



IAPD Report

CHARLES EUGENE WILLIAMS

CRD# 727212

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

i 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

CHARLES EUGENE WILLIAMS (CRD# 727212)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	AMERICAN PORTFOLIOS ADVISORS, INC	112697	HOLBROOK, NY	02/15/2019 - 10/11/2024
B	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	18487	Westfield, IN	01/02/2019 - 10/11/2024
IA	QUESTAR ASSET MANAGEMENT, INC.	133358	WESTFIELD, IN	03/08/2005 - 12/31/2018

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/11/2024
B	FINRA	General Securities Principal	Approved	10/11/2024
B	FINRA	General Securities Representative	Approved	10/11/2024
B	FINRA	Operations Professional	Approved	10/11/2024
B	Alabama	Agent	Approved	10/11/2024
B	Florida	Agent	Approved	10/11/2024
B	Hawaii	Agent	Approved	10/11/2024
B	Indiana	Agent	Approved	10/11/2024
IA	Indiana	Investment Adviser Representative	Approved	10/11/2024
B	Michigan	Agent	Approved	10/11/2024
B	Ohio	Agent	Approved	10/11/2024
B	Oklahoma	Agent	Approved	10/11/2024

Branch Office Locations



Qualifications

OSAIC WEALTH, INC.

17819 Commerce Dr
Suite 200
Westfield, IN 46074





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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Financial and Operations Principal Examination (S27)	Series 27	09/06/1995
 General Securities Principal Examination (S24)	Series 24	10/06/1987

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/15/1986
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/31/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/27/2003
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/29/1986

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	02/15/2019 - 10/11/2024	AMERICAN PORTFOLIOS ADVISORS, INC	CRD# 112697	HOLBROOK, NY
B	01/02/2019 - 10/11/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	CRD# 18487	Westfield, IN
IA	03/08/2005 - 12/31/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	WESTFIELD, IN
B	01/04/2000 - 12/31/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	WESTFIELD, IN
IA	10/22/2003 - 12/31/2005	QUESTAR CAPITAL CORPORATION	CRD# 43100	WESTFIELD, IN
B	06/18/1989 - 12/31/1999	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	11/05/1986 - 06/18/1989	SOUTHMARK FINANCIAL SERVICES, INC.	CRD# 6518	
B	04/02/1981 - 02/10/1988	PEBSICO SECURITIES CORP.	CRD# 7110	

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	OSAIC WEALTH, INC.	Mass Transfer	Y	SCOTTSDALE, AZ, United States
01/2019 - 10/2024	AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HOLBROOK, NY, United States
02/2005 - 12/2018	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
01/2000 - 12/2018	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States



Registration & Employment History

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. C. E. WILLIAMS FINANCIAL SERVICES, INC.

POSITION: President/Owner **NATURE:** CE Williams Financial Services Inc. is a Sub S Corp that I established in 2000. The purpose of this corp was for accounting and marketing of my insurance sales. I still maintain the corp but have shifted to DBA/ Williams Wealth Management for marketing and mostly all income is currently as a sole proprietor. **INVESTMENT RELATED:** Yes **NUMBER OF HOURS:** 50 **SECURITIES TRADING HOURS:** 30 **START DATE:** 07/01/2000
ADDRESS: 17819 Commerce Dr, suite 200, Westfield IN 46074, United States
DESCRIPTION: Insurance salesman and advisor

2. CHARLES WILLIAMS FARM.

POSITION: Manager. **NATURE:** Own and manage a farm. Sole proprietor. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 40 **SECURITIES TRADING HOURS:** 0 **START DATE:** 01/03/2000
ADDRESS: 2572 E 825 S, Macy IN 46951, United States
DESCRIPTION: This is the family farm I grew up on. Currently reside on property.

3. RENTAL PROPERTY.

POSITION: Landlord. **NATURE:** Renting single family residence located on farm. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 10 **SECURITIES TRADING HOURS:** 0 **START DATE:** 08/06/2013
ADDRESS: 2572 E 825 S, Macy IN 46951, United States
DESCRIPTION: Collect rents, pay taxes.

4. CROOKED CREEK CONDOMINIUMS

POSITION: board member **NATURE:** I am on the board at my condo association. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 5 **SECURITIES TRADING HOURS:** 1 **START DATE:** 01/21/2001
ADDRESS: 8290 Hewlett Dr, suite 200, Indianapolis IN 46268, United States
DESCRIPTION: Working with the management co to operate the condo association for the best interest of all Homeowners, Make budgets and decisions that help all members increase value and maintain this housing association.

