



## IAPD Report

# Jeanette Susan Stofleth

CRD# 4860748

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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

### Jeanette Susan Stofleth (CRD# 4860748)

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 **12/26/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	CHELSEA ADVISORY SERVICES, INC	CRD# 150791	08/01/2022
<b>B</b>	CHELSEA FINANCIAL SERVICES	CRD# 47770	08/02/2022

### 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
<b>IA</b>	SB ADVISORY, LLC	154680	Kirkland, WA	03/29/2022 - 06/29/2022
<b>B</b>	SAN BLAS SECURITIES LLC	290605	CHICAGO, IL	03/23/2022 - 06/29/2022
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	105644	TACOMA, WA	01/01/2021 - 01/14/2022

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	2



## 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 2

Firm Name: **CHELSEA FINANCIAL SERVICES**  
Main Address: 242 MAIN STREET  
STATEN ISLAND, NY 10307  
Firm ID#: 47770

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	08/02/2022
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	08/02/2022
<b>B</b> Arizona	Agent	Approved	08/18/2022
<b>B</b> California	Agent	Approved	08/02/2022
<b>B</b> Florida	Agent	Approved	08/29/2022
<b>B</b> Illinois	Agent	Approved	08/24/2022
<b>B</b> Washington	Agent	Approved	08/02/2022

#### Branch Office Locations

Tacoma, WA

#### Employment 2 of 2

Firm Name: **CHELSEA ADVISORY SERVICES, INC**  
Main Address: 242 MAIN STREET  
STATEN ISLAND, NY 10307  
Firm ID#: 150791

Regulator	Registration	Status	Date
<b>IA</b> Washington	Investment Adviser Representative	Approved	08/01/2022



## Qualifications

Regulator	Registration	Status	Date
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### Branch Office Locations

**CHELSEA ADVISORY SERVICES, INC**  
Tacoma, WA



## 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 2 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	09/22/2008
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/09/2004

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/04/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/13/2004

### 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	03/29/2022 - 06/29/2022	SB ADVISORY, LLC	CRD# 154680	Kirkland, WA
B	03/23/2022 - 06/29/2022	SAN BLAS SECURITIES LLC	CRD# 290605	CHICAGO, IL
IA	01/01/2021 - 01/14/2022	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	TACOMA, WA
B	10/26/2020 - 01/14/2022	CETERA INVESTMENT SERVICES LLC	CRD# 15340	TACOMA, WA
B	04/18/2016 - 10/29/2020	MORGAN STANLEY	CRD# 149777	SEATTLE, WA
IA	04/18/2016 - 10/29/2020	MORGAN STANLEY	CRD# 149777	SEATTLE, WA
B	01/07/2010 - 04/18/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	SEATTLE, WA
IA	01/07/2010 - 04/18/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	SEATTLE, WA
B	05/02/2009 - 01/11/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MESA, AZ
IA	05/02/2009 - 01/11/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	MESA, AZ
IA	03/05/2009 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	MESA, AZ
B	05/10/2006 - 05/02/2009	WAMU INVESTMENTS, INC.	CRD# 599	MESA, AZ
B	12/13/2004 - 05/09/2006	WM FINANCIAL SERVICES, INC.	CRD# 599	SEATTLE, WA

#### 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
10/2020 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	TACOMA, WA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2020 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
10/2020 - Present	COLUMBIA	REGISTERED REPRESENTATIVE	Y	TACOMA, WA, United States
04/2016 - Present	MORGAN STANLEY PRIVATE BANK, N.A.	FINANCIAL ADVISOR	Y	NEW YORK, NY, United States
04/2016 - Present	MORGAN STANLEY SMITH BARNEY 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.) JEANETTE RECORDS LLC, 100% OWNER/MANAGER, DIGITAL AND MUSIC RELATED RECORDING AND DISTRIBUTION OF ART INCLUDING AUDIO AND DIGITAL MEDIA



## 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	2

### 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	06/29/2021
<b>Docket/Case Number:</b>	20210719489
<b>Employing firm when activity occurred which led to the regulatory action:</b>	n/a
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Respondent Stofleth 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.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/03/2022
<b>Sanctions Ordered:</b>	Monetary Penalty other than Fines



Suspension

No

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?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All capacities
<b>Duration:</b>	n/a
<b>Start Date:</b>	01/03/2022
<b>End Date:</b>	01/18/2022

**Monetary Sanction 1 of 1**

<b>Monetary Related Sanction:</b>	Monetary Penalty other than Fines
<b>Total Amount:</b>	\$1,583.23
<b>Portion Levied against individual:</b>	\$1,583.23
<b>Payment Plan:</b>	hearing costs
<b>Is Payment Plan Current:</b>	
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	

**Regulator Statement**

Expedited Proceeding No. ARB210015/Arbitration Case No. 21-00137: Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Stofleth is suspended on January 3, 2022 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. Stofleth was also ordered to pay hearing costs of \$1,583.23.

On May 27, 2021, a FINRA Dispute Resolution Services arbitration panel entered an award against Stofleth in Morgan Stanley Smith Barney LLC and Morgan Stanley Smith Barney Financing, LLC v. Jeanette S. Stofleth. Stofleth did not pay the award by the deadline.

Stofleth was sent a Notice of Suspension Letter on 06/29/2021. Stofleth requested a hearing, asserting the defense that she was unable to pay the award. Stofleth's



hearing request stayed the imposition of the suspension. The hearing was conducted on October 13, 2021.

