illinois	Agent	Approved	01/02/2008
B Indiana	Agent	Approved	09/14/2009
B Iowa	Agent	Approved	05/22/2014
B Kansas	Agent	Approved	05/22/2014
B Louisiana	Agent	Approved	01/05/2021
B Maine	Agent	Approved	12/21/2015
B Maryland	Agent	Approved	01/16/2015
B Massachusetts	Agent	Approved	05/22/2014
B Michigan	Agent	Approved	11/18/2011
B Minnesota	Agent	Approved	05/22/2014
B Mississippi	Agent	Approved	03/06/2020
B Missouri	Agent	Approved	05/15/2015
B Montana	Agent	Approved	07/27/2010
B Nebraska	Agent	Approved	06/26/2015
B Nevada	Agent	Approved	01/02/2008
B New Hampshire	Agent	Approved	05/22/2014
B New Jersey	Agent	Approved	03/20/2013



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	01/02/2008
B New York	Agent	Approved	10/05/2010
B North Carolina	Agent	Approved	01/05/2011
B North Dakota	Agent	Approved	06/11/2015
B Ohio	Agent	Approved	05/23/2014
B Oklahoma	Agent	Approved	01/02/2019
B Oregon	Agent	Approved	05/22/2014
B Pennsylvania	Agent	Approved	01/02/2008
B South Carolina	Agent	Approved	06/11/2015
B South Dakota	Agent	Approved	06/30/2015
B Tennessee	Agent	Approved	05/22/2014
B Texas	Agent	Approved	07/27/2010
B Utah	Agent	Approved	10/05/2010
B Vermont	Agent	Approved	10/15/2024
B Virgin Islands	Agent	Approved	11/16/2016
B Virginia	Agent	Approved	01/07/2008
B Washington	Agent	Approved	07/27/2010
B Wisconsin	Agent	Approved	07/27/2010
B Wyoming	Agent	Approved	01/05/2016



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

CETERA ADVISORS LLC
 7025 N SCOTTSDALE RD STE 115 & 110
 SCOTTSDALE, AZ 85253

CETERA ADVISORS LLC
 405 S Beeline Highway
 Suite E
 PAYSON, AZ 85541

CETERA ADVISORS LLC
 3200 W RAY ROAD
 SUITE 101
 CHANDLER, AZ 85226

CETERA ADVISORS LLC
 19420 N 59TH AVE BLDG C STE 261
 GLENDALE, AZ 85308

CETERA ADVISORS LLC
 118 N 3RD ST
 TERRE HAUTE, IN 47807

CETERA ADVISORS LLC
 1610 E RIVER RD #116
 TUCSON, AZ 85718

CETERA ADVISORS LLC
 PARIS, IL

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
 Main Address: 1450 AMERICAN LANE
 6TH FLOOR, SUITE 650
 SCHAUMBURG, IL 60173-2096
 Firm ID#: 105644

Regulator	Registration	Status	Date
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IA	Arizona	Investment Adviser Representative	Approved	03/21/2024
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IA	Illinois	Investment Adviser Representative	Approved	10/02/2024
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IA	Indiana	Investment Adviser Representative	Approved	03/21/2024
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IA	Texas	Investment Adviser Representative	Approved	03/21/2024
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Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
 19420 N 59TH AVE BLDG C STE 261
 GLENDALE, AZ 85308

CETERA INVESTMENT ADVISERS LLC
 7025 N SCOTTSDALE RD STE 115 and 110
 SCOTTSDALE, AZ 85253

CETERA INVESTMENT ADVISERS LLC
 1610 E RIVER RD #116
 TUCSON, AZ 85718

CETERA INVESTMENT ADVISERS LLC
 950 W ELLIOT RD, SUITE 126
 TEMPE, AZ 85284



Qualifications

CETERA INVESTMENT ADVISERS LLC
118 N 3RD ST
TERRE HAUTE, IN 47807

CETERA INVESTMENT ADVISERS LLC
405 S Beeline Highway
Suite E
PAYSON, AZ 85541

CETERA INVESTMENT ADVISERS LLC
PARIS, IL




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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/19/2013

