



IAPD Report

Christopher Nelson Kirkland

CRD# 5602044

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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

Christopher Nelson Kirkland (CRD# 5602044)

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 **05/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	09/05/2025
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	AVANTAX ADVISORY SERVICES	104556	Atlanta, GA	03/26/2021 - 09/05/2025
B	AVANTAX INVESTMENT SERVICES, INC.	13686	Atlanta, GA	03/26/2021 - 09/05/2025
B	LPL FINANCIAL LLC	6413	ATLANTA, GA	10/20/2010 - 06/03/2021

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
Customer Dispute	11



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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**
Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245
Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/05/2025
B	Arizona	Agent	Approved	09/05/2025
B	California	Agent	Approved	09/05/2025
B	Colorado	Agent	Approved	09/05/2025
B	Connecticut	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	09/05/2025
B	Georgia	Agent	Approved	09/05/2025
B	Illinois	Agent	Approved	09/05/2025
B	Indiana	Agent	Approved	09/05/2025
B	Louisiana	Agent	Approved	09/05/2025
B	Maine	Agent	Approved	09/05/2025
B	Michigan	Agent	Approved	09/05/2025
B	Missouri	Agent	Approved	09/05/2025



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	09/05/2025
B New Hampshire	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	09/05/2025
B New Mexico	Agent	Approved	09/05/2025
B New York	Agent	Approved	09/05/2025
B North Carolina	Agent	Approved	09/05/2025
B Ohio	Agent	Approved	09/05/2025
B Oklahoma	Agent	Approved	09/05/2025
B Pennsylvania	Agent	Approved	09/05/2025
B Rhode Island	Agent	Approved	09/05/2025
B South Carolina	Agent	Approved	09/05/2025
B Texas	Agent	Approved	09/05/2025
B Utah	Agent	Approved	09/05/2025
B Washington	Agent	Approved	09/05/2025
B West Virginia	Agent	Approved	09/05/2025

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
 340 E Warm Springs Road
 Suite 110
 Las Vegas, NV 89119

CETERA ADVISOR NETWORKS LLC
 4401 Northside Pkwy NW
 Suite 900
 Atlanta, GA 30327

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**



Qualifications

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	09/05/2025
IA	Nevada	Investment Adviser Representative	Approved	09/05/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC

1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096



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 1 state securities law exam.

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
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Futures Managed Funds Examination (S31)	Series 31	10/12/2010
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General Securities Representative Examination (S7)	Series 7	12/03/2008
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	12/23/2008
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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	03/26/2021 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Atlanta, GA
B	03/26/2021 - 09/05/2025	AVANTAX INVESTMENT SERVICES, INC.	CRD# 13686	Atlanta, GA
B	10/20/2010 - 06/03/2021	LPL FINANCIAL LLC	CRD# 6413	ATLANTA, GA
IA	11/19/2013 - 06/01/2021	IFG ADVISORY, LLC	CRD# 168012	Atlanta, GA
IA	10/26/2010 - 02/03/2016	LPL FINANCIAL LLC	CRD# 6413	ATLANTA, GA
IA	08/08/2013 - 07/09/2015	LEGACY CAPITAL ADVISORS, LLC	CRD# 168728	ATLANTA, GA
IA	11/19/2013 - 08/28/2014	IFG ADVISORY, LLC	CRD# 168012	ATLANTA, GA
IA	01/07/2009 - 10/27/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	ATLANTA, GA
B	12/04/2008 - 10/27/2010	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	ATLANTA, GA

