



IAPD Report

JAMES GRADY WOODALL

CRD# 472183

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



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

JAMES GRADY WOODALL (CRD# 472183)

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 **11/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	04/09/2007
IA	HORNOR, TOWNSEND & KENT, LLC	CRD# 4031	04/23/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	ONEAMERICA SECURITIES, INC.	4173	MALAD CITY, ID	09/11/2004 - 04/11/2007
B	ONEAMERICA SECURITIES, INC.	4173	MALAD CITY, ID	02/10/2004 - 04/11/2007
B	FIRST WESTERN ADVISORS	13623	HOLLADAY, UT	05/21/2003 - 02/03/2004

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	2
Customer Dispute	9



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

Employment 1 of 1

Firm Name: **HORNOR, TOWNSEND & KENT, LLC**
Main Address: 161 WASHINGTON STREET
CONSHOHOCKEN, PA 19428
Firm ID#: 4031

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/09/2007
B FINRA	General Securities Representative	Approved	04/09/2007
B Arizona	Agent	Approved	10/16/2024
B California	Agent	Approved	05/14/2007
B Florida	Agent	Approved	07/12/2010
B Idaho	Agent	Approved	05/15/2007
B Utah	Agent	Approved	04/23/2007
IA Utah	Investment Adviser Representative	Approved	04/23/2007

Branch Office Locations

HORNOR, TOWNSEND & KENT, LLC
1895 E Rodeo Walk Dr
Suite 200 #B
Holladay, UT 84117





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


Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	09/17/1992
 General Securities Principal Examination (S24)	Series 24	10/31/1990

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	08/01/1972

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/11/2004 - 04/11/2007	ONEAMERICA SECURITIES, INC.	CRD# 4173	MALAD CITY, ID
B	02/10/2004 - 04/11/2007	ONEAMERICA SECURITIES, INC.	CRD# 4173	MALAD CITY, ID
B	05/21/2003 - 02/03/2004	FIRST WESTERN ADVISORS	CRD# 13623	HOLLADAY, UT
B	09/19/2002 - 05/29/2003	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	08/04/2000 - 11/08/2002	THE MERCHANTHOUSE SECURITIES, INC.	CRD# 7130	NEW ALBANY, IN
B	04/18/2000 - 07/18/2000	THE MERCHANTHOUSE SECURITIES, INC.	CRD# 7130	NEW ALBANY, IN
B	09/21/1999 - 12/10/1999	CORNERSTONE INVESTMENTS, L.L.C.	CRD# 38042	TOPEKA, KS
B	06/02/1998 - 06/14/1999	LOCUST STREET SECURITIES, INC.	CRD# 1703	DES MOINES, IA
B	03/25/1986 - 05/14/1998	PRIMELINE SECURITIES CORP.	CRD# 15896	WICHITA, KS
B	03/20/1984 - 08/05/1985	TITAN CAPITAL CORPORATION	CRD# 6359	
B	12/16/1982 - 03/20/1984	WESTLAKE SECURITIES, INC.	CRD# 10279	
B	07/08/1974 - 01/22/1982	HOME LIFE INSURANCE COMPANY	CRD# 4184	
B	02/13/1974 - 08/24/1974	LINSICO CORPORATION	CRD# 524	
B	10/15/1973 - 04/04/1974	HARTFORD VARIABLE ANNUITY LIFE LIFE INSURANCE COMPANY	CRD# 4291	
B	08/08/1972 - 07/26/1973	PENN MUTUAL EQUITY SERVICES, INC.	CRD# 4031	



Registration & Employment History

EMPLOYMENT HISTORY

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

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2007 - Present	HORNOR TOWNSEND & KENT INC	REGISTERED REPRESENTATIVE	Y	HORSHAM, PA, United States
04/2007 - Present	PENN MUTUAL LIFE INS CO	AGENT	N	HORSHAM, PA, 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) INSURANCE BROKERAGE - DBA: CAMBRIDGE FINANCIAL CENTER, INC., INVESTMENT-RELATED, 1895 E RODEO WALK DR, SUITE 200#B, Holladay, UT 84117, INSURANCE SALES FOR MULTIPLE CARRIERS INCLUDING PENN MUTUAL LIFE INSURANCE COMPANY, AGENT, START DATE: 04/01/2007, APPROXIMATE NUMBER OF HOURS/MONTH: 25-40, APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO THIS ACTIVITY DURING SECURITIES TRADING HOURS: 10-25, DUTIES: SALES AND SERVICE OF INSURANCE PRODUCTS INCLUDING LIFE, HEALTH, DISABILITY, LONG TERM CARE, AND ANNUITIES.