5. WILLIAMS FARMS

POSITION: owner/operator **NATURE:** This is Real Estate that I inherited/bought over the past 45 years. It was where I grew up and my permanent residence The farm is currently a grain operation of 220 acres growing corn, soybeans, or hay and the operation and labor is done by the tenant renting the ground on a 50/50 basis and we make decisions together. Ownership its 75% mine, and 25% my two sisters. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 10 **SECURITIES TRADING HOURS:** 5 **START DATE:** 07/01/1981
ADDRESS: 2572 East 825 South, Macy IN 46951, United States
DESCRIPTION: At this time is supervision of operator and maintenance of property including my residence



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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Date Initiated:	06/24/2002
Docket/Case Number:	C8A020043
Employing firm when activity occurred which led to the regulatory action:	SUNAMERICA SECURITIES INC.
Product Type:	
Allegations:	NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE ENTRY OF FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS AWAY FROM HIS MEMBER FIRM AND FAILED TO PROVIDE HIS FIRM WITH DETAILED WRITTEN NOTICE OF THE TRANSACTIONS, HIS ROLE THEREIN, AND TO RECEIVE PERMISSION FROM THE FIRM TO ENGAGE IN THE TRANSACTIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	06/24/2002
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY



CAPACITY FOR THREE MONTHS, FINED \$5,000, AND DISGORGEMENT OF COMMISSIONS IN THE AMOUNT OF \$4,080 TO THE CUSTOMERS. SUSPENSION EFFECTIVE AT THE OPENING OF BUSINESS JULY 1, 2002 TO CLOSE OF BUSINESS SEPTEMBER 30, 2002. FINE PAID ON 1/27/2003.

Reporting Source: Individual

Regulatory Action Initiated By: NASD REGULATION

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$5000.00 FINE

Date Initiated: 12/07/2001

Docket/Case Number: AWC NO. C8A020043

Employing firm when activity occurred which led to the regulatory action: SUN AMERICA SECURITIES

Product Type: Other

Other Product Type(s): PROMISSARY NOTE

Allegations: VIOLATIONS OF NASD CONDUCT RULES 2110 AND 3040 AS A RESULT OF SELLING PROMISSARY NOTES WITHOUT PRIOR WRITTEN NOTICE TO AND APPROVAL BY EMPLOYER FIRM.

Current Status: Final

Resolution: Settled

Resolution Date: 06/24/2002

Sanctions Ordered: Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: REGISTRANT WAS SUSPENDED FOR A PERIOD OF 90 DAYS COMMENCING JULY 1, 2002 AND ENDING SEPTEMBER 30, 2002.

Broker Statement

APPLICANT RECEIVED WRITTEN NOTICE FROM NASDR ON DECEMBER 7, 2001 THAT IT INTENDED TO SEEK AUTHORITY TO INITIATE A FORMAL COMPLAINT AND NOTIFIED APPLICANT OF HIS RIGHT TO MAKE A WELLS SUBMISSION. NASDR ALLEGES APPLICANT SOLD PROMISSARY NOTES FROM OCTOBER 8, 1998 TO MAY 5, 1999 WITHOUT WRITTEN NOTICE TO AND APPROVAL BY HIS EMPLOYER. THESE ALLEGATIONS ARE BASED ON THE SAME FACTS THAT RESULTED IN THE PREVIOUSLY REPORTED REGULATORY ACTION BY THE INDIANA SECURITIES DIVISION.

THE MATTER WAS SETTLED THROUGH A LETTER OF ACCEPTANCE, WAIVER, AND CONSENT WHICH WAS ACCEPTED BY NASD ON JUNE 24, 2002.

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: STATE OF INDIANA

Sanction(s) Sought: Cease and Desist

**Other Sanction(s) Sought:****Date Initiated:** 05/30/2000**Docket/Case Number:** 00-0119 CD**Employing firm when activity occurred which led to the regulatory action:** U.S. CAPITAL FUNDING, INC.**Product Type:** Other**Other Product Type(s):** PROMISSORY NOTES**Allegations:** ON 5/30/00 THE SECURITIES DIVISION FILED AN ADMINISTRATIVE COMPLAINT AGAINST THE AGENT ALLEGING HE OFFERED/SOLD UNREGISTERED SECURITIES IN VIOLATION OF THE INDIANA SECURITIES ACT. IT IS FURTHER ALLEGED HE OFFERED/SOLD SECURITIES IN VIOLATION THE ANTI-FRAUD PROVISION OF THE ACT. A CEASE AND DESIST ORDER WAS ISSUED AGAINST AGENT ON 5/30/00.**Current Status:** Final**Resolution:** Consent**Resolution Date:** 04/17/2002**Sanctions Ordered:** Disgorgement/Restitution**Other Sanctions Ordered:** RESPONDENT AGREES NOT TO OFFER AND/OR SELL SECURITIES IN INDIANA IN VIOLATION OF THE SECURITIES ACT.**Sanction Details:** RESTITUTION/DISGORGEMENT PAID ON 04/17/02.**Regulator Statement** RESPONDENT ENTERED INTO A CONSENT AGREEMENT WITH THE DIVISION. PURSUANT TO SAID AGREEMENT, RESPONDENT DISGORGED ALL COMMISSIONS FROM THE SALE OF THE PROMISSORY NOTES THAT GIVE RAISE TO THIS ACTION. THE ADMINISTRATIVE COMPLAINT HAS BEEN DISMISSED AND THE CEASE AND DESIST ORDER VACATED.**Reporting Source:** Individual**Regulatory Action Initiated By:** STATE OF INDIANA-SECURITIES DIVISION**Sanction(s) Sought:** Cease and Desist**Other Sanction(s) Sought:** PENDING ADMINISTRATIVE HEARING**Date Initiated:** 05/30/2000**Docket/Case Number:** 00-0119CD**Employing firm when activity occurred which led to the regulatory action:** SUN AMERICA SECURITIES, INC.**Product Type:** Other**Other Product Type(s):** PROMISSORY NOTE**Allegations:** OFFER AND SALE OF UNREGISTERED SECURITIES THROUGH USE OF OMISSIONS AND MISSTATEMENTS OF MATERIAL FACTS.



