



IAPD Report

DAVID JOHN LEVORCHICK

CRD# 4849302

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

DAVID JOHN LEVORCHICK (CRD# 4849302)

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 **02/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SPIRE SECURITIES, LLC	CRD# 144131	08/18/2020
IA	SPIRE WEALTH MANAGEMENT, LLC	CRD# 113908	08/21/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	EK RILEY INVESTMENTS, LLC	121003	Sidney, OH	12/17/2014 - 09/17/2020
B	EK RILEY INVESTMENTS, LLC	121003	Sidney, OH	12/15/2014 - 09/17/2020
IA	U.S. BANCORP INVESTMENTS, INC.	17868	BOTKINS, OH	01/07/2008 - 11/03/2014

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
Regulatory Event	1
Customer Dispute	3



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

Employment 1 of 2

Firm Name: **SPIRE SECURITIES, LLC**
Main Address: 7901 JONES BRANCH DR.
SUITE 810
MCLEAN, VA 22102
Firm ID#: 144131

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	08/18/2020
B Arizona	Agent	Approved	08/18/2020
B Florida	Agent	Approved	08/18/2020
B Nevada	Agent	Approved	05/09/2023
B Ohio	Agent	Approved	08/18/2020

Branch Office Locations

5714 Seybold Road
Suite 101
Brookville, OH 45309

Employment 2 of 2

Firm Name: **SPIRE WEALTH MANAGEMENT, LLC**
Main Address: 7901 JONES BRANCH DR.
SUITE 800
MCLEAN, VA 22102
Firm ID#: 113908

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	08/21/2020



Qualifications

Branch Office Locations

SPIRE WEALTH MANAGEMENT, LLC

5714 Seybold Road , OH
Suite 101
Brookville, OH 45309



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

Principal/Supervisory Exams


Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams


Exam	Category	Date
------	----------	------


 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	11/08/2004
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

 Uniform Investment Adviser Law Examination (S65)	Series 65	12/10/2007
--	-----------	------------

 Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/2005
--	-----------	------------

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/17/2014 - 09/17/2020	EK RILEY INVESTMENTS, LLC	CRD# 121003	Sidney, OH
B	12/15/2014 - 09/17/2020	EK RILEY INVESTMENTS, LLC	CRD# 121003	Sidney, OH
IA	01/07/2008 - 11/03/2014	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	BOTKINS, OH
B	01/04/2008 - 11/03/2014	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	BOTKINS, OH
IA	11/29/2007 - 01/02/2008	NATCITY INVESTMENTS, INC.	CRD# 17490	HUBER HEIGHTS, OH
B	09/28/2005 - 01/02/2008	NATCITY INVESTMENTS, INC.	CRD# 17490	HUBER HEIGHTS, OH
B	11/10/2004 - 09/15/2005	MWA FINANCIAL SERVICES, INC.	CRD# 112630	ROCK ISLAND, IL

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
08/2020 - Present	Spire Investment Partners	Investment Advisor	Y	Sidney, OH, United States
12/2014 - Present	E.K.RILEY INVESTMENTS, LLC	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) Local Church Assembly for the Lord Jesus Christ; 01/01/2024; Board of Director/Volunteer minister; 5-15 hours/month; oversee accounts and staff, give sermons and lead Bible Studies; no compensation
- 2) ZION HOLDINGS, LLC; NOT I/R; 419 GARFIELD AVE; REAL ESTATE; PARTNER; 04/29/2014; 1 HR/MTH; 0 HRS/TRADING; WRITE THE CHECKS (BILL PAY), COLLECT THE RENTAL CHECKS.
- 3) INSURANCE SALES OF LIFE, FIXED. 1HR/WEEK, SERVICE CONTRACTS DURING FINANCIAL REVIEWS.
- 4) DBA: Levorchick Wealth Management, LLC. Est. 2017 for purpose of marketing/branding and running investment advisory and



Registration & Employment History



OTHER BUSINESS ACTIVITIES

insurance related business.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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



DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	3

Regulatory Event

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

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/29/2015
Docket/Case Number:	2013039198501
Employing firm when activity occurred which led to the regulatory action:	U.S. BANCORP INVESTMENTS, INC.
Product Type:	Annuity-Variable

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, LEVORCHICK CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE NEGLIGENTLY MISREPRESENTED TO HIS CUSTOMER THAT THE LIQUIDATION OF HER VARIABLE ANNUITY WOULD NOT RESULT IN A SIGNIFICANT TAX LIABILITY. BECAUSE THE LIQUIDATION RESULTED IN A SUBSTANTIAL CAPITAL GAIN, HOWEVER, THE CUSTOMER INCURRED A TAX LIABILITY OF APPROXIMATELY \$20,000. THE FINDINGS STATED THAT AS A RESULT OF THIS TAX CONSEQUENCE, LEVORCHICK'S RECOMMENDATION TO LIQUIDATE THE VARIABLE ANNUITY WAS UNSUITABLE. ALSO LEVORCHICK WAS NEGLIGENT IN MAKING THIS REPRESENTATION TO THE CUSTOMER BECAUSE AT THE TIME IT WAS MADE, HE SHOULD HAVE KNOWN THAT THE LIQUIDATION OF THE VARIABLE ANNUITY WOULD RESULT IN A SUBSTANTIAL CAPITAL GAIN FOR HER, AND, AS A CONSEQUENCE, A SIGNIFICANT TAX LIABILITY. THE CUSTOMER EVENTUALLY WAS COMPENSATED BY LEVORCHICK AND THE MEMBER FIRM FOR THE TAX EXPENSE SHE INCURRED AS A RESULT OF THE



UNSUITABLE LIQUIDATION OF THE VARIABLE ANNUITY.

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: 04/29/2015

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 30 DAYS
Start Date: 05/18/2015
End Date: 06/16/2015

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$7,500.00
Portion Levied against individual: \$7,500.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 05/11/2015
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension
Date Initiated: 04/29/2015
Docket/Case Number: [2013039198501](#)



Employing firm when activity occurred which led to the regulatory action:	U.S. BANCORP INVESTMENTS, INC.
Product Type:	Annuity-Variable
Allegations:	WITHOUT ADMITTING OR DENYING THE FINDINGS, LEVORCHICK CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE NEGLIGENTLY MISREPRESENTED TO HIS CUSTOMER THAT THE LIQUIDATION OF HER VARIABLE ANNUITY WOULD NOT RESULT IN A SIGNIFICANT TAX LIABILITY. BECAUSE THE LIQUIDATION RESULTED IN A SUBSTANTIAL CAPITAL GAIN, HOWEVER, THE CUSTOMER INCURRED A TAX LIABILITY OF APPROXIMATELY \$20,000. THE FINDINGS STATED THAT AS A RESULT OF THIS TAX CONSEQUENCE, LEVORCHICK'S RECOMMENDATION TO LIQUIDATE THE VARIABLE ANNUITY WAS UNSUITABLE. ALSO LEVORCHICK WAS NEGLIGENT IN MAKING THIS REPRESENTATION TO THE CUSTOMER BECAUSE AT THE TIME IT WAS MADE, HE SHOULD HAVE KNOWN THAT THE LIQUIDATION OF THE VARIABLE ANNUITY WOULD RESULT IN A SUBSTANTIAL CAPITAL GAIN FOR HER, AND, AS A CONSEQUENCE, A SIGNIFICANT TAX LIABILITY. THE CUSTOMER EVENTUALLY WAS COMPENSATED BY LEVORCHICK AND THE MEMBER FIRM FOR THE TAX EXPENSE SHE INCURRED AS A RESULT OF THE UNSUITABLE LIQUIDATION OF THE VARIABLE ANNUITY.
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:	04/29/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 DAYS
Start Date:	05/18/2015
End Date:	06/16/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	



Was any portion of penalty waived? No

Amount Waived:



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 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE MISREPRESENTED THE FEES AND RETURNS ASSOCIATED WITH STRUCTURED CDS.

