



IAPD Report

JORDAN DEAN MAIN

CRD# 4520794

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

JORDAN DEAN MAIN (CRD# 4520794)

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 **12/22/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	05/02/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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 GRADIENT ADVISORS, LLC	152665	Brighton, MI	10/31/2019 - 05/01/2024
IA FUSION CAPITAL MANAGEMENT	156549	Brighton, MI	07/02/2018 - 01/27/2020
IA AE WEALTH MANAGEMENT, LLC	282580	Brighton, MI	12/21/2017 - 07/10/2018

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	4
Customer Dispute	3
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FOUNDATIONS INVESTMENT ADVISORS LLC**
Main Address: 4050 E. COTTON CENTER BLVD.
SUITE 40
PHOENIX, AZ 85040
Firm ID#: 175083

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	06/10/2024
	Michigan	Investment Adviser Representative	Approved	05/02/2024

Branch Office Locations

FOUNDATIONS INVESTMENT ADVISORS LLC
1127 S OLD US HWY 23
BRIGHTON, MI 48114



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

B General Securities Representative Examination (S7)	Series 7	05/05/2002
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/07/2017
--	-----------	------------

IA B Uniform Combined State Law Examination (S66)	Series 66	05/11/2002
---	-----------	------------

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
IA	10/31/2019 - 05/01/2024	GRADIENT ADVISORS, LLC	CRD# 152665	Brighton, MI
IA	07/02/2018 - 01/27/2020	FUSION CAPITAL MANAGEMENT	CRD# 156549	Brighton, MI
IA	12/21/2017 - 07/10/2018	AE WEALTH MANAGEMENT, LLC	CRD# 282580	Brighton, MI
IA	05/07/2004 - 09/11/2006	SPC	CRD# 110692	FARMINGTON HILLS, M
B	08/19/2003 - 09/11/2006	SIGMA FINANCIAL CORPORATION	CRD# 14303	FARMINGTON HILLS, M
IA	08/28/2003 - 12/31/2003	SPC	CRD# 110692	FARMINGTON HILLS, M
B	05/06/2002 - 08/25/2003	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY

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
05/2024 - Present	Foundations Investment Advisors, LLC	Investment Adviser Representative	Y	Brighton, MI, United States
08/2007 - Present	MAIN FINANCIAL GROUP	PRESIDENT	Y	BRIGHTON, MI, United States
10/2019 - 05/2024	Gradient Advisors LLC	Investment Advisor Representative	Y	Arden Hills, MN, United States
05/2018 - 10/2019	Fusion Capital Management	Investment Advisor Representative	Y	Coppell, TX, United States
06/2017 - 07/2018	AE Wealth Management, LLC	Investment Adviser Representative	Y	Topeka, KS, 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.

MAIN FINANCIAL GROUP; INVESTMENT RELATED; 315 W. NORTH ST. SUITE C, BRIGHTON, MI 48116; TAX PREPERATION/ACCOUNTING SERVICES; TAX PREPARER; SINCE 2006; 10HRS PER MONTH NOT DURING SECURITIES HOURS; 0 HRS PER MONTH NOT DURING SECURITIES HOURS; NO COMPENSATION.



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	4
Customer Dispute	3
Termination	1

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 4

Reporting Source:	Regulator
Regulatory Action Initiated By:	Michigan
Sanction(s) Sought:	Other: Notice of Intent to Deny, Condition, or Limit Investment Adviser Representative Registration Application
Date Initiated:	08/30/2017
Docket/Case Number:	333601
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	The Administrator intends to deny, condition or limit the investment adviser representative registration application of Jordan Dean Main, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant is the subject of an order, issued after notice and opportunity for hearing, denying his registration as an investment adviser representative, which supports the denial of his registration application under the above-cited provision of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 et seq.
Current Status:	Final
Resolution:	Stipulation and Consent



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: 12/20/2017

Sanctions Ordered: Other: Conditional Registration subject to the terms of the Order.

Regulator Statement June 15, 2018 - Amended Stipulation and Order Approving Investment Adviser Representative Conditional Registration.

April 25, 2019 - Order Lifting Conditions from Investment Adviser Representative Registration

Reporting Source: Individual

Regulatory Action Initiated By: State of Michigan; Department of Licensing and Regulatory Affairs; Corporation, Securities & Commercial Licensing Bureau

Sanction(s) Sought: Other: Notice of Intent to Deny, Condition, or Limit Investment Adviser Representative Registration Application

Date Initiated: 08/30/2017

Docket/Case Number: 333601

Employing firm when activity occurred which led to the regulatory action: Sigma Financial Corp.

Product Type: No Product

Allegations: The State of Michigan reviewed the information contained in Mr. Main's 2017 Application and CRD/IARD disclosures. Based on a 2013 Denial Order and Mr. Main's other disciplinary history set forth therein, the State issued and entered a Notice of Intent to Deny, Condition, or Limit Investment Adviser Representative Registration Application on August 30, 2017 (the "2017 Notice of Intent to Deny"). Mr. Main timely requested an administrative hearing on the 2017 Notice of Intent to Deny, which Mr. Main and the State agreed to hold in abeyance while discussing resolution through the Stipulation and Order. Mr. Main ultimately became conditionally registered as an investment adviser representative in December of 2017 after the entry of the Stipulation and Order.

