



IAPD Report

KURT ALLEN CREAMER

CRD# 4372207

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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

KURT ALLEN CREAMER (CRD# 4372207)

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 **10/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	VALMARK SECURITIES, INC.	CRD# 31243	04/26/2011
IA	VALMARK ADVISERS, INC.	CRD# 108050	05/05/2011

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	SECURIAN FINANCIAL SERVICES, INC.	15296	LANSING, MI	05/11/2010 - 03/23/2011
B	SECURIAN FINANCIAL SERVICES, INC.	15296	LANSING, MI	05/16/2007 - 03/23/2011

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	4



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

Employment 1 of 2

Firm Name: **VALMARK ADVISERS, INC.**
Main Address: 130 SPRINGSIDE DRIVE
SUITE 300
AKRON, OH 44333
Firm ID#: 108050

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	02/10/2012
IA	Arkansas	Investment Adviser Representative	Approved	01/26/2015
IA	California	Investment Adviser Representative	Approved	05/13/2011
IA	Colorado	Investment Adviser Representative	Approved	10/08/2025
IA	Florida	Investment Adviser Representative	Approved	06/02/2011
IA	Illinois	Investment Adviser Representative	Approved	05/05/2011
IA	Indiana	Investment Adviser Representative	Approved	05/06/2011
IA	Kentucky	Investment Adviser Representative	Approved	01/10/2025
IA	Maryland	Investment Adviser Representative	Approved	06/18/2019
IA	Massachusetts	Investment Adviser Representative	Approved	06/08/2011
IA	Michigan	Investment Adviser Representative	Approved	05/06/2011
IA	Minnesota	Investment Adviser Representative	Approved	02/12/2014
IA	Missouri	Investment Adviser Representative	Approved	10/12/2012



Qualifications

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	01/08/2021
IA Ohio	Investment Adviser Representative	Approved	05/09/2011
IA Pennsylvania	Investment Adviser Representative	Approved	07/13/2012
IA South Carolina	Investment Adviser Representative	Approved	08/01/2022
IA Texas	Investment Adviser Representative	Restricted Approval	05/18/2011
IA Virginia	Investment Adviser Representative	Approved	07/17/2015
IA Washington	Investment Adviser Representative	Approved	05/29/2024
IA Wisconsin	Investment Adviser Representative	Approved	05/16/2011

Branch Office Locations

VALMARK ADVISERS, INC.
 140 E. ASH STREET
 MASON, MI 48854

Employment 2 of 2

Firm Name: **VALMARK SECURITIES, INC.**
 Main Address: 130 SPRINGSIDE DRIVE
 SUITE 300
 AKRON, OH 44333-2431
 Firm ID#: 31243

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/26/2011
B FINRA	General Securities Representative	Approved	04/26/2011
B Arizona	Agent	Approved	01/16/2024
B California	Agent	Approved	12/22/2023



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	04/12/2024
B Maryland	Agent	Approved	06/24/2019
B Michigan	Agent	Approved	05/03/2011
B North Carolina	Agent	Approved	02/27/2020
B Texas	Agent	Approved	04/03/2019
B Wisconsin	Agent	Approved	03/07/2024

Branch Office Locations

140 E. ASH STREET
MASON, MI 48854




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 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	06/04/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/15/2007

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/30/2007

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Analyst

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	05/11/2010 - 03/23/2011	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	LANSING, MI
B	05/16/2007 - 03/23/2011	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	LANSING, MI

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
05/2011 - Present	VALMARK ADVISERS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	AKRON, OH, United States
04/2011 - Present	VALMARK SECURITIES, INC.	REGISTERED REPRESENTATIVES	Y	AKRON, OH, 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) ASH STREET REDEVELOPMENT, LLC; REDEVELOPMENT OF COMMERCIAL & RESIDENTIAL PROPERTIES; MEMBER; INPUT ON DEVELOPMENT AND OVERSIGHT OF PROJECT; NOT INVESTMENT RELATED; K-1 PER YEAR END TAX RETURNS.///
- 2) KA Creamer LLC, 140 E Ash Street, Mason, MI 48854; Sole Owner; YES Investment Related; Start Date 2011; Approximately 40+ hrs. per month; All commissions and fees pass through the entity for tax purposes.///
- 3) The Pocket; start 02/2025; Guitarist; Member of a band that plays private parties, music festivals and special events; not investment related; 11-20 hours/month; compensation varies by event.//



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTENNIAL INVESTMENT PLANNING (PRIOR TO 1/2008) AND SECURIAN FINANCIAL SERVICES (1/2008 AND 1/2013)
Allegations:	CLIENT ALLEGES ACCOUNT ALLOCATION WAS NOT CONSISTENT WITH INVESTMENT OBJECTIVES AND INVESTMENTS WERE NOT MOVED TO CASH PER CLIENT REQUEST.
Product Type:	Other: INVESTMENT ADVISORY ACCOUNT
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	EXACT DAMAGES NOT SPECIFIED. FIRM ESTIMATES DAMAGES EXCEED \$5000.
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:	02/25/2013
Complaint Pending?	No
Status:	Denied
Status Date:	05/22/2013

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

UPON INVESTIGATION FIRM FOUND SUFFICIENT EVIDENCE THAT ACCOUNT WAS ALLOCATED ACCORDING TO INVESTMENT OBJECTIVE AND FUNDS WERE MOVED TO CASH WITHIN 24 HOURS OF EXPLICIT REQUEST TO DO SO.

