IAPD Report

TREVOR WILLIAM WILDE

CRD# 4238789

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

TREVOR WILLIAM WILDE (CRD# 4238789)

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 **01/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA ADVISORS LLC	CRD# 10299	04/30/2007
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	ALBUQUERQUE, NM	05/01/2007 - 03/21/2024
IA	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ	04/22/2003 - 05/01/2007
B	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ	04/15/2003 - 05/01/2007

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	04/30/2007
B	FINRA	General Securities Sales Supervisor	Approved	04/30/2007
B	Alabama	Agent	Approved	01/07/2016
B	Alaska	Agent	Approved	12/10/2018
B	Arizona	Agent	Approved	04/30/2007
B	Arkansas	Agent	Approved	01/02/2014
B	California	Agent	Approved	04/30/2007
B	Colorado	Agent	Approved	04/30/2007
B	Connecticut	Agent	Approved	04/30/2007
B	Delaware	Agent	Approved	01/11/2016
B	District of Columbia	Agent	Approved	08/08/2019
B	Florida	Agent	Approved	04/30/2007
B	Georgia	Agent	Approved	04/30/2007

Qualifications

	Regulator	Registration	Status	Date
B	Hawaii	Agent	Approved	01/03/2008
B	Idaho	Agent	Approved	02/04/2010
B	Illinois	Agent	Approved	04/30/2007
B	Indiana	Agent	Approved	09/11/2009
B	Iowa	Agent	Approved	01/05/2010
B	Kansas	Agent	Approved	03/11/2009
B	Louisiana	Agent	Approved	10/26/2020
B	Maine	Agent	Approved	12/21/2015
B	Maryland	Agent	Approved	01/20/2015
B	Massachusetts	Agent	Approved	04/30/2007
B	Michigan	Agent	Approved	04/30/2007
B	Minnesota	Agent	Approved	04/30/2007
B	Mississippi	Agent	Approved	02/25/2020
B	Missouri	Agent	Approved	05/14/2015
B	Montana	Agent	Approved	10/27/2008
B	Nebraska	Agent	Approved	06/26/2015
B	Nevada	Agent	Approved	04/30/2007
B	New Hampshire	Agent	Approved	01/07/2013
B	New Jersey	Agent	Approved	10/11/2011

Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	04/30/2007
B	New York	Agent	Approved	04/30/2007
B	North Carolina	Agent	Approved	04/30/2007
B	North Dakota	Agent	Approved	06/10/2015
B	Ohio	Agent	Approved	04/30/2007
B	Oklahoma	Agent	Approved	10/01/2018
B	Oregon	Agent	Approved	01/03/2011
B	Pennsylvania	Agent	Approved	01/03/2008
B	South Carolina	Agent	Approved	06/10/2015
B	South Dakota	Agent	Approved	06/30/2015
B	Tennessee	Agent	Approved	01/12/2015
B	Texas	Agent	Approved	04/30/2007
B	Utah	Agent	Approved	04/30/2007
B	Vermont	Agent	Approved	10/15/2024
B	Virgin Islands	Agent	Approved	11/16/2016
B	Virginia	Agent	Approved	01/03/2008
B	Washington	Agent	Approved	04/30/2007
B	Wisconsin	Agent	Approved	09/26/2008
B	Wyoming	Agent	Approved	08/28/2014

Qualifications

Regulator	Registration	Status	Date

Branch Office Locations

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

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

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

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

CETERA ADVISORS LLC
6486 HIGHWAY 179 STE. 111
SEDONA, AZ 86351

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

CETERA ADVISORS LLC
13985 W GRAND AVE SUITE 100
SURPRISE, AZ 85374

CETERA ADVISORS LLC
8206 LOUISIANA BLVD STE B
ALBUQUERQUE, NM 87113

CETERA ADVISORS LLC
115 S College Street
MOUNTAIN HOME, AR 72653

CETERA ADVISORS LLC
1626 North Litchfield Road
Suite 280
Goodyear, AZ 85395

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
IA	Arizona	Investment Adviser Representative	Approved	03/21/2024
IA	New Mexico	Investment Adviser Representative	Approved	03/21/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
6486 HIGHWAY 179 STE. 111
SEDONA, AZ 86351

CETERA INVESTMENT ADVISERS LLC
13985 W GRAND AVE SUITE 100
SURPRISE, AZ 85374

Qualifications

CETERA INVESTMENT ADVISERS LLC
8206 LOUISIANA BLVD NE SUITE B
ALBUQUERQUE, NM 87113

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

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

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

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

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

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/09/2003
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	05/19/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/14/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/13/2001

