



IAPD Report

William M Swayne

CRD# 4616158

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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

William M Swayne (CRD# 4616158)

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 **02/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WMS WEALTH MANAGEMENT LLC	CRD# 311372	09/02/2022

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
B	INTEGRITY BROKERAGE, LLC	117589	SEATTLE, WA	03/19/2021 - 02/10/2024
B	CABOT LODGE SECURITIES LLC	159712	Mukilteo, WA	06/17/2019 - 02/05/2021
IA	SANDLAPPER WEALTH MANAGEMENT, LLC	41534	Seattle, WA	09/07/2018 - 12/31/2020

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	5
Financial	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: **WMS WEALTH MANAGEMENT LLC**
Main Address: 12189 GREENHAVEN
SUITE 108
MUKILTEO, WA 98275-6062
Firm ID#: 311372

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	09/02/2022

Branch Office Locations

WMS WEALTH MANAGEMENT LLC
12189 GREENHAVEN
SUITE 108
MUKILTEO, WA 98275-6062



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	11/12/2009
General Securities Representative Examination (S7)	Series 7	12/18/2002

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	01/30/2003
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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
B	03/19/2021 - 02/10/2024	INTEGRITY BROKERAGE, LLC	CRD# 117589	SEATTLE, WA
B	06/17/2019 - 02/05/2021	CABOT LODGE SECURITIES LLC	CRD# 159712	Mukilteo, WA
IA	09/07/2018 - 12/31/2020	SANDLAPPER WEALTH MANAGEMENT, LLC	CRD# 41534	Seattle, WA
B	09/21/2018 - 05/22/2019	SANDLAPPER SECURITIES, LLC	CRD# 137906	Seattle, WA
B	10/30/2017 - 09/13/2018	EMERSON EQUITY LLC	CRD# 130032	SAN MATEO, CA
IA	10/30/2017 - 09/13/2018	EMERSON EQUITY LLC	CRD# 130032	Seattle, WA
IA	05/17/2017 - 10/18/2017	SANDLAPPER WEALTH MANAGEMENT, LLC	CRD# 41534	Seattle, WA
B	04/28/2017 - 10/18/2017	SANDLAPPER SECURITIES, LLC	CRD# 137906	GREENVILLE, SC
IA	02/17/2012 - 04/21/2017	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SEATTLE, WA
B	02/09/2012 - 04/21/2017	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SEATTLE, WA
IA	01/31/2003 - 02/10/2012	PACIFIC WEST FINANCIAL CONSULTANTS INC	CRD# 108728	SEATTLE, WA
B	12/19/2002 - 02/10/2012	PACIFIC WEST SECURITIES, INC.	CRD# 6390	SEATTLE, WA

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
04/2022 - Present	WMS Wealth Management LLC	Investment Adviser Representative	Y	Mukilteo, WA, United States
03/2021 - Present	Integrity Brokerage, LLC	Registered Rep	Y	Mukilteo, WA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2001 - Present	WMS Consultants, LLC	Advisor & Advisor Assistant	Y	Mukilteo, WA, United States
06/2019 - 03/2021	Cabot Lodge Securities LLC	Registered Representative	Y	New York, NY, United States
09/2018 - 05/2019	SANDLAPPER Securities, LLC	Registered Representative	Y	Seattle, WA, United States
08/2018 - 05/2019	Sandlapper Wealth Management, LLC	Financial Advisor	Y	Seattle, WA, United States
10/2017 - 08/2018	Emerson Equity LLC	Registered Representative	Y	San Mateo, CA, United States
04/2017 - 10/2017	SANDLAPPER Securities, LLC	Financial Advisor	Y	Greenville, SC, United States
04/2017 - 10/2017	Sandlapper Wealth Management, LLC	Financial Advisor	Y	Greenville, SC, United States
12/2002 - 10/2017	WMS FINANCIAL PLANNERS	Director of Investments	Y	SEATTLE, WA, United States
02/2012 - 05/2017	INDEPENDENT FINANCIAL GROUP	FINANCIAL ADVISOR	Y	SEATTLE, WA, 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) WMS Wealth Management. (2) Yes-investment related. (3) 12189 Greenhaven # 108, Mukilteo, WA 98275. (4) RIA. (5) Investment advisor. (6) Investment advisor. (7) January 2020. (8) 80 hours monthly. (9) 6 hours. (10) Service and consulting, handle client accounts, service & Implementation, time spent

(1) WMS Consultants. (2) Yes-investment related. (3) 12189 Greenhaven # 108, Mukilteo, WA 98275. (4) Insurance consultant. (5) Insurance broker. (6) No title. (7) 2002. (8) 1-5 hours per month. (9) 1-5 hrs per mo. (10) Review, analysis, and preparing clients with policies that match their needs.