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

CENTENNIAL INVESTMENT PLANNING (PRIOR TO 1/2008) AND SECURIAN FINANCIAL SERVICES (1/2008 AND 1/2013)

Allegations:

CLIENT ALLEGES ACCOUNT ALLOCATION WAS NOT CONSISTENT WITH INVESTMENT OBJECTIVES AND INVESTMENTS WERE NOT MOVED TO CASH PER CLIENT REQUEST.

Product Type:

Other: INVESTMENT ADVISORY ACCOUNT

Alleged Damages:

\$5,000.00

Alleged Damages Amount Explanation (if amount not exact):

EXACT DAMAGES NOT SPECIFIED. FIRM ESTIMATES DAMAGES EXCEED \$5000.

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:**

04/04/2013

Complaint Pending?

No

Status:

Denied

Status Date:

05/22/2013

Settlement Amount:**Individual Contribution Amount:****Disclosure 2 of 4****Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

SECURIAN FINANCIAL SERVICES

Allegations:

REP WAS ONE OF FOUR ADVISORS WHO MANAGED ACCOUNTS AND SOLD PRODUCTS TO CLIENT. CLIENT ALLEGES ADVISORS MADE UNSUITABLE RECOMMENDATIONS RELATED TO FOUR VARIABLE ANNUITIES AND DISREGARDED THEIR FIDUCIARY DUTY OF THE ADVISORY RELATIONSHIP. MR. CREAMER WAS ONLY INVOLVED WITH THE ADVISORY RELATIONSHIP.

Product Type:

Other: ADVISORY SERVICES



Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): EXACT DAMAGE AMOUNT NOT SPECIFIED. FIRM ESTIMATES ALLEGED DAMAGE AMOUNT EXCEEDS \$5000.

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: 07/13/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 08/25/2011

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 12-00272

Date Notice/Process Served: 02/06/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/29/2015

Monetary Compensation Amount: \$275,000.00

Individual Contribution Amount: \$0.00

Firm Statement ADVISOR WAS NOT REQUIRED TO CONTRIBUTE TO ARBITRATION SETTLEMENT.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SECURIAN FINANCIAL SERVICES

Allegations: REP WAS ONE OF FOUR ADVISORS WHO MANAGED ACCOUNTS AND SOLD PRODUCTS TO THE CLIENT. CLIENT ALLEGES ADVISORS MADE UNSUITABLE RECOMENDATIONS RELATED TO FOUR VARIABLE ANNUITIES AND DISREGARDED THEIR FIDUCIARY DUTY OF THE ADVISORY RELATIONSHIP.

Product Type: Annuity-Variable
Other: ADVISORY SERVICES



Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	EXACT DAMAGED NOT SPECIFIED. SECUIRAN ESTIMATES THE ALLEGED DAMAGES TO EXCEED \$5000
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:	08/08/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	09/08/2011
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00272
Date Notice/Process Served:	02/06/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/29/2015
Monetary Compensation Amount:	\$275,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	2/13/12 PRIOR FIRM DID NOT FIND EVIDENCE TO SUPPORT ANY CLAIMS INVOLVING THIS ADVISOR. REP DENIES THE CLAIM IN ITS ENTIRETY. HE WAS NOT LICENSED TO SELL INSURANCE PRODUCTS/ANNUITIES AT THE TIME OF THE ANNUITY SALES AND DID NOT RECOMEND OR SELL THEM. NO EVIDENCE TO SUPPORT ANY CLAIM INVOLVING THIS ADVISOR. ARBITRATION SETTLEMENT WAS PAID BY RESPONDENTS JOSEPH MESSERLY AND SECURIAN FINANCIAL SERVICES. UPON PAYMENTS, CLAIMANT DISMISSED CREAMER WITHOUT PAYMENT OF ANY KIND.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTENNIAL INVESTMENT PLANNING



Allegations: CLIENT IS ALLEGING THAT DURING THE TIME PERIOD OF 2004-2006 THE IAR WAS ACTING AS AN INVESTMENT ADVISOR AND WAS INVOLVED IN THE SOLICITATION FOR INVESTING IN VARIOUS REAL ESTATE LIMITED COMPANIES. CLIENT IS CLAIMING MISREPRESENTATION OF THE VIABILITY OF THE LLC'S AND THE RISK ASSOCIATED WITH THE INVESTMENT. MR. CREAMER WAS AN INDEPENDENT INVESTMENT ADVISOR OF CENTENNIAL INVESTMENT PLANNING, A REGISTERED INVESTMENT ADVISORY FIRM. DAMAGES CLAIMED IN EXCESS OF \$25,000.

