



IAPD Report

DON EUGENE HARDIN III

CRD# 4591196

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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

DON EUGENE HARDIN III (CRD# 4591196)

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 **09/09/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LIBERTY ONE INVESTMENT MANAGEMENT	CRD# 304290	01/29/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	FTJ FUNDCHOICE, LLC	125446	Hebron, KY	10/11/2016 - 06/04/2019
IA	HARRIS INVESTOR SERVICES, INC.	137115	MILWAUKEE, WI	08/26/2009 - 01/26/2012
B	BMO HARRIS FINANCIAL ADVISORS, INC.	137115	MILWAUKEE, WI	06/01/2009 - 01/26/2012

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	4
Judgment/Lien	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LIBERTY ONE INVESTMENT MANAGEMENT**
Main Address: 1509 N. MILWAUKEE AVE.
LIBERTYVILLE, IL 60048
Firm ID#: 304290

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	09/08/2021

Branch Office Locations

LIBERTY ONE INVESTMENT MANAGEMENT
Maricopa, AZ



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B General Securities Representative Examination (S7)	Series 7	12/04/2002
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/31/2016
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IA B Uniform Combined State Law Examination (S66)	Series 66	12/27/2002
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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	10/11/2016 - 06/04/2019	FTJ FUNDCHOICE, LLC	CRD# 125446	Hebron, KY
IA	08/26/2009 - 01/26/2012	HARRIS INVESTOR SERVICES, INC.	CRD# 137115	MILWAUKEE, WI
B	06/01/2009 - 01/26/2012	BMO HARRIS FINANCIAL ADVISORS, INC.	CRD# 137115	MILWAUKEE, WI
B	12/13/2007 - 06/10/2009	M&I FINANCIAL ADVISORS, INC	CRD# 16517	WAUWATOSA, WI
IA	12/13/2007 - 06/10/2009	M&I FINANCIAL ADVISORS, INC.	CRD# 16517	WAUWATOSA, WI
B	07/06/2005 - 12/05/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	KENOSHA, WI
IA	07/06/2005 - 12/05/2007	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	KENOSHA, WI
B	03/22/2004 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
IA	03/22/2004 - 07/06/2005	BANC ONE SECURITIES CORPORATION	CRD# 16999	KENOSHA, WI
IA	01/02/2003 - 03/04/2004	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	SAN FRANCISCO, CA
B	12/05/2002 - 03/04/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	12/05/2002 - 03/04/2004	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
12/2019 - Present	LIBERTY ONE INVESTMENT MANAGEMENT	Investment Adviser Representative	Y	Libertyville, IL, United States
06/2019 - 12/2019	Unemployed	Unemployed	N	Cincinnati, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2015 - 06/2019	FTJ FUNDCHOICE, LLC	INTERNAL SALES	Y	Hebron, KY, 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.

USA Hockey - Ice hockey referee

Regentech, LLC - mechanical patent licensing, 20 hrs per month



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	4
Judgment/Lien	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	WISCONSIN
Sanction(s) Sought:	Revocation
Date Initiated:	08/24/2009
Docket/Case Number:	NONE
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	HARRIS INVESTOR SERVICES INC
Product Type:	No Product
Allegations:	DELINQUENT FOR WI STATE TAXES
Current Status:	Final
Resolution:	NOTICE OF REVOCATION
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:	08/24/2009



Sanctions Ordered: Revocation

Regulator Statement WISCONSIN DEPT OF REVENUE CERTIFIED HARDIN AS DELINQUENT FOR STATE TAXES. STATUTE REQUIRES REVOCATION AFTER 30 DAYS NOTICE. NOTICE ISSUED 7/24/09. HARDIN FAILED TO RESOLVE HIS DELINQUENCY BY THE DUE DATE OF 8/24/09. THIS IS NOT A DISCIPLINARY EVENT FOR VIOLATIONS OF ANY SECURITIES LAW. AGENT MAY REAPPLY AFTER RESOLUTION OF TAX DELINQUENCY.

WI DEPT OF REVENUE ISSUED OCCUPATIONAL LICENSE CLEARANCE CERTIFICATE DTD 8/25/09 WHICH REFLECTS AGENT HAS MADE SATISFACTORY ARRANGEMENTS WITH THAT DEPT CONCERNING HIS DELINQUENT TAX ACCOUNT.

