



IAPD Report

ERIC JOHN ZEBRAUSKAS

CRD# 4391319

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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

ERIC JOHN ZEBRAUSKAS (CRD# 4391319)

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 **03/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	10/18/2021
B	IFP SECURITIES, LLC	CRD# 297287	10/25/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
B	TCFG WEALTH MANAGEMENT, LLC	164153	Carmel, IN	06/25/2020 - 10/20/2021
IA	TCFG INVESTMENT ADVISORS, LLC	166606	Carmel, IN	10/10/2018 - 10/20/2021
B	TCFG WEALTH MANAGEMENT, LLC	164153	Carmel, IN	10/09/2018 - 06/14/2019

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **IFP SECURITIES, LLC**
Main Address: 3030 NORTH ROCKY POINT DRIVE WEST,
SUITE 700
TAMPA, FL 33607
Firm ID#: 297287

	Regulator	Registration	Status	Date
B	FINRA	Corporate Securities Represent	Approved	10/25/2021
B	FINRA	General Securities Representative	Approved	10/25/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	10/25/2021
B	Florida	Agent	Approved	10/26/2021
B	Georgia	Agent	Approved	03/11/2026
B	Indiana	Agent	Approved	11/02/2021
B	Kentucky	Agent	Approved	11/18/2021
B	Louisiana	Agent	Approved	11/08/2021
B	Massachusetts	Agent	Approved	10/14/2022
B	Michigan	Agent	Approved	06/23/2023
B	Mississippi	Agent	Approved	11/08/2021
B	Virginia	Agent	Approved	01/04/2022
B	Washington	Agent	Approved	03/10/2022



Qualifications


Branch Office Locations

301 E Carmel dr STE G002
Carmel, IN 46032

301 East Carmel Drive
Suite G002
Carmel, IN 46032

Employment 2 of 2

Firm Name: **INDEPENDENT FINANCIAL PARTNERS**
Main Address: 3030 NORTH ROCKY POINT DRIVE WEST
SUITE 700
TAMPA, FL 33607
Firm ID#: 125112

Regulator	Registration	Status	Date
 Indiana	Investment Adviser Representative	Approved	11/02/2021

Branch Office Locations

INDEPENDENT FINANCIAL PARTNERS
301 East Carmel Dr. Suite G002
Carmel, IN 46032



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, 4 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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 Corporate Securities Limited Representative Examination (S62)	Series 62	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/10/2011
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/21/2001

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/23/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/2002

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
B	06/25/2020 - 10/20/2021	TCFG WEALTH MANAGEMENT, LLC	CRD# 164153	Carmel, IN
IA	10/10/2018 - 10/20/2021	TCFG INVESTMENT ADVISORS, LLC	CRD# 166606	Carmel, IN
B	10/09/2018 - 06/14/2019	TCFG WEALTH MANAGEMENT, LLC	CRD# 164153	Carmel, IN
B	04/26/2013 - 10/16/2018	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	CARMEL, IN
IA	04/26/2013 - 10/16/2018	SUMMIT FINANCIAL GROUP INC	CRD# 109485	CARMEL, IN
B	10/01/2012 - 04/15/2013	SECURITIES SERVICE NETWORK, INC.	CRD# 13318	CARMEL, IN
IA	10/01/2012 - 04/15/2013	SSN ADVISORY, INC.	CRD# 126090	CARMEL, IN
IA	11/14/2006 - 10/11/2012	INVESTMENT ADVISORS	CRD# 15708	CARMEL, IN
B	11/09/2006 - 10/11/2012	PROEQUITIES, INC.	CRD# 15708	CARMEL, IN
IA	03/08/2005 - 11/09/2006	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	NOBLESVILLE, IN
B	11/18/2003 - 11/09/2006	CFD INVESTMENTS, INC.	CRD# 25427	NOBLESVILLE, IN
B	01/04/2002 - 11/18/2003	QUESTAR CAPITAL CORPORATION	CRD# 43100	MINNEAPOLIS, MN
B	08/22/2001 - 01/07/2002	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY



Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2021 - Present	IFP Securities LLC	Registered Representative	Y	Tampa, FL, United States
10/2021 - Present	Independent Financial Partners	Investment Adviser Representative	Y	Tampa, FL, United States
10/2018 - 10/2021	TCFG Insurance Solutions, LLC	Agent	N	Laguna Niguel, CA, United States
10/2018 - 10/2021	TCFG Investment Advisors, LLC	RIA Representative	Y	Laguna Niguel, CA, United States
10/2018 - 10/2021	TCFG Wealth Management, LLC	Registered Representative	Y	Laguna Niguel, CA, United States
04/2013 - 10/2018	SUMMIT BROKERAGE SERVICES INC	REG REP	Y	CARMEL, IN, United States
04/2013 - 10/2018	SUMMIT FINANCIAL GROUP INC	IA REP	Y	CARMEL, IN, 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) ZEBRA FINANCIAL, INC; SINCE 09/09/2001; ADDRESS SAME AS BRANCH; PRESIDENT; DBA NAME;marketing brand for activities for broker at TCFG Wealth Management, LLC; 196 HOURS SPENT ON ACTIVITY MONTHLY, 196 DURING TRADING HOURS
- (2) Hamilton Heights Middle School; not investment related; 25150 State Rte 19,Arcadia,IN. 46030; Golf Coach; start date 3/14/2023. 20 hours/month; coach golf to the students and supervise at matches
- (3) Indiana PGA - not investment related - 9795 Crosspoint Blvd, STE 170, Indianapolis,IN. 46256 - JR PGA Coach Teach and run matches for Bearslide Jr PGA program - Volunteer - start date 7/1/2023 - 10 hours a month - Coach and instruct Jr PGA in practice and matches
- (4) Jr PGA Bearslide GC - not investment related - 6770 E 231st,Cicero, IN 46034 - Coaching Jr PGA program - - Employee - start date June 11, 2023 - 15 hours/month - run practice on Sunday afternoons run matches 6 on Monday and Wednesday nights
- (5) Z Factor Golf - not investment related - 1115 Bear Cub Dr, Cicero, IN 46034 - Golf Coaching - owner - start date 11/30/2023 - 20 hours/month - Coach golf, buy and rehab golf clubs to give to kids
- (6) Hamilton Heights School Corp - not investment related - 410 W Main St. Arcadia, In. 46030 - School system - employee - start date 4/17/2025 - 40 hours/month - 2 hours/month during trading - Coaching both middle school and high school golf teams



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	2
Termination	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	11/08/2016
Docket/Case Number:	2013036613701
Employing firm when activity occurred which led to the regulatory action:	Securities Service Network, Inc.
Product Type:	Insurance
Allegations:	Without admitting or denying the findings, Zebrauskas consented to the sanctions and to the entry of findings that he failed to provide prior written notice to, or receive written approval from, his member firm to engage in an outside business activity as a life insurance agent, for which he received approximately \$40,000 in income during his firm employment.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/08/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: all capacities
Duration: 30 days
Start Date: 12/05/2016
End Date: 01/03/2017

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 11/30/2016
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 11/08/2016
Docket/Case Number: [2013036613701](#)
Employing firm when activity occurred which led to the regulatory action: Securities Service Network, Inc.



Product Type:	Insurance
Allegations:	Without admitting or denying the findings, Zebrauskas consented to the sanctions and to the entry of findings that he failed to provide prior written notice to, or receive written approval from, his member firm to engage in an outside business activity as a life insurance agent, for which he received approximately \$40,000 in income during his firm employment
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/08/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	all capacities
Duration:	30
Start Date:	12/05/2016
End Date:	01/03/2017
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	11/30/2016
Was any portion of penalty waived?	No
Amount Waived:	



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:	SUMMIT BROKERAGE SERVICES
Allegations:	CLIENT ALLEGES POOR ADVICE/POOR RECOMMENDATION
Product Type:	Other: ANNUITY
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	BELIEVED TO BE \$5000 OR MORE BUT CANNOT DETERMINE
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:	05/07/2018
Complaint Pending?	No
Status:	Settled
Status Date:	07/06/2018
Settlement Amount:	\$290,907.00
Individual Contribution Amount:	\$10,000.00

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Summit Brokerage Services
Allegations:	Through attorney client alleges unsuitability, unauthorized purchases and fees charged greater than agreed upon. 2013-2015.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$0.00
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: 12/16/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/23/2018

Settlement Amount:

Individual Contribution
Amount:
.....