On January 3, 2022, the Office of Hearing Officers issued its decision, which found that Stofleth failed to demonstrate that she had a bona fide inability to pay or make a meaningful payment toward the award. The suspension was therefore imposed, effective upon issuance of the decision.

Suspension lifted January 18, 2022

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<b>Reporting Source:</b>	Firm
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	06/29/2021
<b>Docket/Case Number:</b>	20210719489
<b>Employing firm when activity occurred which led to the regulatory action:</b>	N/A
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Respondent Stofleth failed to comply with a arbitration award or settlement agreement or to satisfactorily respond to a FINRA request to provide information concerning the status of compliance.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision
<b>Resolution Date:</b>	01/03/2022
<b>Sanctions Ordered:</b>	Monetary Penalty other than Fines Suspension
<b>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?</b>	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**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	Indefinite
<b>Start Date:</b>	01/03/2022

**End Date:****Monetary Sanction 1 of 1****Monetary Related Sanction:** Monetary Penalty other than Fines**Total Amount:** \$1,583.23**Portion Levied against individual:** \$1,583.23**Payment Plan:** hearing costs**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Firm Statement**

Expedited Proceeding No. ARB210015/Arbitration Case No. 21-00137: Pursuant to Article VI, Section 3 of FINRA By-Laws, and FINRA Rule 9554, Respondent Stofleth is suspended on January 3, 2022 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. Stofleth was also ordered to pay hearing costs of \$1,583.23. On May 27, 2021, a FINRA Dispute Resolution Services arbitration panel entered an award against Stofleth in Morgan Stanley Smith Barney LLC and Morgan Stanley Smith Barney Financing, LLC v. Jeanette S. Stofleth. Stofleth did not pay the award by the deadline. Stofleth was sent a Notice of Suspension Letter on 06/29/2021. Stofleth requested a hearing, asserting the defense that she was unable to pay the award. Stofleth's hearing request stayed the imposition of the suspension. The hearing was conducted on October 13, 2021. On January 3, 2022, the Office of Hearing Officers issued its decision, which found that Stofleth failed to demonstrate that she had a bona fide inability to pay or make a meaningful payment toward the award. The suspension was therefore imposed, effective upon issuance of the decision.

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**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Monetary Penalty other than Fines  
Suspension**Date Initiated:** 06/29/2021**Docket/Case Number:** 20210719489**Employing firm when activity occurred which led to the regulatory action:** Cetera Investment services**Product Type:** Promissory Note**Allegations:** Arbitration Forum Fees were owed.**Current Status:** Final**Resolution:** Decision



**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:**

01/03/2022

**Sanctions Ordered:**

Monetary Penalty other than Fines  
Suspension

**Sanction 1 of 1**

**Sanction Type:**

Suspension

**Capacities Affected:**

All Capacities

**Duration:**

15 days

**Start Date:**

01/03/2022

**End Date:**

01/18/2022

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:**

Monetary Penalty other than Fines

**Total Amount:**

\$1,583.23

**Portion Levied against individual:**

\$1,583.23

**Payment Plan:**

**Is Payment Plan Current:**

No

**Date Paid by individual:**

**Was any portion of penalty waived?**

No

**Amount Waived:**

**Broker Statement**

This fine handed down by FINRA was paid by registered rep in a timely manner. FINRA Rule 13201 states "A claim alleging employment discrimination, including sexual harassment, in violation of a statute, is not required to be arbitrated under the Code. Such a claim may be arbitrated only if the parties have agreed to arbitrate it, either before or after the dispute arose. If the parties agree to arbitrate such a claim, the claim will be administered under Rule 13802." - Nevertheless, FINRA denied registered rep the right to exercise legal claims even after FINRA was notified of such claim filed in April of 2020 for claims involving discrimination and retaliation among other alleged unlawful acts by respondent.



### 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:** Key Investment Services

**Allegations:** Clients allege that the Principal SPIAs totaling \$450,000 they purchased in August 2015 constituted in poor advice.

**Product Type:** Annuity-Fixed

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** The damages were not stated & cannot be calculated at this time, however would clearly exceed \$5000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 01/19/2017

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/24/2017

**Settlement Amount:** \$18,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Key Investment Services

**Allegations:** Clients allege that the Principal SPIAs totaling \$450,000 they purchased in August 2015 constituted in poor advice.

**Product Type:** Annuity-Fixed

**Alleged Damages:** \$5,000.00



**Alleged Damages Amount Explanation (if amount not exact):** The damages were not stated & cannot be calculated at this time, however would clearly exceed \$5000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 01/19/2017

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/24/2017

**Settlement Amount:** \$18,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I deny the allegations that arose after I resigned from KIS and KIS settled with no participation by me.

**Disclosure 2 of 2**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Key Investment Services

**Allegations:** Client alleges that the Great American indexed annuity purchased in the amount of \$153,000.00 and the Delaware Fixed Annuity for \$35,000.00 purchased in February of 2015 were misrepresented.

**Product Type:** Annuity-Fixed

**Alleged Damages:** \$16,295.01

**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:** 12/07/2016

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/08/2017

**Settlement Amount:**

**Individual Contribution Amount:**



<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Key Investment Services
<b>Allegations:</b>	Client alleges that the Great American indexed annuity purchased in the amount of \$153,000.00 and the Delaware Fixed Annuity for \$35,000.00 purchased in February of 2015 were misrepresented.
<b>Product Type:</b>	Annuity-Fixed
<b>Alleged Damages:</b>	\$16,295.01
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/07/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/08/2017

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** I concur with KIS's denial of clients claim, but regret clients dissatisfaction.



## End of Report

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