2) DBA: FINANCIAL REDESIGN, INC., NOT-INVESTMENT RELATED, 1731 E. BRIARGLEN LANE, SANDY, UT 84092, S-CORP, SOLE SHAREHOLDER, START DATE: 01/03/1995, APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO THIS ACTIVITY: LESS THAN 10, APPROXIMATE NUMBER OF HOURS/MONTH DEVOTED TO THIS ACTIVITY DURING SECURITY TRADING HOURS: LESS THAN 10, DUTIES: S-CORP ESTABLISHED FOR THE PURPOSE OF PAYING 1099 INSURANCE BROKERAGE COMMISSIONS.



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	2
Customer Dispute	9

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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	SECURITIES COMMISSIONER, STATE OF KANSAS
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	SECURITIES COMMISSIONER HAS ISSUED: NOTICE OF INTENT TO INVOKE ADMINISTRATIVE SANCTIONS UNDER THE KANSAS SECURITIES ACT. RESPONDENT CONTESTS THE ALLEGATIONS AND HAS OFFERED EVIDENCE AND ARGUMENT TO MITIGATE THE ALLEGATIONS. ALLEGATIONS BY THE DEPARTMENT ARE: -SALE OF UNREGISTERED SECURITIES -MADE UNTRUE STATEMENTS OF MATERIAL FACT OR OMITTED MATERIAL FACT IN VIOLATION OF K.S.A. 17-1253
Date Initiated:	12/18/2001
Docket/Case Number:	02E030 / KSC #98-3681
Employing firm when activity occurred which led to the regulatory action:	PRIMELINE SECURITIES CORP.
Product Type:	Other
Other Product Type(s):	SUBORDINATED DEBENTURES
Allegations:	SECURITIES COMMISSIONER HAS ISSUED: NOTICE OF INTENT TO INVOKE ADMINISTRATIVE SANCTIONS UNDER THE KANSAS SECURITIES ACT. RESPONDENT CONTESTS THE ALLEGATIONS AND HAS OFFERED EVIDENCE AND ARGUMENT TO MITIGATE THE ALLEGATIONS.



ALLEGATIONS BY THE DEPARTMENT ARE:
-SALE OF UNREGISTERED SECURITIES
-MADE UNTRUE STATEMENTS OF MATERIAL FACT OR OMMITTED
MATERIAL FACT IN VIOLATION OR K.S.A. 17-1253

Current Status: Final

Appealed To and Date Appeal Filed: NO APPEAL OR FURTHER ACTION.

Resolution: Consent

Resolution Date: 01/22/2003

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00
Suspension

Other Sanctions Ordered: SUSPENSION TO BE SERVED RETROACTIVELY BEGINNING 6/30/1997.

Sanction Details: \$1000.00 FINE PLUS 3 YEARS SUSPENSION TO BE SERVED RETROACTIVELY STARTING 6/30/1997. NO REQUALIFICATION ORDERED.

Broker Statement REQUEST FOR HEARING SUBMITTED AND EXTENSION TO THE HEARING GRANTED BY KANSAS SECURITIES DEPARTMENT. FULL ANSWER SUBMITTED BY MY LAWYER WHEREIN WE CONTEST THE ALLEGATIONS AND OFFER EVIDENCE AND ARGUMENT TO MITIGATE THE ALLEGATIONS SAME INFORMATION EXPLAINED IN QUESTIONS 7 & 12.