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	05/01/2007 - 03/21/2024	CETERA ADVISORS LLC	CRD# 10299	ALBUQUERQUE, NM
IA	04/22/2003 - 05/01/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
B	04/15/2003 - 05/01/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	CRD# 11025	SCOTTSDALE, AZ
IA	12/16/2002 - 04/29/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	SCOTTSDALE, AZ
B	08/27/2001 - 04/29/2003	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	02/15/2001 - 09/05/2001	WASHINGTON SQUARE SECURITIES, INC.	CRD# 2882	WINDSOR, 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
10/2025 - Present	FOUNDRY FAMILY OFFICE	FINANCIAL PROFESSIONAL	Y	SCOTTSDALE, AZ, United States
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2023 - Present	PINNACLE WEALTH ADVISORS, LLC	PART OWNER	N	SCOTTSDALE, AZ, United States
05/2023 - Present	T WILDE PINNACLE HOLDINGS INC.	OWNER	N	SCOTTSDALE, AZ, United States
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, 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.

1)WILDE WEALTH MANAGEMENT, SAME AS OFFICE ADDRESS, FIXED INS AND FIN SVCS, 40HR+/WK, COMMISSIONS.
2) WILDE WEALTH MANAGEMENT DBA RISE- UP WEALTH MANAGEMENT;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

INV REL:NO;
NATURE: S-CORP FOR FLOW THROUGH INCOME PURPOSES;
START:4/2015;
POSITION:SECRETARY/VP;
DUTIES:FLOW THROUGH FOR INCOME PURPOSES;
3)PAC MULE LLC/TAQ INC, START 04/01/05, HOLDING COMPANY OF 1 ACRE OF RAW LAND IN AZ, PART OWNER.
4) PINNACLE WEALTH ADVISORS, LLC;
INV REL: NO;
ADDRESS: SAME AS REGISTERED LOCATION;
NATURE: HOLDING LLC;
START: 5/2023;
TITLE: PART OWNER/PARTNER;
APX # OF HRS/WK & DUR TRD HRS: 0;
DUTIES: HOLDING COMPANY/NONE;
5)REFERRALS TO HEALTH INSURANCE AGENTS, INVESTMENT RELATED, REFERRALS, START APRIL 2014, 1-2 HRS/WK
- VARIES DURING TRADING HOURS.
6)PINNACLE ADVISORS,LLC-DBA FOR OSJ COMPANY,
INV REL,
FIN SVCS,
START MAY 2014,
CO-OWNER.
APX 5 HRS/WK,
DUTIES INCLUDE REVIEW OF REPS ACTIVITIES VIA OSJ
7)PINNACLE P&C LLC,-DBA FOR INS, INVESTMENT RELATED IN SVCES, START MAY 2014, NO TIME SPENT ON THIS ACTIVITY, DORMANT LLC, OWNER.
8)N/A, NOT INV REL, SAME AS RESIDENTIAL LOCATION, TRUST ADMINISTRATION, NOT ACTIVE, SUCCESSOR TTEE FOR PARENTS AND MOTHER IN LAW.
9) WILDE WEALTH MANAGEMENT GROUP - SEMINARS;
INV REL: YES;
NATURE OF BUSINESS: SEMINARS;
START: 7/2016;
DUTIES: SEMINARS TO ED CLIENTS AND THE PUBLIC.
10) FIXED INS WITH VARIOUS COMPANIES
INV REL: YES;
6/2017;
APX # OF HRS/WK: 2;
INSURANCE AGENT;
SELLS PROPERTY AND CASUALTY INS;
11) WILDE FOR AZ COMM OUTREACH PROG
INV REL:NO
TRADE NAME FOR CHARITABLE ORGANIZATION
1/2018
VOLUNTEER
HELP DETERMINE EVENTS & CAUSES TO SUPPORT, PROVIDE ORGANIZING ASSISTANCE;
12) TAQ;
INV REL:NO
1195 N HAZELDINE, CASA GRANDE, AZ 85194
2/2006;
OWNER/MANAGER/MEMBER;
REAL ESTATE HOLDING COMPANY.MANAGE REAL ESTATE;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

