



IAPD Report

Krikor Demirjian

CRD# 4212275

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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

Krikor Demirjian (CRD# 4212275)

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 **02/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VANDERBILT SECURITIES, LLC	CRD# 5953	09/16/2024
IA	VANDERBILT ADVISORY SERVICES	CRD# 116537	09/17/2024

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	WESTERN INTERNATIONAL SECURITIES	39262	Encino, CA	05/28/2008 - 09/20/2024
B	WESTERN INTERNATIONAL SECURITIES, INC.	39262	Encino, CA	05/27/2008 - 09/20/2024
IA	FINANCIAL WEST GROUP	16668	ENCINO, CA	02/19/2008 - 06/23/2008

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	6
Termination	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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT ADVISORY SERVICES**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 116537

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	09/17/2024

Branch Office Locations

VANDERBILT ADVISORY SERVICES
15760 Ventura Boulevard, Suite #700,
Encino, CA 91436

Employment 2 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**
Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797
Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/16/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	09/16/2024
B	California	Agent	Approved	09/16/2024

Branch Office Locations

15760 Ventura Blvd, Suite 700
Encino, CA 91436



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	07/11/2002
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/24/2000

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/21/2000
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/02/2000

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
IA	05/28/2008 - 09/20/2024	WESTERN INTERNATIONAL SECURITIES	CRD# 39262	Encino, CA
B	05/27/2008 - 09/20/2024	WESTERN INTERNATIONAL SECURITIES, INC.	CRD# 39262	Encino, CA
IA	02/19/2008 - 06/23/2008	FINANCIAL WEST GROUP	CRD# 16668	ENCINO, CA
B	11/13/2007 - 06/23/2008	FINANCIAL WEST GROUP	CRD# 16668	ENCINO, CA
IA	11/29/2005 - 10/24/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	ENCINO, CA
B	09/17/2003 - 10/24/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	ENCINO, CA
B	09/28/2001 - 12/09/2002	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	06/01/2001 - 10/08/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	06/01/2001 - 10/08/2001	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	07/25/2000 - 01/11/2001	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
09/2024 - Present	Vanderbilt Financial Group	Registered Representative	Y	Woodbury, NY, United States
05/2008 - 09/2024	Western International Securities, Inc.	Registered Representative	Y	Pasadena, CA, 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) Accident & Health, Life and Variable Insurance. Investment related. Start date: 09/17/2024. Address: 15760 Ventura Blvd Suite 700, Encino California, 91436. Title: Agent. Duties: Insurance Agent. Time spent during regular hours: 20%.
- 2) In-Home Supportive Services (IHSS) Program. Not Investment related. Start date: 09/17/2024. Address: 2616 1/2 Sycamore Ave, Montrose CA, 91020. Title: Caretaker. Duties: Caretaker for my elderly mother. Time spent during regular hours: 0%
- 3) Highland Capital. Fixed Insurance Sales. Not Investment related. Start date: 10/01/2024. Address: 15760 Ventura Blvd, Suite 700, Encino California, 91436. Title: Agent. Duties: Selling insurance and fixed annuity products. Time spent during regular hours: 30%.



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	6
Termination	1

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTERN INTERNATIONAL SECURITIES, INC.
Allegations:	Customer alleges that an investment recommendation was unsuitable and misleading.
Product Type:	Debt-Corporate
Alleged Damages:	\$2,500,000.00
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 #:	25-00821
Filing date of arbitration/CFTC reparation or civil litigation:	04/22/2025

Customer Complaint Information

Date Complaint Received:	04/28/2025
Complaint Pending?	No



Status: Settled
Status Date: 01/06/2026
Settlement Amount: \$80,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.

Allegations: Customer alleges that an investment recommendation was unsuitable and misleading.

Product Type: Debt-Corporate

Alleged Damages: \$2,500,000.00

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 #: 25-00821

Filing date of arbitration/CFTC reparation or civil litigation: 04/22/2025

Customer Complaint Information

Date Complaint Received: 04/28/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Firm Statement Additional clients in arbitration. CA residents Barsoumian, Vahe Bawa, Daljit Bliss, William Boynerian, Talin Douglas, Paul Endicott, Jennifer Gibson, Cathy Hamboyan, Vicken Mackovich, Ronald/Rodriguez, Refugio Messerlian, Haig Schwartz, Mitchell and Marsha Toumayan, Shake

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.

Allegations: Customers allege that an investment recommendation was unsuitable and misleading.