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: SECURITIES COMMISSIONER OF THE STATE OF KANSAS

Sanction(s) Sought: Other

Other Sanction(s) Sought:

Date Initiated: 08/13/1985

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: WESTLAKE SECURITIES, INC.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: N/A

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/13/1985

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:



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 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: AS A CONTROL PERSON, MR. WOODALL IS ALLEGED TO HAVE BEEN NEGLIGENT IN SUPERVISION OF REGISTERED REPRESENTATIVE ASIF AMEEN. MR. AMEEN IS ACCUSED OF (1) THEFT/CONVERSION, (2) UNAUTHORIZED TRADING. (3) UNSUITABILITY ISSUES, (4) UNAUTHORIZED DISCRETION, (5) UNAUTHORIZED TRADING IN OPTIONS. (6) EXCESSIVE TRADING/CHURNING.

Product Type: Options

Other Product Type(s): SECURITIES & BONDS

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received: 06/28/1998

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/30/2002

Settlement Amount:

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD; 98-03638

Date Notice/Process Served: 06/29/1998

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/30/2002

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE AMOUNT LISTED ON Q.18 IS OVER \$10,000.00 TO THE BEST OF MY ACKNOWLEDGE AND WAS PAID BY THE ERRORS AND OMISSIONS CARRIER.



Disclosure 2 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: PLAINTIFF ALLEGES, JAMES WOODALL AS AN OFFICER OF PRIMELINE SECURITIES, IS LIABLE FOR UNTRUE STATEMENTS MADE BY ASIF AMEEN, A REP OF THE FIRM; SEEKS DAMAGES OF \$36,628.50

Product Type:

Alleged Damages: \$36,628.50

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: EIGHTH JUDICIAL DISTRICT; SEDGWICK COUNTY, KS; 97 C 2279

Date Notice/Process Served: 07/01/1997

Litigation Pending? Yes

Firm Statement Not Provided
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: (1) THAT THIS DEFENDANT, AS A RESULT OF HIS OWNERSHIP AND OFFICE IN PRIMELINE SECURITIES CORP., IS LIABLE FOR THE FRAUD AND DECEIT ACTIVITIES OF ITS REGISTERED REPRESENTATIVE; (2) THAT DEFENDANTS FAILED TO ADEQUATELY SUPERVISE AND CONTROL THEIR REGISTERED REPRESENTATIVE; AND (3) PLAINTIFF PRAYS FOR JUDGEMENT OF \$36,628.50, PLUS COSTS AND OTHER RELIEF THE COURT DETERMINES, TOGETHER WITH PREJUDGMENT INTEREST AT 15% PER ANNUM.

Product Type: Other

Other Product Type(s): ASIF AMEEN SOLD AWAY AND OFFERRED BOGUS DEBENTURES. NO ACTUAL PRODUCT AND CERTAINLY NONE THAT WAS APPROVED BY PRIMELINE SECURITIES CORP.



Alleged Damages: \$2,000,000.00

Customer Complaint Information

Date Complaint Received: 06/11/1997

Complaint Pending? No

Status: Litigation

Status Date: 05/16/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: EIGHTH JUDICIAL DISTRICT; SEDGWICK COUNTY, KS; 97 C 2277, 97-C-2280, 97-C-2281

Date Notice/Process Served: 06/11/1997

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/16/2001

Monetary Compensation Amount: \$3,238,603.00

Individual Contribution Amount: \$0.00

Broker Statement PENDING
THIS CASE WAS BROUGHT BY THE ACTIONS OF A REGISTERED REPRESENTATIVE OF PRIMELINE SECURITIES CORP., OF WHICH THIS DEFENDANT WAS AN OWNER. THE ALLEGATIONS AGAINST THE REGISTERED REPRESENTATIVE ARE FRUAD AND DECEIT IN THE PURCHASE AND SALE OF SECURITIES THROUGH A BROKER/DEALER.

Disclosure 3 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: PLAINTIFF ALLEGES SECURITIES SOLD BY [OTHER FIRM EMPLOYEE] A REPRESENTATIVE OF FIRM, WERE NOT REGISTERED AND WERE FRAUDULENT. \$35,000 CLAIM

Product Type:

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status:



Status Date: 03/31/1999

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Disposition: Settled

Disposition Date: 03/31/1999

Firm Statement NOT PROVIDED
NOT PROVIDED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: ALLEGATIONS INCLUDE FAILURE TO REGISTER AS BROKER/DEALER, SALE OF UNREGISTERED SECURITIES, UNTRUE STATEMENTS AND OMISSIONS, BREACH OF FIDUCIARY, FRAUD, VIOLATIONS OF SECURITIES AND EXCHANGE ACT OF 1934 AND ALABAMA SECURITIES ACT. PLAINTIFFS SEEK \$35,000 COMPENSATORY DAMAGES, PLUS 6% INTEREST, PUNITIVE DAMAGES OF \$1,000,000, AND FEES AND COSTS.

