



IAPD Report

ANTHONY J TRIMBOLI

CRD# 4734730

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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

ANTHONY J TRIMBOLI (CRD# 4734730)

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 **05/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARK AVENUE SECURITIES LLC	CRD# 46173	12/02/2011
IA	PARK AVENUE SECURITIES LLC	CRD# 46173	01/09/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	FAIRFIELD, CT	03/08/2004 - 09/12/2007

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	7
Termination	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **18** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**
Main Address: 10 HUDSON YARDS
NEW YORK, NY 10001
Firm ID#: 46173

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	12/02/2011
B	FINRA	General Securities Representative	Approved	11/25/2014
B	California	Agent	Approved	11/06/2018
IA	California	Investment Adviser Representative	Approved	11/06/2018
B	Connecticut	Agent	Approved	02/14/2012
IA	Connecticut	Investment Adviser Representative	Approved	01/09/2015
B	Florida	Agent	Approved	02/26/2016
IA	Florida	Investment Adviser Representative	Approved	04/13/2016
B	Illinois	Agent	Approved	02/28/2014
IA	Illinois	Investment Adviser Representative	Approved	01/12/2015
B	Maine	Agent	Approved	01/29/2014
IA	Maine	Investment Adviser Representative	Approved	01/23/2015
B	Massachusetts	Agent	Approved	04/07/2021



Qualifications

Regulator	Registration	Status	Date
IA Massachusetts	Investment Adviser Representative	Approved	04/07/2021
B Michigan	Agent	Approved	12/14/2021
IA Michigan	Investment Adviser Representative	Approved	12/14/2021
IA Minnesota	Investment Adviser Representative	Approved	08/13/2021
B Minnesota	Agent	Approved	08/16/2021
B New Jersey	Agent	Approved	12/19/2014
IA New Jersey	Investment Adviser Representative	Approved	01/14/2015
B New York	Agent	Approved	08/06/2013
IA New York	Investment Adviser Representative	Approved	02/20/2024
B North Carolina	Agent	Approved	10/08/2018
IA North Carolina	Investment Adviser Representative	Approved	11/14/2019
B Oregon	Agent	Approved	06/24/2019
B Pennsylvania	Agent	Approved	03/12/2015
IA Pennsylvania	Investment Adviser Representative	Approved	03/12/2015
B Rhode Island	Agent	Approved	07/02/2018
IA Rhode Island	Investment Adviser Representative	Approved	07/02/2018
B South Carolina	Agent	Approved	12/21/2021
IA South Carolina	Investment Adviser Representative	Approved	12/21/2021
B Vermont	Agent	Approved	05/03/2021



Qualifications

Regulator	Registration	Status	Date
IA Vermont	Investment Adviser Representative	Approved	05/11/2021
IA Virginia	Investment Adviser Representative	Approved	02/10/2020
B Virginia	Agent	Approved	02/11/2020
B Wisconsin	Agent	Approved	05/17/2019
IA Wisconsin	Investment Adviser Representative	Approved	05/17/2019

Branch Office Locations

PARK AVENUE SECURITIES LLC
320 POST ROAD
SUITE 180
DARIEN, CT 06820



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, 3 general industry/product exams, and 3 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/25/2014
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/30/2011

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/16/2024
  Uniform Combined State Law Examination (S66)	Series 66	12/16/2014
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/20/2012

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	03/08/2004 - 09/12/2007	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	FAIRFIELD, CT

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	GUARDIAN LIFE INSURANCE	AGENT	Y	DARIEN, CT, United States
12/2019 - Present	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	DARIEN, CT, United States
12/2017 - 12/2019	GUARDIAN LIFE INSURANCE	AGENT	Y	WESTPORT, CT, United States
12/2017 - 12/2019	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	WESTPORT, CT, United States
02/2011 - 11/2017	PARK AVENUE SECURITIES	REG REP	Y	RYE BROOK, NY, United States
10/2007 - 11/2017	GUARDIAN LIFE INS COMPANY	FIELD REP	Y	RYE BROOK, NY, 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) Outside Life Insurance,
Start: 01/01/2017,
Address: 320 Post Rd Suite 150 Darien, CT. 06820,
10 total hours per month; 5 during securities trading hours,
Investment related,
Less than 10% annual compensation,
- 2) Outside disability insurance-Broker for outside disability insurance products,
Start: 01/01/2019,
Address: 320 Post Rd Suite 150 Darien, CT. 06820,
10 total hours per month; 10 during securities trading hours,
Investment related,
Less than 10% annual compensation,
- 3) Trimboli Basketball LLC-run camps, clinics, and trainings for the development of young basketball players,
Start: 01/01/2025,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Address: 8 Eugene Dr Norwalk, CT 06851,
15 total hours per month; 0 during securities trading hours,
Not investment related,
Less than 10% annual compensation,