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF WISCONSIN DEPT OF FINANCIAL INSTITUTIONS DIVISIONS OF SECURITIES

Sanction(s) Sought: Cease and Desist
Requalification
Revocation

Date Initiated: 08/24/2009

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: HARRIS INVESTOR SERVICES, INC

Product Type: No Product

Allegations: ON AUGUST 24, 2009 THE STATE OF WISCONSIN DEPARTMENT OF FINANCIAL INSTITUTIONS DIVISION OF SECURITIES ("DIVISION OF SECURITIES") REVOKED DON E. HARDIN, III'S ("HARDIN") STATE OF WISCONSIN SECURITIES AGENT REGISTRATION FOR HARDIN'S FAILURE TO PAY A WISCONSIN DEPARTMENT OF REVENUE TAX DELINQUENCY WITHIN THE PRESCRIBED NOTICE PERIOD. UPON REVOCATION OF HARDIN'S WISCONSIN SECURITIES LICENSE, THE STATE OF WISCONSIN DIVISION OF SECURITIES REQUESTED THAT HARDIN NOT CONDUCT ANY SECURITIES BUSINESS, INCLUDING CONTACTING OR SOLICITING CLIENTS TO DISCUSS THEIR ACCOUNTS OR TRANSACTIONS UNTIL SUCH TIME AS HARDIN AGAIN BECOMES REGISTERED AS A SECURITIES AGENT IN WISCONSIN. UPON HARDIN'S SATISFACTION/PAYMENT OF THE ENTIRE AMOUNT OF TAX DUE TO THE WISCONSIN DEPARTMENT OF REVENUE ON AUGUST 25, 2009, THE STATE OF WISCONSIN DIVISION OF SECURITIES PERMITTED HARDIN TO SUBMIT A NEW APPLICATION FOR REGISTRATION. HARDIN SUBSEQUENTLY BECAME RE-REGISTERED IN THE STATE OF WISCONSIN ON AUGUST 26, 2009.

Current Status: Final

Resolution: SEE ITEM 14 FOR RESPONSE

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:	08/26/2009
Sanctions Ordered:	Cease and Desist Requalification Revocation
Requalification 1 of 1	
Requalification Type:	UPON HARDIN'S SATISFACTION/PAYMENT OF THE ENTIRE AMOUNT OF TAX DUE TO THE WISCONSIN DEPARTMENT OF REVENUE ON AUGUST 25, 2009, THE STATE OF WISCONSIN DIVISION OF SECURITIES PERMITTED HARDIN TO SUBMIT A NEW APPLICATION FOR REGISTRATION. HARDIN SUBSEQUENTLY BECAME RE-REGISTERED IN THE STATE OF WISCONSIN ON AUGUST 26, 2009.
Length of time given to requalify:	SEE NOTES BELOW
Type of exam required :	
Has condition been satisfied:	Yes
Broker Statement	RESPONSE TO ITEM 11: UPON HARDIN'S SATISFACTION/PAYMENT OF THE ENTIRE AMOUNT OF TAX DUE TO THE WISCONSIN DEPARTMENT OF REVENUE ON AUGUST 25, 2009, THE STATE OF WISCONSIN DIVISION OF SECURITIES PERMITTED HARDIN TO SUBMIT A NEW APPLICATION FOR REGISTRATION. HARDIN SUBSEQUENTLY BECAME RE-REGISTERED IN THE STATE OF WISCONSIN ON AUGUST 26, 2009.



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:	CHASE INVESTMENT SERVICES CORP.
Allegations:	CLIENT ALLEGES MISREPRESENTATION RELATING TO A VARIABLE ANNUITY INVESTMENT. ACTIVITY DATES 11/30/07-11/30/07.
Product Type:	Annuity-Variable
Alleged Damages:	\$61,884.49
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:	05/19/2009
Complaint Pending?	No
Status:	Denied
Status Date:	07/21/2009
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP
Allegations:	CLIENT ALLEGES MISREPRESENTATION RELATING TO A VARIABLE ANNUITY INVESTMENT. ACTIVITY DATES 11/30/07-11/30/07.
Product Type:	Annuity-Variable
Alleged Damages:	\$61,884.49
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: 05/19/2009

Complaint Pending? No

Status: Denied

Status Date: 07/21/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

FROM MR. HARDIN: THE CLIENT IN QUESTION WAS PROPERLY INFORMED AND UNDERSTOOD THE RIDER THAT WAS DISCUSSED. THERE WAS NO MISREPRESENTATION. DUE TO A CLERICAL ERROR, AN INCORRECT RIDER WAS APPLIED TO THE CONTRACT. AFTER I LEFT THE EMPLOYMENT OF CHASE, THE ERROR WAS NOTICED BY THE FORMER CLIENT. ONCE AWARE OF THE SITUATION, I CONTACTED BOTH THE FORMER CLIENT AND THE ISSUING VA INSURANCE COMPANY AND CORRECTED THE ERROR THE SAME DAY. ONCE SATISFIED WITH MY CORRECTIVE ACTIONS, THE CLIENT LEFT CHASE AND BECAME MY CLIENT AGAIN.