Product Type:

Alleged Damages: \$35,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 03/31/1999

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; NORTHERN DISTRICT OF AL; DV-97-AR-3109-3

Date Notice/Process Served: 11/01/1997

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/31/1999

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount:

Broker Statement PENDING
THE ALLEGATIONS BROUGHT BY THIS PLAINTIFF WERE



THE RESULT OF THE SELLING AWAY OF SECURITIES BY A REGISTERED REPRESENTATIVE FOR PRIMELE SECURITIES CORP. SUCH SECURITIES WERE INVOLVED IN A PONZI SCHEME DEVELOPED AND CONTROLLED BY THE REGISTERED REPRESENTATIVE. THE DEFENDANTS HAVE NOT ANSWERED THIS LITIGATION AND PROCEEDINGS WERE STATED AS A RESULT OF A BANKRUPTCY COURT ORDER PERTAINING TO PRIMELINE SECURITIES CORP.

Disclosure 4 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: PLAINTIFFS ALLEGE JAMES WOODALL FAILED TO ADEQUATELY SUPERVISE AND CONTROL ASIF AMEEN

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: 18TH JUDICIAL DISTRICT; SEDGEWICK COUNTY, KS; 97 C 2277

Date Notice/Process Served: 08/05/1997

Litigation Pending? Yes

Firm Statement Not Provided
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: CLASS ACTION (1) WHETHER DEFENDANT IS LIABLE AS A CONTROLLING PERSON OF A BROKER/DEALER FOR VIOLATIONS FOR AGENT'S INVESTMENT ADVICE TO OTHERS; (2) WHETHER DEFENDANT IS LIABLE AS A CONTROL PERSON OF A BROKER/DEALER FOR AGENT'S SALE OF UNREGISTERED SECURITIES; (3) WHETHER DEFENDANT FAILED TO SUPERVISE ITS REGISTERED REPRESENTATIVE; AND, WHETHER DEFENDANT'S CONDUCT CAUSED DAMAGE TO THE CLASS. (ALL ALLEGATIONS BROUGHT PURSUANT TO THE KANSAS SECURITIES ACT) PLAINTIFFS PRAY FOR JUDGMENT SEEKING THEIR PRINCIPAL AMOUNT OF



INVESTMENT PLUS COSTS AND FURTHER RELIEF AS THE COURT MAY DETERMINE (AMOUNT ASSUMED IN EXCESS OF \$10,000).

Product Type: Other

Other Product Type(s): ASIF AMMEN SOLD AWAY AND OFFERED BOGUS DEBENTURES. NO ACTUAL PRODUCT AND CERTAINLY NONE THAT WAS APPROVED BY PRIMLINE SECURITIES CORP.

Alleged Damages: \$2,000,000.00

Customer Complaint Information

Date Complaint Received: 06/11/1997

Complaint Pending? No

Status: Litigation

Status Date: 05/16/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Court Details: 18TH JUDICIAL DISTRICT; SEDGEWICK COUNTY, KS; 97 C 2277, 97-C-2280, 97-C-2281

Date Notice/Process Served: 06/11/1997

Litigation Pending? No

Disposition: Settled

Disposition Date: 05/16/2001

Monetary Compensation Amount: \$3,238,603.00

Individual Contribution Amount: \$0.00

Broker Statement

PENDING

THIS PROCEEDING IS A CLASS ACTION CAUSED BY A REGISTERED REPRESENTATIVE OF PRIMELINE SECURITIES CORP., WHO SOLD SECURITIES AWAY FROM THE FIRM IN AN ALLEGED PONZI SCHEME. MR. WOODALL IS NAMED AS A DEFENDANT IN THIS ACTION AS A RESULT OF HIS OWNERSHIP AND CONTROL OF PRIMELINE SECURITIES CORP. THE DEFENDANTS HAVE ANSWERED THE PETITION PRAYING FOR JUDGMENT ON PLAINTIFFS' CLAIMS AND ACTIONS AND FOR COSTS AND RELIEF AS THE COURT DEEMS PROPER.