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	7
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 7

Reporting Source:	Individual
Regulatory Action Initiated By:	Ohio Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/25/2016
Docket/Case Number:	24507
Employing firm when activity occurred which led to the regulatory action:	Park Avenue Securities LLC
Product Type:	No Product
Allegations:	The Ohio Insurance Department entered a Consent Order on October 25, 2016 against the RR for violating Ohio Revised Code §3905.22(A) by failing to timely report five regulatory actions on his professional license, and §3905.14(B)(1) for providing incorrect answers on his license application/renewal regarding the reporting of these regulatory actions.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No



Resolution Date: 10/25/2016
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$500.00
Portion Levied against individual: \$500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 11/25/2016

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 7

Reporting Source: Individual
Regulatory Action Initiated By: Colorado Division of Insurance

Sanction(s) Sought: Other: Final Agency Order

Date Initiated: 12/03/2015

Docket/Case Number: EC7238

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

Product Type: No Product

Allegations: Allegations relate to failure to disclose in application for non-resident producer license entering into a Consent Order before the Insurance Department of the Commonwealth of PA. Failure to disclose involvement in FINRA Exam No. 20070105759.

Current Status: Final

Resolution: Final Agency Order

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

Resolution Date: 12/03/2015

Sanctions Ordered: Other: A civil penalty of \$6,000 and any associated surcharge, is stayed pending Applicant's continued compliance with all Colorado insurance laws and regulations, as well as the terms of the Stipulation and Final Agency Order. The Division has granted Applicant a probationary non-resident insurance producer license with a probationary period of two years effective from the date of the Final



Agency Order.

Disclosure 3 of 7

Reporting Source: Individual

Regulatory Action Initiated By: NEW YORK STATE DEPARTMENT OF FINANCIAL SERVICES

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Other: STIPULATION

Date Initiated: 02/09/2015

Docket/Case Number: 2014-0203-S

Employing firm when activity occurred which led to the regulatory action: PARK AVENUE SECURITIES LLC

Product Type: No Product

Allegations: ALLEGATIONS INVOLVE RR'S FAILURE TO NOTIFY NYS THAT HE RECEIVED A REGULATORY FINE ON 12/5/2008; FAILURE TO DISCLOSE IN HIS RENEWAL APPLICATION FOR HIS AGENT'S LICENSE SUBMITTED ON 10/3/2012 THAT HE WAS ISSUED A CEASE AND DESIST ORDER BY THE COMMONWEALTH OF PA ON 2/14/2012 AND FAILURE TO REPORT WITHIN THIRTY DAYS THE FINAL DISPOSITION OF THE MATTER THE AFOREMENTIONED ADMINISTRATIVE ACTION TAKEN AGAINST HIM BY PA.

Current Status: Final

Resolution: STIPULATION

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: 02/23/2015

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$3,000.00

Portion Levied against individual: \$3,000.00

Payment Plan: NO PAYMENT PLAN. FINE WAS PAID IN FULL

Is Payment Plan Current: No

Date Paid by individual: 01/30/2015

Was any portion of penalty waived? No

Amount Waived:

**Disclosure 4 of 7**

Reporting Source: Individual

Regulatory Action Initiated By: COLORADO DIVISION OF INSURANCE

Sanction(s) Sought: Denial

Date Initiated: 06/30/2014

Docket/Case Number: EC7238

Employing firm when activity occurred which led to the regulatory action: PARK AVENUE SECURITIES LLC

Product Type: Insurance

Allegations: LICENSE FOR ACCIDENT/HEALTH, LIFE AND VARIABLE PRODUCTS DENIED FOR FAILURE TO RESPOND TO DIVISION WITH OFFER TO WITHDRAW, FAILURE TO DISCLOSE OTHER ADMINISTRATIVE ACTIONS, PROVIDING FALSE INFORMATION ON LICENSE APPLICATION, VIOLATION OF, OR NONCOMPLIANCE WITH INSURANCE LAW. FAILURE TO MEET LICENSING REQUIREMENTS.

Current Status: Final

Resolution: DENIAL

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: 06/30/2014

Sanctions Ordered: Denial

Disclosure 5 of 7

Reporting Source: Individual

Regulatory Action Initiated By: STATE OF CONNECTICUT INSURANCE DEPT.