Product Type: Other: STRUCTURED CDS

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): THIS AMOUNT IS THE FIRM'S ESTIMATE OF THE ALLEGED COMPENSATORY DAMAGES.

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: 08/12/2015

Complaint Pending? No

Status: Settled

Status Date: 10/21/2015

Settlement Amount: \$8,574.81

Individual Contribution Amount: \$0.00

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.

Allegations: CUSTOMER ALLEGES THAT REGISTERED REPRESENTATIVE MISREPRESENTED THE FEES AND RETURNS ASSOCIATED WITH STRUCTURED CDS.

Product Type: Other: STRUCTURED CDS

Alleged Damages: \$5,000.00

Alleged Damages Amount THIS AMOUNT IS U.S. BANCORP INVESTMENTS, INC'S ESTIMATE OF THE



Explanation (if amount not exact): ALLEGED COMPENSATORY DAMAGES.

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: 08/12/2015

Complaint Pending? No

Status: Settled

Status Date: 10/21/2015

Settlement Amount: \$8,574.81

Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.

Allegations: CUSTOMER'S ATTORNEY ALLEGES SEVERAL UNSUITABLE TRANSACTIONS AND INCIDENTS OF MISREPRESENTATION.

Product Type: Unit Investment Trust

Alleged Damages: \$50,000.00

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: 03/04/2014

Complaint Pending? No

Status: Settled

Status Date: 07/28/2014

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$30,000.00

Disclosure 3 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	U.S. BANCORP INVESTMENTS, INC.
Allegations:	CUSTOMER'S ATTORNEY ALLEGES THAT REPRESENTATIVE SOLD THE CUSTOMER'S STOCK WITHOUT FIRST GAINING THE CONSENT OF THE CUSTOMER.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$70,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS THE FIRM'S ESTIMATE OF THE ALLEGED COMPENSATORY DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	THE COURT OF COMMON PLEAS, SHELBY COUNTY, OHIO
Docket/Case #:	13CV000256
Filing date of arbitration/CFTC reparation or civil litigation:	11/08/2013
Customer Complaint Information	
Date Complaint Received:	08/23/2013
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	11/08/2013
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-02111
Date Notice/Process Served:	07/21/2014
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/06/2015
Monetary Compensation Amount:	\$37,500.00
Individual Contribution Amount:	\$0.00

**Civil Litigation Information**

Type of Court: State Court
Name of Court: THE COURT OF COMMON PLEAS, SHELBY COUNTY, OHIO
Location of Court: SHELBY COUNTY, OHIO
Docket/Case #: 13CV000256
Date Notice/Process Served: 11/08/2013
Litigation Pending? No
Disposition: Dismissed
Disposition Date: 07/11/2014

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: U.S. BANCORP INVESTMENTS, INC.
Allegations: CUSTOMER'S ATTORNEY ALLEGES THAT REPRESENTATIVE SOLD THE CUSTOMER'S STOCK WITHOUT FIRST GAINING THE CONSENT OF THE CUSTOMER.
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$70,000.00
Alleged Damages Amount Explanation (if amount not exact): THIS AMOUNT IS THE FIRM'S ESTIMATE OF THE ALLEGED COMPENSATORY DAMAGES.
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: THE COURT OF COMMON PLEAS, SHELBY COUNTY, OHIO
Docket/Case #: 13CV000256
Filing date of arbitration/CFTC reparation or civil litigation: 11/08/2013

Customer Complaint Information

Date Complaint Received: 08/23/2013
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 11/08/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



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

Docket/Case #: 14-02111
Date Notice/Process Served: 07/21/2014
Arbitration Pending? No
Disposition: Settled
Disposition Date: 04/06/2015
Monetary Compensation Amount: \$37,500.00
Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court
Name of Court: THE COURT OF COMMON PLEAS, SHELBY COUNTY, OHIO
Location of Court: SHELBY COUNTY, OHIO
Docket/Case #: 13CV000256
Date Notice/Process Served: 11/08/2013
Litigation Pending? No
Disposition: Dismissed
Disposition Date: 07/11/2014



End of Report

This page is intentionally left blank.