IAPD Report

Amy Nuttall Zwaan

CRD# 4857906

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

Amy Nuttall Zwaan (CRD# 4857906)

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 **10/31/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	10/25/2024
B	ALEXANDER CAPITAL, L.P.	CRD# 40077	01/24/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **8** 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	ALEXANDER CAPITAL, L.P.	40077	RED BANK, NJ	10/22/2024 - 12/13/2024
B	LPL FINANCIAL LLC	6413	FRESNO, CA	11/14/2022 - 05/29/2024
IA	LPL FINANCIAL LLC	6413	FRESNO, CA	11/14/2022 - 05/29/2024

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	2
Judgment/Lien	1

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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 **8** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**
Main Address: 10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 40077

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/24/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	01/24/2025
B	California	Agent	Approved	01/27/2025
B	Colorado	Agent	Approved	02/07/2025
B	Idaho	Agent	Approved	01/28/2025
B	Nevada	Agent	Approved	01/30/2025
B	New Jersey	Agent	Approved	01/28/2025
B	Oregon	Agent	Approved	01/30/2025
B	Texas	Agent	Approved	04/16/2025
B	Wyoming	Agent	Approved	01/27/2025

Branch Office Locations

ALEXANDER CAPITAL, L.P.
Clovis, CA

ALEXANDER CAPITAL, L.P.
7040 N Marks #111
Fresno, CA 93711

Employment 2 of 2

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Qualifications

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**

Main Address: 10 DRS. JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701

Firm ID#: 157714

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

ALEXANDER CAPITAL WEALTH MANAGEMENT LLC
Clovis, CA

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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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/13/2004

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/02/2004

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	10/22/2024 - 12/13/2024	ALEXANDER CAPITAL, L.P.	CRD# 40077	RED BANK, NJ
B	11/14/2022 - 05/29/2024	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
IA	11/14/2022 - 05/29/2024	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
IA	01/07/2020 - 12/09/2022	WEALTHPLAN PARTNERS	CRD# 305026	Fresno, CA
B	09/09/2019 - 11/29/2022	SECURITIES AMERICA, INC.	CRD# 10205	FRESNO, CA
IA	09/09/2019 - 07/10/2020	WEALTHPLAN PARTNERS	CRD# 158935	Fresno, CA
IA	11/29/2018 - 09/10/2019	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	FRESNO, CA
B	11/29/2018 - 09/10/2019	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	FRESNO, CA
B	09/10/2010 - 12/20/2018	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
IA	12/02/2016 - 12/03/2018	THE WEALTH CONSULTING GROUP	CRD# 173194	Fresno, CA
IA	09/14/2010 - 03/17/2017	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
B	11/30/2007 - 09/14/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	FRESNO, CA
IA	11/30/2007 - 09/14/2010	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	FRESNO, CA
IA	12/03/2004 - 12/10/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	FRESNO, CA
B	11/15/2004 - 12/10/2007	UBS FINANCIAL SERVICES INC.	CRD# 8174	FRESNO, CA

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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
10/2024 - Present	ALEXANDER CAPITAL LP	REGISTERED REPRESENTATIVE	Y	RED BANK, NJ, United States
10/2024 - Present	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	RED BANK, NJ, United States
05/2024 - 10/2024	UNEMPLOYED	UNEMPLOYED	N	CLOVIS, CA, United States
11/2022 - 05/2024	LPL Financial LLC	Registered Representative	Y	Fresno, CA, United States
01/2020 - 11/2022	WealthPLAN Partners, LLC	Investment Advisor Representative	Y	Omaha, NE, United States
09/2019 - 11/2022	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States
09/2019 - 11/2022	WealthPLAN Partners, Inc	IAR	Y	FRESNO, CA, United States
11/2018 - 09/2019	CONCURRRENT, LLC	FINANCIAL ADVISOR	Y	SANDIEGO, CA, United States
11/2018 - 09/2019	RAYMOND JAMES FINANCIAL SERVICE4S ADVISORS, INC.	IAR	Y	FRESNO, CA, United States
11/2018 - 09/2019	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	FRESNO, CA, United States
12/2016 - 11/2018	THE WEALTH CONSULTING GROUP	Investment Adviser Representative	Y	FRESNO, CA, United States
09/2010 - 11/2018	LPL FINANCIAL LLC	FINANCIAL ADVISOR	Y	FRESNO, CA, 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) 11/2022- Amy Nuttall, INC- Business Entity For Tax/Investment Purposes Only- Payroll and Small Business Health Insurance plan as directed by CPA - owner /President- non-inv. related- Fresno, CA 93704 - start date 6/1/2021- 0hrs

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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.