Current Status: Final

Resolution: Stipulation and Consent

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: 12/20/2017

Sanctions Ordered: Other: Conditional Registration limiting Mr. Main's discretionary authority to selecting model portfolios for his clients.

**Disclosure 2 of 4**

Reporting Source: Regulator

Regulatory Action Initiated By: STATE OF MICHIGAN, CS&CL BUREAU

Sanction(s) Sought: Denial

Date Initiated: 01/24/2013

Docket/Case Number: N/A.

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action: SIGMA FINANCIAL CORP.

Product Type: No Product

Allegations: JORDAN D. MAIN ENGAGED IN DISHONEST AND UNETHICAL PRACTICES, BORROWED FUNDS FROM CUSTOMERS, MISAPPROPRIATED CLIENT FUNDS FOR HIS PERSONAL USE, AND HAS BEEN SUSPENDED FROM FINRA MEMBERSHIP. THE ACTION WAS TAKEN BASED ON THE EVENTS GIVING RISE TO MAIN'S LETTER OF ACCEPTANCE, WAIVER & CONSENT WITH FINRA, DATED SEPTEMBER 10, 2008, AND BASED ON DISCLOSURES RELATED TO A 2007 CUSTOMER COMPLAINT AND FINRA (FORMERLY NASD) ARBITRATION PROCEEDING CASE NO. 07-01571.

Current Status: Final

Resolution: Order

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: 05/08/2013

Sanctions Ordered: Denial

Regulator Statement THE ORDER WAS HELD IN ABEYANCE FOR OVER A YEAR WHILE APPLICANT UNSUCCESSFULLY ATTEMPTED TO NEGOTIATE A CONDITIONAL REGISTRATION ORDER WITH THE AGENCY AND A NEW EMPLOYER. HE WAS GIVEN UNTIL AUGUST 11, 2014 TO EXECUTE A STIPULATION AND ORDER OF CONDITIONAL REGISTRATION OR REQUEST AN ADMINISTRATIVE HEARING DATE, AND HE DID NEITHER.

.....

Reporting Source: Individual

Regulatory Action Initiated By: State of Michigan; Department of Licensing and Regulatory Affairs; Corporation, Securities & Commercial Licensing Bureau

Sanction(s) Sought: Denial

Date Initiated: 01/24/2013

Docket/Case Number: N/A



Employing firm when activity occurred which led to the regulatory action: Sigma Financial Corp.

Product Type: No Product

Allegations: The state of Michigan denied Mr. Main's application to register as an Investment Adviser Representative based on allegations that he engaged in dishonest and unethical behaviors, borrowed funds from customers, misappropriated client funds and was suspended from FINRA membership.

Current Status: Final

Resolution: Denial of state registratin

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 05/08/2013

Sanctions Ordered: Denial

Disclosure 3 of 4

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Revocation

Date Initiated: 11/14/2008

Docket/Case Number: 2006006357701

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Allegations: MAIN FAILED TO PAY FINES AND/OR COSTS OF \$5,000 IN FINRA CASE #2006006357701

Current Status: Final

Resolution: LETTER

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: 11/14/2008

Sanctions Ordered: Revocation



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?



Regulator Statement IN ACCORDANCE WITH NASD RULE 8320, RESPONDENT'S FINRA REGISTRATION IS REVOKED FOR FAILURE TO PAY FINES AND/OR COSTS. REVOCATION RESCINDED JUNE 25, 2009.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Revocation
Date Initiated: 11/14/2008
Docket/Case Number: 2006006357701
Employing firm when activity occurred which led to the regulatory action: SIGMA FINANCIAL CORPORATION
Product Type: No Product
Allegations: FAILED TO PAY FINES AND/OR COSTS OF \$5,000 IN FINRA CSE #2006006357701
Current Status: Final
Resolution: LETTER
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: 11/14/2008
Sanctions Ordered: Revocation
Broker Statement REGISTRATION REVOKED FOR FAILURE TO PAY FINES/ AND OR COSTS. REVOCATION RESCINDED JUNE 25, 2009.

Disclosure 4 of 4

Reporting Source: Regulator
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 09/10/2008
Docket/Case Number: 2006006357701
Employing firm when activity occurred which led to the regulatory action: SIGMA FINANCIAL CORPORATION
Product Type: No Product
Allegations: NASD RULES 2110, 3040 - MAIN ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WHEN HE PARTICIPATED IN OBTAINING \$240,000 IN LOANS FOR HIS COMPANY. PRIOR TO ENGAGING IN THOSE PRIVATE SECURITIES



TRANSACTIONS, HE FAILED TO GIVE WRITTEN NOTICE OF HIS INTENTION TO PARTICIPATE IN THE PROPOSED TRANSACTIONS, AND FAILED TO RECEIVE WRITTEN ACKNOWLEDGEMENT OF SAID NOTICE.

