



IAPD Report

CHRISTOPHER ROCCO COTTONE

CRD# 4622691

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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

CHRISTOPHER ROCCO COTTONE (CRD# 4622691)

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 **07/26/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INTEGRITY INVESTMENT ADVISORS, LLC	CRD# 140838	02/10/2015
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	LPL FINANCIAL LLC	CRD# 6413	11/29/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	NATIONAL PLANNING CORPORATION	29604	Columbia, MO	10/29/2014 - 11/29/2017
IA	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	Columbia, MO	10/29/2014 - 11/29/2017
IA	ALEXANDER LABRUNERIE & CO., INC.	117153	COLUMBIA, MO	10/14/2009 - 09/26/2014

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
Criminal	1
Customer Dispute	2



Report Summary



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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	11/29/2017
B	FINRA	General Securities Representative	Approved	11/29/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	11/29/2017
B	FINRA	Operations Professional	Approved	11/29/2017
B	FINRA	Registered Options Principal	Approved	11/29/2017
B	Alabama	Agent	Approved	10/02/2024
B	Alaska	Agent	Approved	01/26/2022
B	Arizona	Agent	Approved	03/25/2022
B	Arkansas	Agent	Approved	11/29/2017
B	California	Agent	Approved	11/29/2017
B	Colorado	Agent	Approved	11/29/2017
B	Florida	Agent	Approved	11/30/2017
B	Georgia	Agent	Approved	11/29/2017



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	09/20/2018
B Illinois	Agent	Approved	11/29/2017
IA Illinois	Investment Adviser Representative	Approved	11/29/2017
B Indiana	Agent	Approved	08/20/2019
B Iowa	Agent	Approved	11/29/2017
B Kansas	Agent	Approved	11/29/2017
IA Kansas	Investment Adviser Representative	Approved	11/29/2017
B Michigan	Agent	Approved	09/24/2020
B Minnesota	Agent	Approved	11/29/2017
B Mississippi	Agent	Approved	06/02/2023
B Missouri	Agent	Approved	11/29/2017
IA Missouri	Investment Adviser Representative	Approved	11/29/2017
B Nebraska	Agent	Approved	11/29/2017
B New Jersey	Agent	Approved	11/29/2017
B New Mexico	Agent	Approved	11/29/2017
B North Carolina	Agent	Approved	09/22/2020
B North Dakota	Agent	Approved	11/23/2020
B Ohio	Agent	Approved	12/10/2018
B Oklahoma	Agent	Approved	11/29/2017



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	11/09/2020
B Pennsylvania	Agent	Approved	07/28/2025
B South Carolina	Agent	Approved	09/30/2020
B South Dakota	Agent	Approved	09/11/2018
B Tennessee	Agent	Approved	11/29/2017
B Texas	Agent	Approved	11/29/2017
IA Texas	Investment Adviser Representative	Restricted Approval	04/13/2021
B Utah	Agent	Approved	11/29/2017
B Virgin Islands	Agent	Approved	04/24/2018
B Virginia	Agent	Approved	11/29/2017
B Washington	Agent	Approved	02/01/2022
B Wisconsin	Agent	Approved	07/24/2018

Branch Office Locations

LPL FINANCIAL LLC
 4240 PHILLIPS FARM RD STE 103
 Columbia, MO 65201

Employment 2 of 2

Firm Name: **INTEGRITY INVESTMENT ADVISORS, LLC**
 Main Address: 500 E MAIN STREET
 LANSDALE, PA 19446
 Firm ID#: 140838



Qualifications

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	02/10/2015

Branch Office Locations

INTEGRITY INVESTMENT ADVISORS, LLC
GLEN CARBON, IL



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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	09/28/2016
Registered Options Principal Examination (S4)	Series 4	12/30/2008

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/20/2006
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/16/2003

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/07/2009
Uniform Securities Agent State Law Examination (S63)	Series 63	08/22/2003

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	10/29/2014 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	Columbia, MO
IA	10/29/2014 - 11/29/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	Columbia, MO
IA	10/14/2009 - 09/26/2014	ALEXANDER LABRUNERIE & CO., INC.	CRD# 117153	COLUMBIA, MO
B	01/17/2003 - 09/26/2014	LABRUNERIE FINANCIAL SERVICES, INC.	CRD# 37627	COLUMBIA, MO

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
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Columbia, MO, United States
01/2015 - Present	Integrity Investment Advisors, LLC	Investment Adviser Representative	Y	COLUMBIA, MO, United States
10/2014 - 07/2018	NATIONAL PLANNING CORPORATION	INVESTMENT ADVISOR REPRESENTATIVE	Y	Columbia, MO, 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.