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: Summit Brokerage Services

Allegations: Through attorney client alleges unsuitability, unauthorized purchases and fees
charged greater than agreed upon. 2013-2015.

Product Type: Equity Listed (Common & Preferred Stock)
Mutual Fund

Alleged Damages: \$0.00

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: 12/16/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/23/2018

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 2

Reporting Source: Firm

Firm Name: SUMMIT BROKERAGE SERVICES, INC.

Termination Type: Discharged

Termination Date: 10/03/2018

Allegations: During an email review, it was found that the representative's assistant had requested a client to initial and date a section of a new account form, with a comment that the representative would fill in the missing information afterwards.

Product Type: Investment Contract

Reporting Source: Individual

Firm Name: Summit Brokerage Services, Inc.

Termination Type: Discharged

Termination Date: 10/23/2018

Allegations: During an email review, it was found that the representative's assistant had requested a client to initial and date a section of a new account form, with a comment that the representative would fill in the missing information afterwards.

Product Type: Investment Contract

Disclosure 2 of 2

Reporting Source: Firm

Firm Name: SECURITIES SERVICE NETWORK, INC.

Termination Type: Discharged

Termination Date: 04/15/2013

Allegations: THE FIRM FOUND DOCUMENTATION INDICATING THAT MR. ZEBRAUSKAS MAY HAVE BEEN INVOLVED IN UNDISCLOSED AND OR UNAPPROVED OUTSIDE BUSINESS ACTIVITY. WHILE DOCUMENTATION SUGGESTS THAT THERE MAY HAVE BEEN SOLICITATION, TO THE BEST OF OUR KNOWLEDGE MR. ZEBRAUSKAS DID NOT AFFECT ANY TRANSACTIONS IN OR RECEIVE COMPENSATION FOR THE REAL ESTATE SECURITIES OR GOLD CERTIFICATES.

Product Type: Annuity-Fixed
Real Estate Security
Other: GOLD CERTIFICATES

Reporting Source: Individual



Firm Name:	SECURITIES SERVICES NETWORK INC
Termination Type:	Discharged
Termination Date:	04/15/2013
Allegations:	THE FIRM FOUND DOCUMENTATION INDICATING THAT MR. ZEBRAUSKAS MAY HAVE BEEN INVOLVED IN UNDISCLOSED AND OR UNAPPROVED OUTSIDE BUSINESS ACTIVITY. WHILE DOCUMENTATION SUGGESTS THAT THERE MAY HAVE BEEN SOLICITATION, TO THE BEST OF OUR KNOWLEDGE MR. ZEBRAUSKAS DID NOT AFFECT ANY TRANSACTIONS IN OR RECEIVE COMPENSATION FOR THE REAL ESTATE SECURITIES OR GOLD CERTIFICATES.
Product Type:	Annuity-Fixed Real Estate Security Other: GOLD CERTIFICATE
Broker Statement	I COMMUNICATED WITH FIRM ON ALL OUTSIDE BUSINESS ACTIVITY. I HID NOTHING.(1) I WAS CONTRACTED WITH LINCOLN SO THAT I COULD GET HEALTH INSURANCE FOR MY FAMILY THROUGH THEM. COMPLIANCE WAS AWARE OF THIS AT TIME OF HIRE. (2) I WAS TOLD BY MY OSJ THAT AS LONG AS I DID NOT COLLECT A FEE SELLING CMO BONDS AND GOLD CERTIFICATES WAS AUTHORIZED BY SECURITIES SERVICES. I COMMUNICATED THROUGH FIRM EMAILS WITH TRADING TO GET QUOTES ON BONDS. AGAIN I WAS NOT HIDING ANYTHING FROM SSN AS I BELIEVED IT TO BE APPROVED SINCE MY OSJ CONFIRMED IT.



End of Report

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