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Other: PROBATION

Date Initiated: 02/04/2008

Docket/Case Number: MC-08-09

Employing firm when activity occurred which led to the regulatory action: PARK AVENUE SECURITIES LLC

Product Type: Insurance

Allegations: THE COMMISSIONER CONTENDS THAT RR'S CONDUCT WHILE HE WAS EMPLOYED AT NORTHWESTERN IN CONNECTION WITH A CLIENT'S



APPLICATION FOR INSURANCE WHEREBY HE MISREPRESENTED THE CLIENT'S WEIGHT ON AN EXAMINATION REPORT, IS IN VIOLATION OF SECTION 38A-816(8) OF THE CONNECTICUT GENERAL STATUTES AND CONSTITUTES CAUSE TO TAKE ACTION PURSUANT TO SECTIONS 38A-702K AND 38A-817.

Current Status: Final

Resolution: COMPLAINT, STIPULATION AND FINAL ORDER

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

Resolution Date: 02/06/2008

Sanctions Ordered: Monetary Penalty other than Fines
Other: ONE YEAR PROBATION EFFECTIVE 02/04/2008.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$1,000.00

Portion Levied against individual: \$1,000.00

Payment Plan: PAID IN FULL

Is Payment Plan Current: No

Date Paid by individual: 02/04/2008

Was any portion of penalty waived? No

Amount Waived:

Disclosure 6 of 7

Reporting Source: Individual

Regulatory Action Initiated By: COMMONWEALTH OF PENNSYLVANIA

Sanction(s) Sought: Cease and Desist

Date Initiated: 02/14/2012

Docket/Case Number: CO12-02-001

Employing firm when activity occurred which led to the regulatory action: PARK AVENUE SECURITIES LLC

Product Type: Insurance

Allegations: FINDINGS RELATED TO ADMINISTRATIVE ACTION TAKEN BY CONNECTICUT DEPT. OF INSURANCE UNDER DOCKET NO.MC08-09 INDICATING THAT ON OR ABOUT AUGUST 6, 2007, RESPONDENT FALSIFIED A PARAMEDICAL EXAM BY MISREPRESENTING A CLIENT'S WEIGHT IN AN EFFORT TO OBTAIN INSURANCE FOR THE CLIENT.



Current Status: Final

Resolution: Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 02/14/2012

Sanctions Ordered: Cease and Desist

Disclosure 7 of 7

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 12/05/2008

Docket/Case Number: [2007010575901](#)

Employing firm when activity occurred which led to the regulatory action: NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

Product Type: Insurance

Allegations: NASD RULE 2110: RESPONDENT FALSIFIED PORTIONS OF A FORM RELATED TO A CUSTOMER'S APPLICATION FOR NON-VARIABLE LIFE AND DISABILITY INSURANCE AND HE DID NOT DISCLOSE TO SUCH CUSTOMER THAT HE HAD FALSIFIED THE FORM.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 12/05/2008

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 12 MONTHS. THE SUSPENSION WILL BE IN EFFECT FROM DECEMBER 15, 2008, THROUGH DECEMBER 14, 2009. FINE PAID 01/12/2009.

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	12/05/2008
Docket/Case Number:	2007010575901
Employing firm when activity occurred which led to the regulatory action:	NORTHWESTERN MUTUAL INVESTMENT SERVICES LLC
Product Type:	Insurance
Allegations:	RESPONDENT FALISIFIED PORTIONS OF A FORM RELATED TO A CUSTOMER'S APPLICATION FOR A NON-VARIALBE LIFE & DISABILITY INSURANCE
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	12/05/2008
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	SERIES 6 , SERIES 66
Duration:	12 MOS
Start Date:	12/15/2008
End Date:	12/15/2009
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	CREDIT CARD PAID IN FULL
Is Payment Plan Current:	No
Date Paid by individual:	11/10/2008
Was any portion of penalty waived?	No
Amount Waived:	



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: NMIS
Termination Type: Discharged
Termination Date: 09/06/2007
Allegations: REPRESENTATIVE WAS TERMINATED AFTER ADMITTING TO ALTERING THE WEIGHT ON A CUSTOMER'S PARAMEDICAL EXAMINATION FORM WHICH WAS USED TO APPLY FOR NON-VARIABLE LIFE AND DISABILITY INSURANCE POLICIES.
Product Type: Insurance
Other Product Types: DISABILITY INSURANCE

Reporting Source: Individual
Firm Name: NORTHWESTERN MUTUAL INVESTMENT SERVICES
Termination Type: Discharged
Termination Date: 12/14/2008
Allegations: BASED ON AN INTERNAL REVIEW THAT THE REP ADMITTED TO ALTERING THE WEIGHT ON A CUSTOMER'S PARAMEDICAL EXAMINATION FORM
Product Type: Insurance



End of Report

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