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/24/2000

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	08/19/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/01/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	04/14/2008 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	MESA, AZ
B	11/09/2001 - 01/03/2008	FIRST FINANCIAL EQUITY CORPORATION	CRD# 16507	SCOTTSDALE, AZ
B	04/24/2001 - 11/09/2001	WESTAMERICA INVESTMENT GROUP	CRD# 6626	SCOTTSDALE, AZ
B	05/25/2000 - 04/18/2001	MERIT CAPITAL ASSOCIATES, INC.	CRD# 30576	WESTPORT, CT

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
03/2026 - Present	WILDE WEALTH CAPITAL MARKETS	OWNER	Y	DENVER, CO, United States
02/2026 - Present	PXG	Referral Partner	N	Houston, TX, United States
07/2025 - Present	FOUNDRY FAMILY OFFICE	FINANCIAL PROFESSIONAL	Y	DENVER, CO, United States
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2023 - Present	BIN MADE WOODWORKS LLC	CO-OWNER	N	PARIS, IL, United States
05/2023 - Present	PINNACLE WEALTH ADVISORS, LLC	PART OWNER	N	SCOTTSDALE, AZ, United States
05/2023 - Present	STALEY LACKEY PLANNING LLC	CO-OWNER	N	PARIS, IL, United States
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, 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) DBA: WILDE WEALTH MANAGEMENT, INVESTMENT RELATED, ADDRESS IS THE REGISTERED LOCATION, SECURITIES/FINANCIAL SERVICES, START 2008, 40 HOURS PER WEEK - DURING TRADING HOURS, CFP - FINANCIAL ADVISOR.
- 2) FIXED INSURANCE AGENT, 10% OF OVERALL BUSINESS.
- 3) REFERRALS TO PROPERTY AND CASUALTY INSURANCE AGENTS, INVESTMENT RELATED, ADDRESS IS THE REGISTERED LOCATION, REFERRALS, START APRIL 2014, 1-2 HOURS PER WEEK - VARIES DURING TRADING HOURS.
- 4) PINNACLE ADVISORS, LLC - DBA FOR OSJ COMPANY, INVESTMENT RELATED, ADDRESS IS THE REGISTERED LOCATION, FINANCIAL SERVICES, START MAY 2014, CO-OWNER. APX 5 HOURS PER WEEK, SOME DURING TRADING HOURS, DUTIES INCLUDE REVIEW OF REPS ACTIVITIES VIA OSJ
- 5) NAME OF OTHER BUSINESS: STALEY LACKEY ENTERPRISES LLC;
INVESTMENT RELATED: NO ;
ADDRESS: SAME AS RESIDENTIAL LOCATION ;
NATURE OF BUSINESS: RENTAL PROPERTY ;
START: 07/2021 ;
TITLE: OWNER / LANDLORD ;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0 ;
DUTIES: RENTAL HOUSES;
- 6) N/A, NOT INVESTMENT RELATED, SAME AS REGISTERED LOCATION, ESTATE, NAMED 10/2015, EXECUTOR AND POA, LESS THAN 1 HOUR PER WEEK, NOT DURING TRADING HOURS, EXECUTOR AND POA FOR PARENTS.
- 7) WILDE WEALTH MANAGEMENT GROUP - SEMINARS;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED;
SEMINARS;
07/26/2016;
TITLE: SEMINAR PRESENTER;
APX NUMBER OF HOURS PER WEEK: 2 HOURS;
APX NUMBER OF HOURS DURING TRADING HOURS: VARIES;
DUTIES: SEMINARS TO EDUCATE CLIENTS AND THE PUBLIC.
- 8) NONE / FARM GROUND;
INVESTMENT RELATED: NO;
ADDRESS: 21599 E 100TH ROAD, PARIS, IL 61944;
FARM GROUND RENTAL;
START: 10/2017;
TITLE: OWNER;
APX NUMBER OF HOURS PER WEEK: 0;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
DUTIES: CASH RENT OF FARM GROUND;
- 9) PINNACLE WEALTH ADVISORS, LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOLDING LLC;
START: 5/2023;
TITLE: PART OWNER/PARTNER;
APX # OF HRS/WK: 0;
APX # OF HRS DURING TRADING HRS: 0;
DUTIES: HOLDING COMPANY/NONE;