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
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	Mass Transfer	Y	SCHAUMBURG, IL, United States
09/2025 - Present	CETERA WEALTH SERVICES, LLC	Mass Transfer	Y	Las Vegas, NV, United States
01/2024 - Present	Legacy Tax and Accounting LLC	Member	Y	Asheville, NC, United States
03/2021 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	ATLANTA, GA, United States
03/2021 - Present	AVANTAX INSURANCE AGENCY, LLC.	Insurance Agent	Y	ATLANTA, GA, United States
03/2021 - Present	AVANTAX INVESTMENT SERVICES INC.	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2013 - Present	Legacy Capital Advisors, LLC	Member	Y	Atlanta, GA, United States
04/2012 - Present	Resurgens Investments, LLC	Member	Y	Atlanta, GA, United States
11/2013 - 03/2021	IFG Advisory, LLC	Investment Adviser Representative	Y	ATLANTA, GA, United States
10/2010 - 03/2021	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	ALTANTA, GA, 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) LEGACY CAPITAL ADVISORS, LLC

POSITION: Member NATURE: Wealth Management - advising clients, investing, and financial planning. Legacy Capital Advisors, LLC is a DBA only for Resurgens Investments, LLC business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0

SECURITIES TRADING HOURS: 0 START DATE: 07/17/2013

ADDRESS: 4401 Northside Pkwy NW, STE 900, Atlanta GA 30327, United States

DESCRIPTION: Wealth manager responsible for all facets of client engagement, including: financial planning, investment management, determining the right type and amounts of insurance for the client's needs, and helping project retirement income.

2) RESURGENS INVESTMENTS, LLC

POSITION: Owner NATURE: This entity will be used for Avantax business. In addition, this entity collects rents from the rental of office spaces to other financial professionals. Each office has locks on the doors. We lease 2 offices. INVESTMENT RELATED: Yes

NUMBER OF HOURS: 200 SECURITIES TRADING HOURS: 130 START DATE: 04/10/2012

ADDRESS: 4401 Northside Pkwy NW, STE 900, Atlanta GA 30327, United States

DESCRIPTION: Meeting with clients, hold team meetings, prospect for new business, collect rents from tenants, and manage portfolio of investments.

3) LEGACY TAX AND ACCOUNTING LLC

POSITION: Member NATURE: Wealth Management - advising clients, investing, and financial planning. Legacy Tax and Accounting, LLC is a DBA only for Resurgens Investments, LLC business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 0

SECURITIES TRADING HOURS: 0 START DATE: 01/02/2024

ADDRESS: 10 Brook Street, Suite 235, Asheville NC 28803, United States

DESCRIPTION: Wealth manager responsible for all facets of client engagement, including: financial planning, investment management, determining the right type and amounts of insurance for the client's needs, and helping project retirement income.



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
Customer Dispute	11

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 11

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleges the investments they purchased were not suitable.
Product Type:	Other: Structured Notes
Alleged Damages:	\$150,000.00
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:	04/17/2026
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 11

Reporting Source:	Individual
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Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customer alleges the investment they purchased were not suitable

Product Type: Other: Structured Notes

Alleged Damages: \$250,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 26-00186

Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2026

Customer Complaint Information

Date Complaint Received: 02/02/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement Clients losses were substantially less than 250,000

Disclosure 3 of 11

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENTSERVICES, INC.

Allegations: Customers alleged the investments they purchased were not suitable.

Product Type: Other: structured notes

Alleged Damages: \$190,000.00

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: 04/02/2025

Complaint Pending? No

Status: Settled

Status Date: 07/11/2025



Settlement Amount: \$100,000.00

Individual Contribution Amount: \$0.00

Broker Statement The matter settled without any admission of liability or wrongdoing to avoid cost, distractions, and uncertainties associated with proceeding to a formal hearing.

Disclosure 4 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: The client's attorney alleges that both advisor's recommended an unsuitable investment with Northstar Healthcare Income, Inc (REIT) in the amount of \$50k. Damages request is for \$50k and \$2500 in attorney's fees. Suitability of purchase 11/2014

Product Type: Other: REIT

Alleged Damages: \$52,500.00

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: 02/20/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: The client's attorney alleges that both advisor's recommended an unsuitable investment with Northstar Healthcare Income, Inc (REIT) in the amount of \$50k. Damages request is for \$50k and \$2500 in attorney's fees. Suitability of purchase 11/2014.

Product Type: Other: REIT

Alleged Damages: \$52,500.00

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: 02/20/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution
Amount:

Disclosure 5 of 11

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customer alleged the investment she purchased were not suitable.