- 11/29/2017 - Cottone & Company LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 1/11/2011 - 160 Hours Per Month/130 During Securities Trading.
- 7/9/2018 - Cottone Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 08/17/2015 - 160 Hours Per Month/7 Hours During Securities Trading.
- 7/12/2018 - Integrity Investment Advisors, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor - Started 01/01/2015 - 10 Hours Per Month/5 Hours During Securities Trading - I provide financial planning and consulting services through Integrity Investment Advisors, an independent investment advisor firm. Please see the Form ADV of the advisory firm for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 7/17/2018 - No Business Name - Investment Related - Home Based, and COLUMBIA MO 65203, 65203, 65202 & 65202 -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Real Estate Rental - Started 10/01/2006 - 10 Hours Per Month/0 Hours During Securities Trading - RENTAL PROPERTIES OWNED PERSONALLY.

5. 7/17/2018 - No Business Name - Not Investment Related - At Reported Business Location(s) - Other-Notary - Started 01/01/2009 - 1 Hour Per Month During Securities Trading - Notary in the state of MO.

6. 7/26/2018 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date: 10/01/2014 - 10 Hours Per Month/3 Hours During Securities Trading.



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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CITY OF COLUMBIA, MUNICIPAL COURT, MISSOURI; CASE NUMBER 1-01-002054.
Charge Date:	12/05/2001
Charge Details:	1 COUNT MISDEMEANOR THEFT.
Felony?	No
Current Status:	Final
Status Date:	02/28/2002
Disposition Details:	NO CONVICTION; 30 HRS. COMMUNITY SERVICE



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: Firm

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

Allegations: CUSTOMER STATES THAT C. COTTONE MISREPRESENTED THE NEED FOR LIFEGUARD FREEDOM FLEX DEATH BENEFIT RIDER ON A TRANSFER C. COTTONE RECOMMENDED IN MARCH 2013 FROM A MUTUAL FUND IRA TO AN EXISTING VARIABLE ANNUITY IRA. CUSTOMER IS DISSATISFIED WITH INCREASED COST AND BENEFIT OF THE LIFEGUARD FREEDOM FLEX DEATH BENEFIT RIDER AND THE SURRENDER CHARGE PERIOD IMPOSED BY THE ANNUITY.

ADDITIONALLY, CLIENT ASSERTS THAT CHRIS C. SOLD HIM A \$500,000 LIFE INSURANCE POLICY WITH AN ANNUAL PREMIUM OF \$17,000 IN 2012. CLIENT BELIEVES CHRIS C. MISREPRESENTED THE NEED FOR THE INSURANCE POLICY SINCE THERE WAS A REASONABLE AMOUNT SAVED IN INVESTMENTS.

Product Type: Annuity-Variable Insurance

Alleged Damages: \$8,500.00

Alleged Damages Amount Explanation (if amount not exact): ALEX L. HAS BEEN DISCUSSING COMPLAINT WITH CLIENT AND BELIEVES IT CAN BE RESOLVED WITH A PAYMENT OF \$8500 AT THIS TIME.

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: 01/30/2015

Complaint Pending? No

Status: Settled

Status Date: 07/08/2015

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$12,500.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:

LABRUNERIE FINANCIAL

Allegations:

CUSTOMER STATES THAT C. COTTONE MISREPRESENTED THE NEED FOR LIFEGUARD FREEDOM FLEX DEATH BENEFIT RIDER ON A TRANSFER C. COTTONE RECOMMENDED IN MARCH 2013 FROM A MUTUAL FUND IRA TO AN EXISTING VARIABLE ANNUITY IRA. CUSTOMER IS DISSATISFIED WITH INCREASED COST AND BENEFIT OF THE LIFEGUARD FREEDOM FLEX DEATH BENEFIT RIDER AND THE SURRENDER CHARGE PERIOD IMPOSED BY THE ANNUITY. ADDITIONALLY, CLIENT ASSERTS THAT CHRIS C. SOLD HIM A \$500,000 LIFE INSURANCE POLICY WITH AN ANNUAL PREMIUM OF \$17,000 IN 2012. CLIENT BELIEVES CHRIS C. MISREPRESENTED THE NEED FOR THE INSURANCE POLICY SINCE THERE WAS A REASONABLE AMOUNT SAVED IN INVESTMENTS.

Product Type:

Annuity-Variable
Insurance

Alleged Damages:

\$8,500.00

Alleged Damages Amount Explanation (if amount not exact):

LABRUNERIE FINANCIAL HAS BEEN DISCUSSING COMPLAINT WITH CLIENT AND BELIEVES IT CAN BE RESOLVED WITH A PAYMENT OF \$8500 AT THIS TIME.

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:

03/04/2015

Complaint Pending?

No

Status:

Settled

Status Date:

07/08/2015

Settlement Amount:

\$25,000.00

Individual Contribution Amount:

\$12,500.00

Broker Statement

The client was originally a client of Alexander LaBrunerie. I was asked by Mr. LaBrunerie to take over client's accounts around 2011. The recommendations made were suitable based on the client's goals and objectives at the time.