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	5
Financial	1

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES
Allegations:	UNSUITABILITY; BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; VIOLATION OF WASHINGTON CONSUMER PROTECTION ACT; VIOLATION OF SECURITIES ACT OF WASHINGTON IN CONNECTION WITH 4 TENANT IN COMMON INVESTMENTS.
Product Type:	Other: TENANT IN COMMON (TIC)
Alleged Damages:	\$1,000,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION
Docket/Case #:	15-00549
Date Notice/Process Served:	04/22/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/30/2015
Monetary Compensation Amount:	\$10,000.00



Individual Contribution Amount:	\$0.00
Broker Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS IN THE CLAIM, THE PARTIES SETTLED THE MATTER TO AVOID FURTHER COSTS AND RESOURCES ASSOCIATED WITH THIS DISPUTE.
Disclosure 2 of 5	
Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES
Allegations:	STATEMENT OF CLAIM ALLEGED UNSUITABLE INVESTMENTS, OMISSIONS, MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, NEGLIGENCE IN CONNECT WITH TENANT IN COMMON INVESTMENTS PURCHASED IN 2005-2007.
Product Type:	Other: TENANT IN COMMON
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIM SPECIFIED DAMAGES ACCORDING TO PROOF WITHOUT ASSIGNING SPECIFIC DAMAGES TO THE NAMED DEFENDANTS OR REGISTRANT. FIRM DETERMINED THE DAMAGES WOULD BE MORE THAN \$5000.
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION
Docket/Case #:	14-02185
Date Notice/Process Served:	10/15/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/05/2016
Monetary Compensation Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The individual has been removed from this arbitration as part of the settlement agreement.
Disclosure 3 of 5	
Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	Pacific West Securities, Inc. and WMS Financial Planners, Inc.
Allegations:	William Madison Swayne, III was named in a customer complaint that asserted the following causes of action: negligence/gross negligence; misrepresentations and material omissions; and control person liability and failure to supervise.
Product Type:	Other: Tenant-in-common investments,



Alleged Damages: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #13-01600](#)

Date Notice/Process Served: 05/23/2013

Arbitration Pending? No

Disposition: Award

Disposition Date: 11/16/2016

Disposition Detail: William Madison Swayne, III is jointly and severally liable for and shall pay to Claimants the amount of \$1,134,911.49 in compensatory damages. Respondent is jointly and severally liable for and shall pay to Claimants the amount of \$65,000.00 in attorneys' fees and witness' fees.

Regulator Statement On October 5, 2017, Swayne filed a petition seeking review before the Washington State Court of Appeals of the Court's September 6, 2017 Order confirming the Arbitration Award and Denying Petitioners' Motion to Vacate. The Award has not been paid.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC WEST SECURITIES, INC

Allegations: REGISTERED REPRESENTATIVE AND PRIOR BROKER-DEALER ARE NAMED PARTIES IN THE STATEMENT OF CLAIM. ALLEGATIONS INCLUDE NEGLIGENCE, UNSUITABLE INVESTMENTS, MISREPRESENTATION & OMISSIONS IN CONNECTION WITH TENANT IN COMMON INVESTMENTS PURCHASED IN 2008.

Product Type: Other: TENANT IN COMMON (TIC)

Alleged Damages: \$800,500.00

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: 11/12/2013

Complaint Pending? No

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

Status Date: 05/23/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



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

FINRA

Docket/Case #:

[13-01600](#)

Date Notice/Process Served:

07/30/2013

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

11/16/2016

Monetary Compensation Amount:

\$1,134,911.49

Individual Contribution Amount:

\$0.00

Disclosure 4 of 5

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

PACIFIC WEST SECURITIES, INC.

Allegations:

CLAIMANTS ALLEGE VIOLATIONS OF THE WASHINGTON SECURITIES ACT, VIOLATIONS OF THE CONSUMER PROTECTION ACT, BREACH OF FIDUCIARY DUTY, AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF SEVERAL TICS FROM EARLY 2003 THROUGH 2009.

Product Type:

Direct Investment-DPP & LP Interests

Alleged Damages:

\$3,285,789.04

Alleged Damages Amount Explanation (if amount not exact):

LANGUAGE OF THE ARBITRATION READS DAMAGES AS DETERMINED BY THE PANEL AWARD. AT THE CLOSE OF THE HEARING THE CLAIMANTS ADJUSTED ITS CLAIM.

Arbitration Information

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

FINRA

Docket/Case #:

[11-00230](#)

Date Notice/Process Served:

01/14/2011

Arbitration Pending?