Disclosure 2 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES SUITABILITY RELATING TO A VARIABLE ANNUITY AND FIXED ANNUITY INVESTMENT. ACTIVITY DATES 07/19/07-07/19/07.

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$51,716.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 06/04/2009

Settlement Amount: \$40,856.30

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES, CORP

Allegations: CLIETN ALLEGES SUITABILITY RELATING TO A VARIABLE ANNUITY AND FIXED ANNUITY INVESTMENT. ACTIVITY DATES ARE 07/19/07-07/09/07.

Product Type: Annuity-Fixed
Annuity-Variable

Alleged Damages: \$51,716.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/22/2009

Complaint Pending? No

Status: Settled

Status Date: 06/04/2009

Settlement Amount: \$40,856.30

Individual Contribution Amount: \$0.00

Broker Statement

FROM TRIPP HARDIN: I LEFT CHASE ON DEC 3RD, 2007 AND PER MY AGREEMENT WITH CHASE, DID NOT RETAIN ANY FILES, NOR HAVE ANY CONTACT WITH ANY OF MY PREVIOUS CLIENTS. IT WAS AGREED UPON THAT MY CLIENTS AND FIELDS WOULD BE PASSED ON TO ANOTHER ADVISOR SO THAT THE CLIENT WOULD CONTINUE TO BE SERVICED. I HAVE NO IDEA IF THAT HAS HAPPENED IN [CUSTOMER]'S CASE; HOWEVER, I DO KNOW ANOTHER FORMER CLIENT HAD NOT BEEN SERVICED OR CONTACTED FOR OVER 18 MONTHS AFTER MY DEPARTURE. UNFORNATELY, WITHOUT ANY OF MY NOTES OR RECORDS, I HAVE NO RECOLLECTION OF ANY CONVERSATIONS OR DEALINGS WITH [CUSTOMER]. I THINK IT IS NOTABLE THAT WHILE SHPENDING 4.5 YEARS WITH CHASE I DID NOT HAVE A SINGLE COMPLAINT. EVERY COMPLAINT HAS BEEN FROM CHASE CUSTOMERS AND AFTER I LEFT THEIR EMPLOYMENT. IN NOT ONE INSTANCE HAS CHASE EVER CONTACTED ME DURING THEIR INVESTIGATION AND PRIOR TO MAKING ANY DECISION ON ANY OF THE COMPLAINTS. IN ALL INSTANCES, I HAVE RECEIVED NOTIFICATION POST MORTEM.

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO A UIT INVESTMENT. ACTIVITY DATES 02/13/2007-02/13/2007.

Product Type: Unit Investment Trust(s)



Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 02/09/2009

Complaint Pending? No

Status: Denied

Status Date: 03/27/2009

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES MISREPRESENTATION RELATING TO A UIT INVESTMENT. ACTIVITY DATES 2/13/07 - 2/13/07

Product Type: Unit Investment Trust(s)

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 02/09/2009

Complaint Pending? No

Status: Denied

Status Date: 03/27/2009

Settlement Amount:

Individual Contribution Amount:

Broker Statement

I MET WITH THE CLIENTS, [CUSTOMERS], ON 2/13/07. PRODUCT DISCUSSED AND RECOMMENDED WAS A CLAYMORE MAAPS UIT THAT HAD A 2 YEAR DURATION. THE CLAYMORE MAAPS IS A 100% STOCK INVESTMENT WITH A COST OF APPROXIMATELY 2.5% TO ENTER. AS IS WITH ALL THE UIT'S WE HAD AT CHASE, THE COST IS SPREAD OUT OVER THE FIRST SIX MONTHS. ALL DISCLOSURES WERE READ, DISCUSSED, AND SIGNED BY THE CLIENT. THE CLIENT WAS FREE TO MOVE OUT OF THE PRODUCT AT ANY TIME HOWEVER, IF DONE WITHIN THE FIRST SIX MONTHS, THE CLIENT WOULD STILL BE RESPONSIBLE FOR THE UNPAID PORTION OF THE INITIAL COST OF ENTRY. NINE MONTHS INTO THE DURATION OF THE PRODUCT, I LEFT CHASE FOR ANOTHER FIRM. AT THAT TIME, THE PRODUCT WAS PERFORMING TO THE CLIENT'S SATISFACTION.