Disclosure 2 of 2

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

LABRUNERIE FINANCIAL

Allegations:

IN A WRITTEN LETTER, THEY ALLEGE THAT IN OCTOBER, 2013 CHRISTOPHER COTTONE ADVISED THEM TO TRANSFER FUNDS TO A TRADITIONAL IRA. THIS IRA WAS A FIXED ANNUITY AT JACKSON NATIONAL AND WAS OPENED IN NOVEMBER, 2010. THEIR COMPLAINT SAYS IT WAS OPENED OCTOBER 28,2013 BUT THIS WAS ACTUALLY THE DATE OF A ROLLOVER REQUEST FROM A 403B FOR A FORMER EMPLOYER. THERE



WAS ALSO A CHECK IN THE AMOUNT OF \$6500 DATED JULY 30,2013 WHICH WAS DEPOSITED AS A 2013 CONTRIBUTION. THEY SAY THIS WAS PROCEEDS FROM AN INHERITANCE. THE REASON THEY SAY THEY WERE GIVEN WAS THAT THIS WOULD SAVE THEM ON TAXES COMPARED TO A ROTH IRA. THEY NOTE THAT HE INSTRUCTED THEM TO TELL THEIR TAX PREPARER THAT THE REASONING WAS TO GAIN A TAX REDUCTION. WHEN THEY HAD THEIR TAXES DONE IN MARCH 2014 THEY LEARNED THEIR SALARIES EXCEEDED THE GUIDELINES THAT WOULD ALLOW THEM TO GET A TAX BREAK ON THE TRADITIONAL IRA. THEY WERE TOLD THERE WAS NO WAY TO REDUCE THEIR TAX LIABILITY AND THAT THEY COULD NOT CONVERT TO A ROTH SINCE THEY WERE NOW RETIRED. THEY ARE REQUESTING THE AMOUNT OF THEIR TAX LIABILITY WHICH WAS \$6600.

Product Type: Annuity-Fixed
Alleged Damages: \$6,600.00
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: 07/03/2014
Complaint Pending? No
Status: Settled
Status Date: 03/27/2015
Settlement Amount: \$800.00
Individual Contribution Amount: \$400.00

Firm Statement [THIRD PARTY], PRINCIPAL, IS INVESTIGATING THE CLAIM. HE HAS MET WITH THE CLIENTS AND THEY ARE WORKING WITH THEIR ACCOUNTANT TO GAIN RESOLUTION.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: LABRUNERIE FINANCIAL SERVICES

Allegations: IN A WRITTEN LETTER, RECEIVED ON JULY 3RD 2014, [CUSTOMER]& [CUSTOMER] ALLEGED THAT THEY COULD HAVE ROLLED OVER A PRE-TAX 403(B) INTO A ROTH IRA WITH NO TAXATION. THEY ALSO WERE UNABLE TO DEDUCT A CONTRIBUTION (\$6500) MADE TO [CUSTOMER'S] TRADITIONAL IRA IN LATE JULY/EARLY AUGUST OF 2013 AS THEIR INCOME EXCEEDED THE IRA DEDUCTION LIMIT FOR 2013. THEY WERE TOLD THEIR ACCOUNTANT WOULD NEED TO VERIFY IF THE CONTRIBUTION WAS DEDUCTIBLE PRIOR TO THE TAX FILING DEADLINE IN 2014. IN WRITING VIA EMAIL ON 4/8/14, PRIOR TO TAX FILING DEADLINE OF 2014, [CUSTOMER] & [CUSOTMER] ELECTED NOT TO REMOVE THE IRA CONTRIBUTION WHICH WAS AN OPTION PROVIDED. THEY ALLEGED \$6600 IN "TAX LIABILITY" HOWEVER THERE WAS ACTUALLY NO TAX LIABILITY NOR LOSS CAUSED BY EITHER THE ROLLOVER NOR NON-DEDUCTIBLE IRA CONTRIBUTION. ROLLING OVER A PRE-TAX 403(B) TO AN IRA CANNOT BE DONE WITHOUT



INCURRING TAXATION. ALEX LABRUNERIE, PRINCIPAL AND COMPLIANCE OFFICER AT LABRUNERIE FINANCIAL, MET WITH [CUSTOMER] & [CUSTOMER] TO HELP EXPLAIN THAT A PRE-TAX 403(B) COULD NOT BE ROLLED OVER INTO A ROTH IRA, WITHOUT TAXATION, AND IS WORKING WITH THEIR ACCOUNTANT TO GAIN RESOLUTION.

Product Type: Annuity-Fixed

Alleged Damages: \$6,600.00

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: 07/03/2014

Complaint Pending? No

Status: Settled

Status Date: 04/08/2015

Settlement Amount: \$800.00

**Individual Contribution
Amount:** \$400.00

Broker Statement BASED ON THE PRODUCT AND NATURE OF THE COMPLAINT ALLEGATIONS, NATIONAL PLANNING CORPORATION BELIEVES THAT THIS MATTER DOES NOT MEET THE CRITERIA NECESSARY FOR U4/U5 DISCLOSURE.



End of Report

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