Current Status: Final
Resolution: Consent
Resolution Date: 05/08/2002
Sanctions Ordered: Disgorgement/Restitution
Monetary/Fine \$4,036.00

Other Sanctions Ordered:

Sanction Details: ACTION HAS BEEN SETTLED AND CEASE AND DESIST ORDER VACATED AND ADMINISTRATIVE COMPLAINT AGAINST APPLICANT WAS DISMISSED ON APRIL 18, 2002. APPLICANT COMPLIED WITH THE DISGORGEMENT OF COMMISSIONS REQUIREMENT AND RELATED INFORMATIONAL PRODUCTION REQUIREMENTS OF AGREEMENT ON MAY 8, 2002.

Broker Statement INDIANA SECURITIES DIVISION ISSUES A CEASE AND DESIST ORDER ON MAY 30, 2000 AND FILED AN ADMINISTRATIVE COMPLAINT ON THAT SAME DATE. MY ATTORNEY FILED AN ANSWER AND STATEMENT OF ADDITIONAL DEFENSES ON JULY 14, 2000. I INTEND TO DEFEND THE ACTION. DISCOVERY HAS NOT YET COMMENCED. FIVE OTHER UNRELATED PARTIES WERE NAMED IN THE ACTION, INCLUDING THE ISSUER OF THE PROMISSORY NOTE IN QUESTION.

ACTION HAS BEEN SETTLED AND CEASE AND DESIST ORDER VACATED AND ADMINISTRATIVE COMPLAINT AGAINST APPLICANT WAS DISMISSED ON APRIL 18, 2002. APPLICANT COMPILED WITH THE DISGORGEMENT OF COMMISSIONS REQUIREMENT AND RELATED INFORMATIONAL PRODUCTION REQUIREMENTS OF AGREEMENT OF MAY 8, 2002.



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: Individual

Employing firm when activities occurred which led to the complaint: QUESTAR CAPITAL CORPORATION

Allegations: CLAIM ALLEGES INAPPROPRIATE INVESTMENT RECOMMENDATIONS, SUITABILITY AND BREACH OF FIDUCIARY DUTY. RESPONDENT DID NOT RECOMMEND THE SECURITIES IN QUESTION. CLAIMANT OWNED THOSE MUTUAL FUNDS PRIOR TO RESPONDENT BECOMING THE REGISTERED REPRESENTATIVE ASSIGNED TO THE RETIREMENT PLAN IN WHICH CLAIMANT WAS A PLAN PARTICIPANT IN 1997. DOCUMENTS INDICATE CLAIMANT HAS OWNED THE MUTUAL FUNDS IN QUESTION SINCE AT LEAST 1996, WELL BEFORE RESPONDENT BECAME AN ASSOCIATED WITH THE RETIREMENT PLAN.

Product Type: Mutual Fund(s)

Alleged Damages: \$100,000.00

Customer Complaint Information

Date Complaint Received: 03/30/2007

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/30/2007

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION NUMBER 07-00314

Date Notice/Process Served: 03/30/2007

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/18/2008

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$12,500.00

Disclosure 2 of 3



Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES
Allegations: REPEAT OF PREVIOUS COMPLAINT FOR UNSUITABLE INVESTMENT IN PUTNAM MUTUAL FUNDS.
Product Type: Mutual Fund(s)
Alleged Damages: \$101,000.00

Customer Complaint Information

Date Complaint Received: 12/28/2006
Complaint Pending? No
Status: Denied
Status Date: 01/12/2007

Settlement Amount:

Individual Contribution Amount:

Broker Statement THIS EVENT IS NO LONGER REPORTABLE

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.
Allegations: CUSTOMER ALLEGES APPLICANT SOLD INAPPROPRIATE INVESTMENTS. BASIS OF CLAIM IS SAME OCCURENCE WHICH RESULTED IN INDIANA SECURITIES DIVISION ADMINISTRATIVE PROCEEDING (NOW SETTLED) AND NASDR PROCEEDING.
Product Type: Other: NOTE
Alleged Damages: \$25,000.00
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: 05/10/2002
Complaint Pending? No
Status: Settled
Status Date: 10/07/2002
Settlement Amount: \$21,000.00
Individual Contribution Amount: \$21,000.00



End of Report

This page is intentionally left blank.