WHEN I LEFT CHASE, PER MY AGREEMENT, I DID NOT RETAIN ANY CLIENT FILES, CONTACTS ETC. IT WAS ALSO MY UNDERSTANDING THAT UPON MY DEPARTURE, ALL CLIENTS AND CLIENT FILES WOULD BE ASSIGNED TO ANOTHER FINANCIAL ADVISOR WITHIN CHASE INVESTMENT SERVICES SO THAT THE CLIENT WOULD CONTINUE BEING SERVICED WITH REVIEW OF THE PRODUCT AND PROVIDED ANY OPTIONS THAT MAY BE AVAILABLE. I HAVE NOT HAD ANY CONTACT OR COMMUNICATION FROM THE CLIENT AS



OF MY DEPARTURE DATE OF 12-3-07.

4/27/09 - CHASE INVESTMENT SERVICES DENIED THE CLIENT'S CLAIM ON 3/27/09.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH THE PURCHASE OF A UIT.

Product Type: Unit Investment Trust(s)

Alleged Damages: \$16,444.67

Customer Complaint Information

Date Complaint Received: 04/10/2008

Complaint Pending? No

Status: Settled

Status Date: 05/15/2008

Settlement Amount: \$13,113.29

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP

Allegations: CLIENT ALLEGES MISREPRESENTATION IN CONNECTION WITH THE PURCHASE OF A UIT

Product Type: Unit Investment Trust(s)

Alleged Damages: \$16,444.67

Customer Complaint Information

Date Complaint Received: 04/10/2008

Complaint Pending? No

Status: Settled

Status Date: 05/15/2008

Settlement Amount: \$13,113.29

Individual Contribution Amount: \$0.00

Broker Statement AFTER I LEFT THE EMPLOY OF CHASE INVESTMENT SERVICES CORP (CISC)ON DECEMBER 03, 2007, CISC ALLEDEDLY RECEIVED AN ORAL COMPLAINT, FROM [CUSTOMER] ON APRIL 10, 2008, CLAIMING MISREPRESENTATION IN THE PURCHASE OF A UIT AND SEEKING



DAMAGES OF \$16,444.67. I WAS NOT INFORMED OF THE COMPLAINT, GIVEN AN OPPORTUNITY TO RESPOND TO THE ALLEGATIONS OF [CUSTOMER], OR CONSULTED REGARDING CISC'S DECISION TO SETTLE FOR THE AMOUNT OF \$13,113.29 ON MAY 15, 2008. CISC DID NOT INFORM ME OF THE ORAL COMPLAINT OR OF THE SETTLEMENT UNTIL, UNDER COVER OF A LETTER DATED JUNE 21, 2008, THEY MAILED TO ME A COPY OF AN AMENDMENT TO MY FORM U-5. I DENY THAT ANY UIT PURCHASE MADE BY [CUSTOMER] THROUGH ME WAS MISREPRESENTED. I PRESENTED THE UIT AS MANAGEMENT OF CISC REQUESTED, IN PARTICULAR [MANAGER], AREA MANAGER, [MANAGER], STATE MARKET MANAGER AND [MANAGER], DISTRICT MANAGER. OTHER RECENTLY DEPARTED CHASE FINANCIAL ADVISORS HAVE ALSO RECEIVED SIMILAR COMPLAINTS REGARDING THE UIT AFTER THEIR DEPARTURE. IT APPEARS THAT THE "COMPLAINT" WAS GENERATED AND SETTLED BY CISC TO INTERFERE WITH MY ABILITY TO CONDUCT BUSINESS AFTER MY DEPARTURE FROM CISC OR IN RETALIATION FOR MY DECISION TO LEAVE CISC AND JOIN A COMPETITOR.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$11,225.24
Judgment/Lien Type:	Tax
Date Filed:	04/20/2009
Type of Court:	REIGSTER OF DEEDS
Name of Court:	REGISTER OF DEEDS MILWAUKEE COUNTY
Location of Court:	MILWAUKEE, WISCONSIN
Docket/Case #:	SEE #8
Judgment/Lien Outstanding?	Yes
Broker Statement	MONTHLY PAYMENTS ARE BEING MADE AS AGREED UPON. REMOVAL OF LIEN IS IN PROCESS. IN RESPONSE TO 5C: #09727872 IS A REFERENCE NUMBER AT THE MILWAUKEE REGISTER OF DEEDS



End of Report

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