Product Type: Other: REAL ESTATE LIMITED LIABILITY COMPANIES

Alleged Damages: \$25,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMING DAMAGES IN EXCESS OF \$25,000, BUT NO EXACT AMOUNT IS STATED.

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 #: 10-03642

Filing date of arbitration/CFTC reparation or civil litigation: 08/12/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 11/17/2011

Settlement Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Firm Statement ALL CLAIMS IN LITIGATION AGAINST DEFENDANT/RR WERE DISMISSED WITHOUT PREJUDICE. LITIGATION WAS DROPPED AND MOVED TO ARBITRATION. RR WAS NOT A NAMED RESPONDENT IN THE ARBITRATION BUT WAS THE SUBJECT OF THE ARBITRATION. E & O COUNSEL NEGOTIATED A SEPARATE SETTLEMENT OF \$200,000 PRIOR TO THE HEARING FOR ALL RR'S INVOLVED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTENNIAL INVESTMENT PLANNING

Allegations: CLIENT IS ALLEGING THAT DURING THE TIME PERIOD OF 2004-2006 THE IAR WAS ACTING AS AN INVESTMENT ADVISOR AND WAS INVOLVED IN THE SOLICITATION FOR INVESTING IN VARIOUS REAL ESTATE LIMITED



LIABILITY COMPANIES. CLIENT IS CLAIMING MISREPRESENTATION OF THE VIABILITY OF THE LLC'S AND THE RISK ASSOCIATED WITH THE INVESTMENT. MR. CREAMER WAS AN INDEPENDENT INVESTMENT ADVISOR OF CENTENNIAL INVESTMENT PLANNING, A REGISTERED INVESTMENT ADVISORY FIRM. DAMAGES CLAIMED IN EXCESS OF \$25,000.

Product Type: Other: REAL ESTATE LIMITED LIABILITY COMPANIES

Alleged Damages: \$25,000.00

Alleged Damages Amount Explanation (if amount not exact): CLAIMING DAMAGES IN EXCESS OF \$25,000, BUT NO EXACT AMOUNT IS STATED.

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 #: 10-03642

Filing date of arbitration/CFTC reparation or civil litigation: 08/12/2010

Customer Complaint Information

Date Complaint Received: 08/23/2010

Complaint Pending? No

Status: Settled

Status Date: 12/14/2011

Settlement Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Broker Statement ALL CLAIMS AGAINST DEFENDANT/RR WERE DISMISSED WITHOUT PREJUDICE.LITIGATION WAS DROPPED AND MOVED TO ARBITRATION. RR WAS NOT A NAMED RESPONDENT IN THE ARBITRATION BUT WAS THE SUBJECT OF THE ARBITRATION. E & O COUNSEL NEGOTIATED A SEPARATE SETTLEMENT OF \$200000.00 PRIOR TO THE HEARING FOR ALL RR'S INVOLVED.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CENTENNIAL INVESTMENT PLANNING

Allegations: CLIENTS ALLEGE NEGLIGENCE, FRAUD, SILENT FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, AND BREACH OF CONTRACT DURING THE TIME PERIOD OF 1985 TO 2006 AGAINST K. CREAMER AND OTHER PARTIES. MR CREAMER WAS AN INDEPENDENT INVESTMENT ADVISOR OF CENTENNIAL INVESTMENT PLANNING, A REGISTERED INVESTMENT ADVISORY FIRM. DAMAGES CLAIM IN EXCESS



OF \$25,000.00.

Product Type: Other: INVESTMENT ADVISORY ACCOUNTS

Alleged Damages: \$25,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: STATE OF MICHIGAN, CIRCUIT COURT FOR THE COUNTY OF KENT

Location of Court: KENT, MICHIGAN

Docket/Case #: 07-06036-C2

Date Notice/Process Served: 01/04/2008

Litigation Pending? No

Disposition: Settled

Disposition Date: 02/16/2010

Monetary Compensation Amount: \$1,100,000.00

Individual Contribution Amount: \$0.00

Broker Statement REP WAS ONE OF A GROUP OF DEFENDANTS WHO SETTLED THIS CIVIL LITIGATION. THERE WAS NO APPORTIONMENT OF THE SETTLEMENT BETWEEN THE VARIOUS DEFENDANTS. THE SETTLEMENT WAS COVERED BY AN E & O CARRIER REPRESENTING OTHER DEFENDANTS.



End of Report

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