Product Type: Debt-Corporate



Alleged Damages: \$2,500,000.00
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 #: 25-00821
Filing date of arbitration/CFTC reparation or civil litigation: 04/22/2025

Customer Complaint Information

Date Complaint Received: 04/28/2025
Complaint Pending? No
Status: Settled
Status Date: 01/06/2026
Settlement Amount: \$80,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.
Allegations: Customer alleged than an investment was unsuitable.
Product Type: Debt-Corporate
Alleged Damages: \$5,000.00
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 #: 23-03636
Filing date of arbitration/CFTC reparation or civil litigation: 12/26/2023

Customer Complaint Information

Date Complaint Received: 01/03/2024
Complaint Pending? No



Status: Settled
Status Date: 01/07/2025
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WESTERN INTERNATIONAL SECURITIES, INC.
Allegations: Customer alleges that an investment recommendation was unsuitable.
Product Type: Debt-Corporate
Alleged Damages: \$5,000.00
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 #: 23-03636
Filing date of arbitration/CFTC reparation or civil litigation: 12/26/2023

Customer Complaint Information

Date Complaint Received: 01/03/2024
Complaint Pending? No
Status: Settled
Status Date: 01/07/2025
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Western International Securities, Inc.
Allegations: Unsuitability
Product Type: Other: Real Estate Investment Trust (REIT)
Alleged Damages: \$5,000.00
Alleged Damages Amount The firm has made a good faith determination that the damages from the alleged



Explanation (if amount not exact): conduct would be more than \$5,000

Arbitration Information

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

Docket/Case #: [21-02861](#)

Date Notice/Process Served: 12/29/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/23/2022

Monetary Compensation Amount: \$108,500.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LINSKO PRIVATE LEDGER

Allegations: IN RESPONSE TO DENIAL OF COMPLAINT, CUSTOMER ALLEGED THAT REPRESENTATIVE FORGED HIS SIGNATURE ON WITHDRAWAL FORM TO TAKE HIS 2006 RMD FROM A JACKSON NATIONAL ANNUITY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$99,960.00

Customer Complaint Information

Date Complaint Received: 07/30/2007

Complaint Pending? No

Status: Settled

Status Date: 04/17/2008

Settlement Amount: \$16,250.00

Individual Contribution Amount: \$5,000.00

Firm Statement

REPRESNTATIVE DENIES THAT HE FORGED CUSTOMER'S SIGNATURE, AND CONTEMPORANEOUSE E-MAILS SHOW THAT CUSTOMER AUTHORIZED THE WITHDRAWAL FROM THIS ANNUITY, AND RECEIVED HIS RMD. REPRESENTATIVE RECEIVED NO COMPENSATION FROM TRANSACTION, WHICH WAS UNDERTAKEN ON DECEMBER 19,2006 TO ASSIST CUSTOMER WHO HAD URGENTLY REQUESTED HIS ASSISTANCE, STATING THAT HE WAS IN A REMOTE REGION OF CENTRAL MEXICO AND HAD FORGOTTEN TO TAKE HIS 2006 RMD. TO ENSURE COMPLIATION OF RMD BY YEAR-END AS CUSTOMER HAD REQUESTED, REPRESENTATIVE USED WITHDRAWAL FORM THAT CUSTOMER HAD PREVIOUSLY SIGNED IN BLANK TO COMPLETE TRANSACTION. CLAIM WAS SETTLED TO AVOID ADDITIONAL



TIME AND EXPENSE OF FURTHER PROCEEDINGS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LINSKO/PRIVATE LEDGER CORPORATION

Allegations: IN RESPONSE TO DENIAL OF COMPLAINT, CUSTOMER ALLEGED THAT I FORGED HIS SIGNATURE ON WITHDRAWAL FORM TO TAKE HIS 2006 RMD FROM A JACKSON NATIONAL ANNUITY.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$99,960.00

Customer Complaint Information

Date Complaint Received: 07/30/2007

Complaint Pending? No

Status: Settled

Status Date: 04/17/2008

Settlement Amount: \$16,250.00

Individual Contribution Amount: \$5,000.00

Broker Statement ALLEGATION DENIED - CUSTOMER AUTHORIZED THE WITHDRAWAL FROM HIS ANNUITY, AND RECEIVED HIS RMD. I RECEIVED NO COMPENSATION FROM TRANSACTION, WHICH WAS UNDERTAKEN 12/19/06 TO ASSIST CUSTOMER WHO HAD URGENTLY REQUESTED MY ASSISTANCE, STATING HE WAS IN A REMOTE REGION OF CENTRAL MEXICO AND HAD FORGOTTEN TO TAKE HIS 2006 RMD. TO ENSURE COMPLETION OF RMD BY YEAR END AS CUSTOMER HAD REQUESTED, I USED A WITHDRAWAL FORM THAT CUSTOMER HAD PREVIOUSLY SIGNED IN BLANK TO COMPLETE TRANSACTION. CLAIM WAS SETTLED TO AVOID ADDITIONAL TIME AND EXPENSE OF FURTHER PROCEEDINGS.