Disclosure 5 of 9

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: PLAINTIFFS ALLEGE JAMES WOODALL FAILED TO ADQUATELY SUPERVISE AND CONTROL [OTHER FIRM EMPLOYEE]

Product Type:

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:****Complaint Pending?** No**Settlement Amount:****Individual Contribution Amount:****Firm Statement** NOT PROVIDED
NOT PROVIDED**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** PRIMELINE SECURITIES CORP.**Allegations:** CLASS ACTION (1) WHETHER DEFENDENT IS LIABLE AS A CONTROLLING PERSON OF A BROKER/DEALER FOR VIOLATIONS FOR AGENT'S INVESTMENT ADVICE TO OTHERS; (2) WHETHER DEFENDANT IS LIABLE AS A CONTROL PERSON OF A BROKER/DEALER FOR AGENT'S SALE OF UNREGISTERED SECURITIES; (3) WHETHER DEFENDANT FAILED TO SUPERVISE ITS REGISTERED REPRESENTATIVE; AND, WHETHER DEFENDANT'S CONDUCT CAUSED DAMAGE TO THE CLASS. (ALL ALLEGATIONS BROUGHT PURSUANT TO THE KANSAS SECURITIES ACT) PLAINTIFFS PRAY FOR JUDGMENT SEEKING THEIR PRINCIPAL AMOUNT OF INVESTMENT PLUS COSTS AND FURTHER RELIEF AS THE COURT MAY DETERMINE. (AMOUNT ASSUMED IN EXCESS OF \$10,000).**Product Type:****Alleged Damages:** \$2,000,000.00**Customer Complaint Information****Date Complaint Received:** 06/11/1997**Complaint Pending?** No**Status:****Status Date:** 05/16/2001**Settlement Amount:** \$0.00**Individual Contribution Amount:** \$0.00**Civil Litigation Information****Disposition:** Settled**Disposition Date:** 05/16/2001**Broker Statement** PENDING
THIS PROCEEDING IS A CLASS ACTION CAUSED BY A REGISTERED REPRESENTATIVE OF PRIMELINE SECURITIES CORP., WHO SOLD SECURITIES AWAY FROM THE FIRM IN AN ALLEGED PONZI SCHEME. MR. WOODALL IS NAMED AS A DEFENDANT IN THIS ACTION AS A RESULT OF HIS OWNERSHIP AND CONTROL OF PRIMELINE SECURITIES CORP. THE DEFENDANTS HAVE ANSWERED THE PETITION PRAYING FOR JUDGEMENT



ON
PLAINTIFFS' CLAIMS AND ACTIONS AND FOR COSTS AND RELIEF AS THE
COURT DEEMS PROPER.

Disclosure 6 of 9

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: PLAINTIFFS ALLEGE JAMES WOODALL FAILED TO ADEQUATELY SUPERVISE AND CONTROL ACTIONS OF [OTHER FIRM EMPLOYEE].

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Settlement Amount:

Individual Contribution Amount:

Firm Statement NOT PROVIDED
NOT PROVIDED

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: CLASS ACTION (1) WHETHER DEFENDANT IS LIABLE AS A CONTROLLING PERSON OF A BROKER/DEALER FOR VIOLATIONS FOR AGENT'S INVESTMENT ADVICE TO OTHERS; (2) WHETHER DEFENDANT IS LIABLE AS A CONTROL PERSON OF A BROKER/DEALER FOR AGENT'S SALE OF UNREGISTERED SECURITIES; (3) WHETHER DEFENDANT FAILED TO SUPERVISE ITS REGISTERED REPRESENTATIVE; AND, WHETHER DEFENDANT'S CONDUCT CAUSED DAMAGE TO THE CLASS. (ALL ALLEGATIONS BROUGHT PURSUANT TO THE KANSAS SECURITIES ACT) PLAINTIFFS PRAY FOR JUDGEMENT SEEKING THEIR PRINCIPAL AMOUNT OF INVESTMENT PLUS COSTS AND FURTHER RELIEF AS THE COURT MAY DETERMINE (AMOUNT ASSUMED IN EXCESS OF \$10,000).