Product Type: Other: Structured Notes and Exchange Traded Funds

Alleged Damages: \$750,000.00

Arbitration Information

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

Docket/Case #: 24-02528

Date Notice/Process Served: 12/11/2024

Arbitration Pending? Yes

Disclosure 6 of 11

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customers alleged the investments they purchased were not suitable.

Product Type: Other: Structured Notes

Alleged Damages: \$0.00

Alleged Damages Amount
Explanation (if amount not
exact): The complaint did not specify an alleged damage amount: therefore, the Firm made a good faith determination that potential damages from the alleged conduct could be greater than \$5,000.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC
reparation or civil litigation? Yes



Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-01593

Filing date of arbitration/CFTC reparation or civil litigation: 07/23/2024

Customer Complaint Information

Date Complaint Received: 08/27/2024

Complaint Pending? No

Status: Settled

Status Date: 11/07/2025

Settlement Amount: \$365,000.00

Individual Contribution Amount: \$0.00

Broker Statement The matter settled without any admission of liability or wrongdoing to avoid the costs, distractions, and uncertainties associated with proceeding to a formal hearing

Disclosure 7 of 11

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customer alleges the investments they purchased were not suitable.

Product Type: Other: Structured Notes

Alleged Damages: \$700,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 26-00172

Filing date of arbitration/CFTC reparation or civil litigation: 01/23/2026

Customer Complaint Information

Date Complaint Received: 01/26/2026

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



Disclosure 8 of 11

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customers alleged the investments they purchased were not suitable.

Product Type: Other: Structured Notes

Alleged Damages: \$900,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 24-01086

Filing date of arbitration/CFTC reparation or civil litigation: 05/17/2024

Customer Complaint Information

Date Complaint Received: 05/20/2024

Complaint Pending? No

Status: Settled

Status Date: 12/11/2024

Settlement Amount: \$625,000.00

Individual Contribution Amount: \$0.00

Broker Statement The matter was settled without any admission of liability or wrongdoing to avoid costs, distractions, and uncertainties associated with proceeding to a formal hearing.

Disclosure 9 of 11

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customer alleged the investments they purchased were not suitable.

Product Type: Other: Structured Notes and Exchange Traded Funds

Alleged Damages: \$999,000.00

Arbitration Information



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

Docket/Case #: 24-01047

Date Notice/Process Served: 05/14/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/23/2025

Monetary Compensation Amount: \$650,000.00

Individual Contribution Amount: \$0.00

Broker Statement The matter settled without any admission of liability or wrongdoing to avoid cost, distractions, and uncertainties associated with proceeding to a formal hearing.

Disclosure 10 of 11

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AVANTAX INVESTMENT SERVICES, INC.

Allegations: Customers allege the investments they purchased were not suitable.

Product Type: Other: Structured Notes

Alleged Damages: \$585,000.00

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: 08/31/2023

Complaint Pending? No

Status: Settled

Status Date: 01/17/2024

Settlement Amount: \$284,000.00

Individual Contribution Amount: \$0.00

Broker Statement The matter was settled without any admission of liability or wrongdoing to avoid the costs, distractions, and uncertainties of an arbitration proceeding.

Disclosure 11 of 11

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:	AVANTAX INVESTMENT SERVICES, INC.
Allegations:	Customer alleges that certain investments that she purchased were unsuitable and/or unauthorized.
Product Type:	Other: Structured Notes
Alleged Damages:	\$735,004.45
Alleged Damages Amount Explanation (if amount not exact):	Amended Statement of Claim received June 7, 2024 updated alleged damages from the previously disclosed amount of \$473,739.14 to \$735,004.45.
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:	08/22/2023
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	12/04/2023
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-03443
Date Notice/Process Served:	12/13/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/27/2025
Monetary Compensation Amount:	\$700,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The matter of settled without any admission of liability or wrongdoing to avoid cost, distractions, and uncertainties associated with proceeding to a formal hearing.



End of Report

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