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LINSKO PRIVATE LEDGER

Allegations: CUSTOMER ALLEGES THAT PURCHASE OF A FLOATING RATE BOND FUND IN MAY 2006 WAS UNSUITABLE AND REQUIRED HIM TO WITHDRAW FUNDS FROM AN ANNUITY IN DECEMBER 2006 TO SATISFY REQUIRED MINIMUM DISTRIBUTIONS FROM HIS IRA, LEADING TO LOSS OF \$30,000.00 OF INSURANCE COVERGE. EXACT DAMAGES UNSPECIFIED, BUT EXCEED \$5,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/30/2007



Complaint Pending? No
Status: Settled
Status Date: 04/17/2008
Settlement Amount: \$16,250.00
Individual Contribution Amount: \$5,000.00
Firm Statement CLAIM WAS SETTLED TO AVOID ADDITIONAL TIME AND EXPENSE OF FURTHER PROCEEDINGS.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LINSKO PRIVATE LEDGER
Allegations: CUSTOMER ALLEGES THAT PURCHASE OF A FLOATING RATE BOND FUND IN MAY 2006 WAS UNSUITABLE AND REQUIRED HIM TO WITHDRAW FUNDS FROM AN ANNUITY IN DEC. 2006 TO SATISFY REQUIRED MINIMUM DISTRIBUTIONS FROM HIS IRA, LEADING TO LOSS OF \$30,000 OF INSURANCE COVERAGE. EXACT DAMAGES UNSPECIFIED, BUT EXCEED \$5,000.
Product Type: Annuity(ies) - Variable
Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 07/30/2007
Complaint Pending? No
Status: Settled
Status Date: 04/17/2008
Settlement Amount: \$16,250.00
Individual Contribution Amount: \$5,000.00
Broker Statement CLAIM WAS SETTLED TO AVOID ADDITIONAL TIME AND EXPENSE OF FURTHER PROCEEDINGS.

Disclosure 6 of 6

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LINSKO/PRIVATE LEDGER CORP.
Allegations: CUSTOMER ALLEGES THAT PURCHASE OF A FLOATING RATE BOND FUND IN MAY 2006 WAS UNSUITABLE AND REQUIRED HIM TO WITHDRAW FUNDS FROM AN ANNUITY IN DECEMBER 2006 TO SATISFY REQUIRED MINIMUM DISTRIBUTIONS FROM HIS IRA, LEADING TO LOSS OF \$30,000.00 OF INSURANCE COVERAGE. EXACT DAMAGES UNSPECIFIED, BUT EXCEED \$5,000.00.
Product Type: Mutual Fund(s)



Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 03/05/2007

Complaint Pending? No

Status: Denied

Status Date: 04/03/2007

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: LINSKO PRIVATE LEDGER
Termination Type: Discharged
Termination Date: 09/25/2007
Allegations: IN RESPONSE TO DENIAL OF COMPLAINT, CUSTOMER ALLEGED THAT REPRESENTATIVE FORGED HIS SIGNATURE ON WITHDRAWAL FORM TO TAKE HIS 2006 RMD FROM A JACKSON NATIONAL ANNUITY.
Product Type: Annuity(ies) - Variable
Other Product Types:

Reporting Source: Individual
Firm Name: LINSKO/PRIVATE LEDGER CORPORATION
Termination Type: Discharged
Termination Date: 09/25/2007
Allegations: IN RESPONSE TO DENIAL OF COMPLAINT, CUSTOMER ALLEGED THAT REPRESENTATIVE FORGED HIS SIGNATURE ON WITHDRAWAL FORM TO TAKE HIS 2006 RMD FROM JACKSON NATIONAL ANNUITY.
Product Type: Annuity(ies) - Variable

Other Product Types:

Broker Statement IN THE COURSE OF REVIEW OF THE CUSTOMER COMPLAINT, LPL DETERMINED THAT THE REP USED A WITHDRAWAL FORM WITH A CLIENT'S SIGNATURE THAT WAS TRANSPOSED FROM A PREVIOUSLY SIGNED WITHDRAWAL FORM, IN VIOLATION OF LPL POLICY.



End of Report

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