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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	2
Judgment/Lien	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/03/2024
Docket/Case Number:	20-01759
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Zwaan failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	09/03/2024

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Sanctions Ordered:	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	

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(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:	All Capacities
Duration:	n/a
Start Date:	09/03/2024
End Date:	10/15/2024
Regulator Statement	Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Zwaan is suspended on September 3, 2024 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension lifted October 15, 2024.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	09/03/2024
Docket/Case Number:	20-01759
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	RESPONDENT ZWAAN FAILED TO COMPLY WITH AN ABRITRATION AWARD OR SETTLEMENT AGREEMENT OR TO SATISFACTORILY RESPOND TO A FINRA REQUEST TO PROVIDE INFORMATION CONCERNING THE STATUS OF COMPLIANCE.
Current Status:	Final
Resolution:	LETTER

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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:	09/03/2024
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	09/03/2024 - 10/15/2024
Start Date:	09/03/2024
End Date:	10/15/2024
Broker Statement	Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Zwaan is suspended on September 3, 2024 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension lifted October 15, 2024.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	05/01/2024
Docket/Case Number:	20-01759
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	No Product
Allegations:	Respondent Zwaan failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	05/01/2024
Sanctions Ordered:	Suspension

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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? **(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?**	No

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Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	n/a
Start Date:	05/01/2024
End Date:	06/18/2024
Regulator Statement	Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Zwaan is suspended on May 1, 2024 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance. Suspension Lifted June 18, 2024.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	05/01/2024
Docket/Case Number:	20-01759
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Respondent Zwaan failed to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
Current Status:	Final
Resolution:	Letter
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:	05/01/2024
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	05/01/2024
End Date:	

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Broker Statement	Include relevant terms, conditions and dates. Include the number of investors in the reporting jurisdiction, the total number of investors in the program, the amount invested in the reporting jurisdiction, the total amount invested and whether the action is based on a referral or investigation from your securities division. Your information must fit within the space provided. Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Zwaan is suspended on May 1, 2024 for failure to comply with an arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.

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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:	LPL FINANCIAL LLC
Allegations:	Claimants allege breach of fiduciary duty and engaging in prohibited transactions with respect to an ERISA plan from 2023-2024.
Product Type:	Other: Contractual Plans/Systematic Investment
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages exceed $5,000 but cannot be determined.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	United States District Court, Eastern District of California Fresno Division
Location of Court:	Fresno, CA
Docket/Case #:	1:25-cv-00988-JLT-SAB
Date Notice/Process Served:	08/15/2025
Litigation Pending?	Yes

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Claimants allege breach of fiduciary duty and engaging in prohibited transactions with respect to an ERISA plan from 2023-2024.
Product Type:	Other: Contractual Plans/Systematic Investment
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages cannot be determined but is believed to exceed $5,000.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	United States District Court, Eastern District of California Fresno Division
Location of Court:	Fresno, CA

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Docket/Case #:	1:25-cv-00988-JLT-SAB
Date Notice/Process Served:	08/19/2025
Litigation Pending?	Yes
Broker Statement	I ardently deny any and all allegations with respect to this filing. "Customers" named are not, nor have ever been, my clients, but are recipients in a pooled Profit Sharing Plan made up of employer discretionary funds only. I managed those pooled assets from 2006 - 2024. I have never breached ANY fiduciary duty, nor engaged in any prohibited transactions with respect to this, or any, ERISA plan. This matter is currently in litigation.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	The client's alleges the advisor misrepresented an annuity and the expected income the client would receive. Client also alleges the advisor mishandled the annuity which caused financial harm to the client.
Product Type:	Annuity-Variable
Alleged Damages:	$80,000.00
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:	02/11/2025
Complaint Pending?	No
Status:	Settled
Status Date:	06/30/2025
Settlement Amount:	$26,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	Customer alleges misrepresentation and mishandling of an annuity and the expected income. Unknown time frame.
Product Type:	Annuity-Variable
Alleged Damages:	$80,000.00
Is this an oral complaint?	No

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Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/11/2025
Complaint Pending?	No
Status:	Settled
Status Date:	06/30/2025
Settlement Amount:	$26,000.00
Individual Contribution Amount:	$0.00
Broker Statement	The allegations against me are false. At no point did my former firm, which received this complaint, ever contact me in an attempt to investigate the allegations. The settlement, which was for a fraction of the damages claimed, was made without my knowledge or input and I did not contribute in any way to the settlement.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	ARC PROPERTIES INC
Judgment/Lien Amount:	$39,958.15
Judgment/Lien Type:	Civil
Date Filed with Court:	10/09/2023
Date Individual Learned:	10/09/2023
Type of Court:	State Court
Name of Court:	N/A
Location of Court:	CA
Docket/Case #:	2023-0094000
Judgment/Lien Outstanding?	Yes

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End of Report

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