No

Disposition:

Award to Customer

Disposition Date:

03/30/2012

Monetary Compensation Amount:

\$1,862,960.65

Individual Contribution Amount:

\$0.00

Firm Statement

RESPONDENT CONTINUES TO DENY LIABILITY AND ALLEGED AFFIRMATIVE DEFENSES. CLAIMANT FAILED TO STATE A CLAIM, FAILED TO PROVE MATERIALITY, AND FAILED TO MITIGATE DAMAGES. AT THE TIME OF THEIR PURCHASES THE CLIENTS WERE IN THE MID-70S, FULLY ENGAGED IN AND EXPERIENCED IN REAL ESTATE INVESTMENTS. DUE TO AN ECONOMIC



DOWNTURN IN THE GLOBAL MARKETS AND ITS RESULTING EFFECT ON US REAL ESTATES, CLAIMANTS USED THESE EVENTS AS A CATALYST TO CLAIM WRONG DOING ON THE PART OF RESPONDENTS. RESPONDENTS RETAIN THE POSITION THAT ALL INVESTMENTS WERE SUITABLE AND IN ACTUAL FACT, AFTER ALL DISTRIBUTIONS AND A MARKET VALUATION OF THEIR CURRENT PORTFOLIO, IT COULD NOT BE DEMONSTRATED THAT CLIENTS LOST ANY OF THEIR INVESTED DOLLARS.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PACIFIC WEST SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE VIOLATIONS OF THE WASHINGTON SECURITIES ACT, VIOLATIONS OF THE CONSUMER PROTECTION ACT, BREACH OF FIDUCIARY DUTY, AND NEGLIGENCE IN CONNECTION WITH THE PURCHASE OF SEVERAL TICS FROM EARLY 2003 THROUGH 2009.

Product Type: Other: TICS

Alleged Damages: \$2,816,794.00

Alleged Damages Amount Explanation (if amount not exact): ABOVE IS TOTAL AMOUNT INVESTED. CLAIMANTS REQUESTED (A) DAMAGES IN AMOUNT TO BE DETERMINED BY PANEL; (B) PRE-JUDGMENT INTEREST AT THE LEGAL RATE; (C) REASONABLE ATTORNEYS' FEES PURSUANT TO THE WA SECURITIES ACT, THE WA CONSUMER PROTECTION ACT, AND OTHERWISE; (D) TREBLE DAMAGES OF \$10,000, AS PROVIDED BY THE WA CONSUMER PROTECTION ACT; (E) PUNITIVE DAMAGES IN AN AMOUNT TO DETER SIMILAR CONDUCT BY PACWEST AND ITS REPRESENTATIVES IN THE FUTURE; AND (F) ALL OTHER RELIEF, DEEMED APPROPRIATE.

Arbitration Information

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

Docket/Case #: [11-00230](#)

Date Notice/Process Served: 01/31/2011

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/30/2012

Monetary Compensation Amount: \$1,862,960.65

Individual Contribution Amount: \$0.00

Broker Statement RESPONDENTS CONTINUE TO DENY LIABILITY AND ALL ALLEGATIONS. CLAIMANT FAILED TO STATE A VIABLE CLAIM, FAILED TO PROVE MATERIALITY AND FAILED TO DEMONSTRATE DAMAGES. AT THE TIME OF THEIR PURCHASES, THE CLIENTS WERE FULLY ENGAGED AND EXPERIENCED REAL ESTATE INVESTORS. DISPUTE WAS DUE TO AND MOTIVATED BY THE ECONOMIC DOWNTURN IN GLOBAL MARKETS AND RESULTING EFFECTS ON THE US ECONOMY AND REAL ESTATE. RESPONDENTS RETAIN THE POSITION THAT THE INVESTMENTS WERE SUITABLE AND IN FACT IT COULD NOT BE DEMONSTRATED THAT



CLAIMANTS LOST ANY OF THEIR INVESTED DOLLARS.

Disclosure 5 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PACIFIC WEST SECURITIES, INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, VIOLATION OF WASHINGTON CONSUMER PROTECTION ACT, NEGLIGENCE, NEGLIGENT MISREPRESENTATION, AND VIOLATION OF THE WASHINGTON STATE SECURITIES ACT IN RELATION TO THE PURCHASE OF SEVERAL DPPS, EQUIPMENT LEASING, AND OIL & GAS INTERESTS.
Product Type:	Direct Investment-DPP & LP Interests Equipment Leasing Oil & Gas
Alleged Damages:	\$1,298,790.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09-5519LA
Date Notice/Process Served:	10/09/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/02/2010
Monetary Compensation Amount:	\$500,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	*FILING FIRM AMENDED DRP AS A RESPONSE TO DISCLOSURE LETTER 4-19-12. PREVIOUS FIRM DID NOT CHECK CORRECT DISCLOSURE ITEMS WHEN THIS WAS SETTLED.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	12/26/2017
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	Western District of Washington
Location of Court:	700 Stewart Street, Room 6301, Seattle, WA 98101
Docket/Case #:	17-15534-MLB
Action Pending?	No
Disposition:	Discharged
Disposition Date:	06/29/2018



End of Report

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