Product Type:

Alleged Damages: \$2,000,000.00

Customer Complaint Information

Date Complaint Received: 06/11/1997

Complaint Pending? No

Status:



Status Date: 05/16/2001

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Disposition: Settled

Disposition Date: 05/16/2001

Broker Statement

PENDING

THIS PROCEEDING IS A CLASS ACTION CAUSED BY A REGISTERED REPRESENTATIVE OF PRIMELINE SECURITIES CORP., WHO SOLD SECURITIES AWAY FROM THE FIRM IN AN ALLEGED PONZI SCHEME. MR. WOODALL IS NAMED AS A DEFENDANT IN THIS ACTION AS A RESULT OF HIS OWNERSHIP AND CONTROL OF PRIMELINE SECURITIES CORP. THE DEFENDANTS HAVE ANSWERED THE PETITION PRAYING FOR JUDGEMENT ON PLAINTIFFS' CLAIMS AND ACTIONS AND FOR COSTS AND RELIEF AS THE COURT DEEMS PROPER.

Disclosure 7 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIMELINE SECURITIES CORP.

Allegations: HE WAS NAMED BECAUSE HE WAS AN OFFICER/DIRECTOR AND PRINCIPAL SHAREHOLDER OR PRIMELINE SECURITIES CORP.

Product Type:

Alleged Damages: \$150,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; SEDGWICK COUNTY, KS; 93C0058

Date Notice/Process Served: 01/08/1993

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/16/1995

Broker Statement

DISMISSED BY AGREEMENT OF THE PARTIES, DEFENDANTS AGREEING TO PAY PLAINTIFFS A SUM IN EXCESS OF



\$10,000.
Not Provided

Disclosure 8 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PROFESSIONAL SERVICE CORP

Allegations: THAT DEFENDANT'S RECOMMENDED INVESTING IN "SOUTHWEST SOLAR BUSINESS FRANCHISES." THAT DEFENDANTS MADE ORAL AND WRITTEN REPRESENTATIONS THAT WERE FALSE AND UNTRUE.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 10/21/1996

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; DISTRICT OF KS; 85-1809-K

Date Notice/Process Served: 08/14/1985

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/21/1986

Monetary Compensation Amount: \$15,000.00

Individual Contribution Amount:

Broker Statement PLAINTIFFS PRAYED FOR JUDGEMENT FOR DAMAGES AGAINST ALL DEFENDANTS IN AN AMOUNT TO BE DETERMINED AT TRIAL. ON 10/21/86 THE COMPLAINT WAS SETTLED IN THE AMOUNT OF \$15,000. COPY OF PERTINENT DOCUMENTS HAVE BEEN PREVIOUSLY SUBMITTED TO NASD AS PART OF ORIGINAL DISCLOSURE REGARDING THIS MATTER. NOT PROVIDED

Disclosure 9 of 9

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SOUTHWEST SOLAR PRODUCTS, INC



Allegations: THAT PLAINTIFFS WERE ADVISED TO INVEST IN SOUTHWEST SOLAR BUSINESS FRANCHISE. PLAINTIFFS PRAYED FOR \$69,350 PLUS INTEREST, ATTORNEY FEES, AND TREBLE DAMAGES WERE SOUGHT UNDER RICO.

Product Type:

Alleged Damages: \$69,350.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date: 07/21/1986

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: U.S. DISTRICT; DISTRICT OF NE; 84-0-758

Date Notice/Process Served: 04/04/1985

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/21/1986

Monetary Compensation Amount: \$16,000.00

Individual Contribution Amount:

Broker Statement

THE MATTER WAS SETTLED FOR \$16,000. THE DISTRICT OF NEBRASKA DISMISSED COMPLAINT AS IT PERTAINS TO MR. WOODALL BASED ON AN AGREED "COVENANT NOT TO SUE" EXECUTED BY THE PLAINTIFFS IN CONSIDERATION OF \$16,000 RECEIVED FROM MR. WOODALL AND SOME OF THE OTHER DEFENDANTS. COPY OF COMPLAINT WAS PREVIOUSLY SUBMITTED TO NASD. NOT PROVIDED



End of Report

This page is intentionally left blank.