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:

09/10/2008

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: ANY CAPACITY
Duration: FOUR MONTHS
Start Date: 10/06/2008
End Date: 02/05/2009

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: Yes
Date Paid by individual: 06/25/2009
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, MAIN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR FOUR MONTHS.THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM OCTOBER 6, 2008 THROUGH FEBRUARY 5, 2009.

Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Censure
Suspension



Date Initiated:	09/10/2008
Docket/Case Number:	20060063577
Employing firm when activity occurred which led to the regulatory action:	SIGMA FINANCIAL CORPORATION
Product Type:	No Product
Allegations:	JORDAN MAIN PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS IN VIOLATION OF NASD RULES 3040 AND 2110.
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:	09/10/2008
Sanctions Ordered:	Censure Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	FOUR MONTHS
Start Date:	09/10/2008
End Date:	01/10/2009
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:	06/23/2009
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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SIGMA FINANCIAL CORPORATION
Allegations:	FALL OF 2005, CLIENTS PURCHASED TWO LIFE INSURANCE POLICIES THAT WERE MISREPRESENTED AND UNSUITABLE GIVE THEIR FINANCIAL GOALS AND OBJECTIVES.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM IS UNABLE TO DETERMINE THE EXACT AMOUNT OF DAMAGES AT THIS TIME. FIRM BELIEVES THAT THE DAMAGES WILL EXCEED \$5,000.
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:	05/27/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	04/09/2012
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SIGMA FINANCIAL CORPORATION
Allegations:	CLIENTS ALLEGES THAT IN APRIL 2005, THEY INVESTED IN A SINGLE REIT RECOMMENDED BY MR. MAIN. OCTOBER 2006 RECEIVED NOTIFICATION STATUS OF REIT WAS IN QUESTION AND THE FUNDS WERE INVESTED IN JD WEALTH MANAGEMENT AND CONVERTED FOR PERSONAL USE.
Product Type:	Other
Other Product Type(s):	REAL ESTATE INVESTMENT TRUST



Alleged Damages: \$22,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

Status: Arbitration/Reparation

Status Date: 06/22/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION CLAIM, CASE NO. 07-01571

Date Notice/Process Served: 06/22/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/27/2008

Monetary Compensation Amount: \$34,999.00

Individual Contribution Amount: \$20,000.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENTS ALLEGES THAT IN APRIL 2005, THEY INVESTED IN A SINGLE REIT RECOMMENDED BY MR. MAIN. OCTOBER 2006 RECEIVED NOTIFICATION STATUS OF REIT WAS IN QUESTION AND THE FUNDS WERE INVESTED IN JD WEALTH MANAGEMENT AND CONVERTED FOR PERSONAL USE.

Product Type: Other: REAL ESTATE INVESTMENT TRUST

Alleged Damages: \$22,000.00

Arbitration Information

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

Docket/Case #: 07-01571

Date Notice/Process Served: 06/22/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/27/2008



Monetary Compensation Amount: \$34,999.00

Individual Contribution Amount: \$20,000.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES THAT IN APRIL 2005, SHE INVESTED \$35,000 IN A SINGLE REIT RECOMMENDED BY MR. MAIN. OCTOBER 2006 NOTIFIED STATUS OF REIT WAS IN QUESTION AND THE FUNDS WERE INVESTED IN JD WEALTH MANAGEMENT AND CONVERTED FOR PERSONAL USE.

Product Type: Other

Other Product Type(s): REAL ESTATE INVESTMENT TRUST

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received: 01/29/2007

Complaint Pending? No

Status: Closed/No Action

Status Date: 12/09/2008

Settlement Amount:

Individual Contribution Amount:

Firm Statement THAT UPON FURTHER INVESTIGATION WE DISCOVERED THAT THE COMPLAINANT IS ONE IN THE SAME UNDER ANOTHER COMPLAINT FILING THAT EVOLVED INTO ARBITRATION. THEREFORE THIS COMPLAINT IS A DUPLICATE COMPLAINT.



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: SIGMA FINANCIAL CORP
Termination Type: Discharged
Termination Date: 09/11/2006
Allegations: SOLICITING AND ACCEPTING FUNDS FROM CUSTOMERS WITHOUT CONSENT AND KNOWLEDGE OF BD. FUNDS CONVERTED FOR PERSONAL USE.
Product Type: Other
Other Product Types: PROMISORY NOTE
Firm Statement ISSUED PROMISORY NOTES FROM CORPORATE ENTITY UNDER HIS CONTROL (JD MAIN WEALTH MANAGEMENT)

Reporting Source: Individual
Firm Name: SIGMA FINANCIAL CORPORATION
Termination Type: Discharged
Termination Date: 09/11/2006
Allegations: JORDAN MAIN PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS IN VIOLATION OF NASD RULE 3040 AND 2110.
Product Type: No Product



End of Report

This page is intentionally left blank.