10) BIN MADE WOODWORKS LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
WOODWORKING;
START: 5/2023;
TITLE: CO-OWNER;
APX # OF HRS/WK: 0;
APX # OF HRS DURING TRADING HRS: 0;
DUTIES: CO-OWNER OF HUSBAND'S WOODWORKING BUSINESS - NO DUTIES;

11) STALEY LACKEY PLANNING LLC;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
HOLDING COMPANY;
START: 5/2023;
TITLE: CO-OWNER;
APX # OF HRS/WK: 0;
APX # OF HRS DUR TRD HRS: 0;
DUTIES: HOLDING COMPANY FOR SHARES OF PINNACLE WEALTH ADVISORS LLC;

12) IN A RUT PROPERTIES LLC;
INVESTMENT RELATED: NO;
ADDRESS: 21599 E 100TH RD PARIS, IL 61944;
RENTAL PROPERTY;
START: 01/2024;
TITLE: LANDLORD;
APX NUMBER OF HOURS PER WEEK: 1;
APX NUMBER OF HOURS DURING TRADING HOURS: 0;
DUTIES: RENTAL HOUSE;

13) W FAMILY OFFICES;
INVESTMENT RELATED: YES;
ADDRESS: SAME AS REGISTERED LOCATION;
FINANCIAL SERVICES;
START: 09/2024;
TITLE: FINANCIAL PROFESSIONAL;
APX NUMBER OF HOURS PER WEEK: 40;
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5;
DUTIES: DBA FOR FINANCIAL SERVICES;

14. FOUNDRY FAMILY OFFICE;
INV RLTD
SAME AS REGISTERED LOCATION,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

FINANCIAL SERVICES,
START: 7/2025,
TITLE: FINANCIAL PROFESSIONAL,
APX # OF HRS/WK: 40,
APX # OF HRS DUR TRD HRS: 32.5,
DUTIES: DBA FOR FINANCIAL SERVICES;

15. WILDE WEALTH TRUST SERVICES;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
TRUST SERVICES;
START: 2/2026;
TITLE: TRUST PROFESSIONAL;
APX # OF HRS/WK: 1;
0 DUR TRD HRS;
DUTIES: WHITE LABELED TRUST SERVICES OFFERED THROUGH MEMBERS TRUST SERVICES;

16. WILDE WEALTH CAPITAL MARKETS;
INVESTMENT RELATED
SAME AS REGISTERED LOCATION,
FINANCIAL SERVICES,
3/2026,
OWNER,
APX # OF HRS/WK & DUR TRD HRS: 10
DBA FOR FINANCIAL SERVICES;

17. NAME OF OTHER BUSINESS: PXG



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MULTI-FINANCIAL SECURITIES CORPORATION
Allegations:	CLIENT ALLEGES MISREPRESENTATION AND POOR MARKET PERFORMANCE.
Product Type:	Annuity-Variable
Alleged Damages:	\$25,000.00
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:	08/19/2011
Complaint Pending?	No
Status:	Denied
Status Date:	09/28/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S ACCUSATIONS ARE ERRONEOUS AND UNTRUE. I WENT



ABOVE AND BEYOND TO ASSIST HIM AND TO ENSURE HE FULLY UNDERSTOOD THE PRODUCT HE WAS GOING INTO AND OFFERED TO ASSIST HIM IN DOING RESEARCH ON THE PRODUCT HE WAS LEAVING PRIOR TO MAKING THE PURCHASE INTO THE TRANSAMERICA FREEDOM VARIABLE ANNUITY.

Disclosure 2 of 2

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

FIRST FINANCIAL EQUITY CORPORATION

Allegations:

CUSTOMER ALLEGED THAT HE WAS NOT ADVISED OF ILLIQUIDITY OF REIT AND OIL AND GAS INVESTMENT IN WHICH HE INVESTED.

Product Type:

Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages:

\$400,000.00

Customer Complaint Information

Date Complaint Received:

06/05/2007

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

11/26/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement

MS. LACKEY WAS NOT THE REP ON THE ABOVE TRANSACTIONS, BUT DID ATTEND MEETINGS ON AN ASSISTANT LEVEL. IN MS. LACKEY'S DEALINGS WITH CLIENT, FULL DISCLOSURE OF ALL ACTIVITY WAS MADE, AND THERE IS HARD COPY DOCUMENTATION OF SUCH DISCLOSURE.



End of Report

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