13) WILDE & MILANO;NO; 1195 N HAZELDINE, CASA GRANDE, AZ 85194; 7/2005;OWNER/MEMBER;
REAL ESTATE HOLDING COMPANY;
14) WILDE WEALTH INSURANCE LLC ;NO;5/2017;OWNER/MANAGER/MEMBER;DBA FOR INS PURPOSES;
15) WILDE FOR AZ; NO; 1/2020; BOARDMEMBER/TREASURER;
PARTICIPATE IN BOARD MEETINGS. ACT AS TREASURER FOR FDS;
16) JR ACHIEVEMENT OF AZ; NO; 636 W SOUTHERN AVE TEMPE AZ 85252; 6/2020; BOARD OF DIR AT LARGE; BOARD OF DIR;
17) WILDE WEALTH MANAGEMENT ; YES; FINANCIAL SERVICES; 11/2020; OWNER/CEO; 40; DBA FOR FINANCIAL SERVICES;
18) HEARTLAND PAYROLL SERVICES; YES; 11/2020; REFERRER; 1; REFERRER FOR PAYROLL SERVICES TO CLIENTS;
19) CHILD CRISIS ARIZONA; NO; 817 N COUNTRY CLUB DR MESA AZ 85201; 4/2020; BOARD OF DIRECTOR AT LARGE; BOARD OF DIRECTORS;
20) WILDE WEALTH ESTATE PLANNING LLC; YES; SAME AS REGISTERED LOCATION;
ESTATE PLANNING PRACTICE;10/2022 ; MANAGER;1-2;1-2;
CLIENT ESTATE PLANNING BUSINESS;
21) T WILDE PINNACLE HOLDINGS INC.;
INV REL: NO;
SAME AS REGISTERED LOCATION;
HOLDING LLC;
5/2023;
PART OWNER/PARTNER;
APX # OF HRS/WK & DUR TRD HRS: 0;
HOLDING COMPANY FOR SHARES OF PINNACLE WEALTH ADVISORS LLC;
22) NOTRE DAME PREP HIGH SCHOOL;
INV REL: NO;
9701 E. BELL ROAD SCOTTSDALE, AZ 85260;
BOARD;
9/2023;
BOARD MEMBER AT LARGE;
APX # OF HRS PER WK:1- 2;
APX # OF HRS DURI TRADING HRS: 0;
ADVISORY BOARD MEMBER AT LARGE;
23) SANTE REALTY INVESTMENTS ADVISORY BOARD;
INV REL: NO;
4343 N. SCOTTSDALE ROAD STE 150 SCOTTSDALE, AZ 85251;
ADVISORY BOARD;
12/2023;
ADVISORY BOARD MEMBER;
APX # OF HRS PER WK & DUR TRAD HRS: VARIES;
ATTEND QRTLY MEETINGS, GIVE GUIDANCE TO THE LEADERSHIP TEAM, BUSINESS GOALS
24) PINNACLE PROPERTY HOLDINGS, LLC; NO;
SAME AS REGISTERED LOCATION;
REAL ESTATE HOLDING COMPANY;
01/2024;OWNER;HRS PER WK: 0;DUR TRAD HRS: 0;
HOLD CO FOR RENTAL PROPERTY TO BE PURCHASED;
25) W FAMILY OFFICES; YES; SAME AS REGISTERED LOCATION;
FINANCIAL SERVICES;09/2024; OWNER;40;32.5;
DBA FOR FINANCIAL SERVICES;
26) FOUNDRY FAMILY OFFICE; YES,
SAME AS REG LOCATION,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

FINANCIAL SERVICES,
10/2025,
FINANCIAL PROFESSIONAL,
APX # HRS/WK: 40,
APX # HRS DUR TRD HRS: 32.5,
DBA FOR FINANCIAL SERVICES;
27. WILDE WEALTH TRUST SERVICES;
28. NORTRE DAME PREP;

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 ALLEGED THE REPRESENTATIVE PLACED THE CLIENT IN UNSUITABLE MUTUAL FUNDS AND MISREPRESENTED THE REDEMPTION SCHEDULE OF A REIT. CLIENT PURCHASED THESE PRODUCTS IN MAY AND JUNE 2008.
Product Type:	Mutual Fund(s)
Other Product Type(s):	REIT
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	11/10/2008
Complaint Pending?	No
Status:	Denied
Status Date:	12/05/2008
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MULTI FINANCIAL SECURITIES CORPORATION
Allegations:	CLIENT ALLEGES THREE VARIABLE ANNUITIES WERE SOLD UNDER FALSE PRETENSES AND WERE MISREPRESENTED. IN THE ARBITRATION, THE CLIENT ALLEGES 2 REITS WERE UNAUTHORIZED.
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests
Alleged Damages:	$475,000.00
Alleged Damages Amount Explanation (if amount not exact):	ESTIMATE FROM ARBITRATION STATEMENT OF CLAIM.

Customer Complaint Information

Date Complaint Received:	04/29/2008
Complaint Pending?	No
Status:	Denied
Status Date:	07/08/2008
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-00723
Date Notice/Process Served:	07/23/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/01/2010
Monetary Compensation Amount:	$82,500.00
Individual Contribution Amount:	$0.00
Broker Statement	OVER THE COURSE OF SIX MONTHS [CUSTOMER] AND OUR TEAM CONDUCTED MORE THAN 12 PERSONAL MEETINGS DISCUSSING THE DETAILS AND CAVEATS OF OUR PLAN. [CUSTOMER] WAS GIVEN AND SIGNED OFF ON ALL DISCLOSURE DOCUMENTATION AND WAS COMPLETELY AWARE OF THE DETAILS OF EACH INVESTMENT. HIS CLAIMS AND ACCUSATIONS ARE COMPLETELY FALSE.

End of Report

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