



IAPD Report

GEORGE EDWARD AROCHA

CRD# 729456

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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

GEORGE EDWARD AROCHA (CRD# 729456)

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 **10/20/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MADISON AVENUE SECURITIES, LLC	CRD# 23224	05/19/2006
IA	MADISON AVENUE SECURITIES, LLC	CRD# 23224	03/25/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	MADISON AVENUE ADVISORS, INC.	137461	BOURBONNAIS, IL	05/24/2006 - 03/25/2009
B	USALLIANZ SECURITIES, INC.	40875	MINNEAPOLIS, MN	01/05/1998 - 05/31/2006
IA	FINANCIAL PLANNING	123185	LANSING, IL	05/08/2000 - 12/31/2003

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	11
Judgment/Lien	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MADISON AVENUE SECURITIES, LLC**
Main Address: 13500 EVENING CREEK DR. N
#555
SAN DIEGO, CA 92128
Firm ID#: 23224

Regulator	Registration	Status	Date
B FINRA	Corporate Securities Represent	Approved	05/19/2006
B FINRA	Direct Participation Programs	Approved	05/19/2006
B FINRA	General Securities Principal	Approved	05/19/2006
B FINRA	Invest. Co and Variable Contracts	Approved	05/19/2006
B Arizona	Agent	Approved	05/19/2006
B Illinois	Agent	Approved	05/19/2006
IA Illinois	Investment Adviser Representative	Approved	03/25/2009
B Indiana	Agent	Approved	05/19/2006
B Wisconsin	Agent	Approved	05/19/2006

Branch Office Locations

MADISON AVENUE SECURITIES, LLC
586 LATHAM DR
SUITE 1
BOURBONNAIS, IL 60914




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/20/1998

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Corporate Securities Limited Representative Examination (S62)	Series 62	02/17/1998
 Direct Participation Programs Representative Examination (S22)	Series 22	01/27/1984
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/30/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/06/1997
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/02/1986

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **2** professional designation(s).

Certified Financial Planner

Chartered Financial Consultant

This representative holds or did hold **2** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/24/2006 - 03/25/2009	MADISON AVENUE ADVISORS, INC.	CRD# 137461	BOURBONNAIS, IL
B	01/05/1998 - 05/31/2006	USALLIANZ SECURITIES, INC.	CRD# 40875	MINNEAPOLIS, MN
IA	05/08/2000 - 12/31/2003	FINANCIAL PLANNING	CRD# 123185	LANSING, IL
B	02/28/1991 - 01/12/1998	DREHER & ASSOCIATES, INC.	CRD# 8665	
B	06/01/1987 - 01/12/1998	DREHER & ASSOCIATES, INC.	CRD# 8665	OAKBROOK TERRACE,
B	03/22/1989 - 12/13/1990	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	02/13/1984 - 06/03/1987	W. S. GRIFFITH & CO., INC.	CRD# 10410	
B	01/17/1984 - 01/27/1984	EQUICO SECURITIES, INC.	CRD# 6627	
B	05/04/1981 - 01/27/1984	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	

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
03/2009 - Present	MADISON AVENUE SECURITIES, INC.	INVESTMENT ADVISOR REP	Y	BOURBONNAIS, IL, United States
12/2006 - Present	GA FINANCIAL ADVISORS, INC.	OWNER	N	BOURBONNAIS, IL, United States
05/2006 - Present	MADISON AVENUE SECURITIES, INC.	REGISTERED REP	Y	BOURBONNAIS, IL, 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.

NAME OF BUSINESS: GA FINANCIAL ADVISORS, INC.

POSITION: OWNER (ACTIVE), PRESIDENT, CONSULTANT, INSURANCE AGENT/PRODUCER NATURE: FINANCIAL PLANNING SERVICES INCLUDING, BUT NOT LIMITED TO THE SALE OF FINANCIAL PRODUCTS SUCH AS: LIFE & HEALTH INSURANCE, FIXED ANNUITIES, AND LTC INSURANCE. INVESTMENT RELATED: YES NUMBER OF HOURS: 30 INVESTMENT RELATED HOURS: 25

START DATE: 10/02/2006

ADDRESS: 586 WILLIAM LATHAM DRIVE, SUITE 1, BOURBONNAIS IL 60914

DESCRIPTION: OFFICE MANAGEMENT, MEETING WITH CLIENTS & PROSPECTIVE CLIENTS, PROVIDING ANSWERS TO CLIENT QUESTIONS AND/OR INFORMATION RELATED TO THEIR FINANCIAL SITUATION, FINANCIAL PLANNING SERVICES INCLUDING: DATA GATHERING; ESTABLISHING OBJECTIVES, RISK TOLERANCE, AND TIME HORIZON; DEVELOPING RECOMMENDATIONS; IMPLEMENTATION OF RECOMMENDATIONS, INCLUDING BUT NOT LIMITED TO THE SALE OF FINANCIAL PRODUCTS.



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	11
Judgment/Lien	11

Regulatory Event

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

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	State of Illinois Department of Insurance
Sanction(s) Sought:	Suspension
Date Initiated:	08/31/2018
Docket/Case Number:	NPN 313600
Employing firm when activity occurred which led to the regulatory action:	Madison Avenue Securities, LLC.
Product Type:	Insurance
Allegations:	Unpaid individual Income Tax liability and failed to file the 2016 tax year IL-1040 return.
Current Status:	Final
Resolution:	Order
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:	11/27/2018



Sanctions Ordered:	Suspension Other: Suspending the Licensee's insurance producer license.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Insurance
Duration:	no time period listed
Start Date:	09/11/2018
End Date:	11/27/2018
Broker Statement	The suspension has been lifted as of 11/27/2018.



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: Firm

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 3/1/2001 THROUGH 5/5/2009 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$1,213,809.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL

Docket/Case #: 12-L-430

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$11,293.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT



SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 3/1/2001 THROUGH 5/5/2009 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$1,213,809.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL

Docket/Case #: 12-L-430

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$11,293.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 2 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 4/9/1997 THROUGH 6/6/2010 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$762,028.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL



Docket/Case #: 12-L-431

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$15,830.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ & MADISON AVE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 4/9/1997 THROUGH 6/6/2010 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$762,028.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL

Docket/Case #: 12-L-431

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$15,830.00



Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 3 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 1/18/2002 THROUGH 6/1/2008 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$188,347.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL

Docket/Case #: 12-L-429

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$2,706.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ & MADISON AVE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 1/18/2002 THROUGH 6/1/2008 WHICH WAS PART



OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$188,347.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 16TH JUDICIAL CIRCUIT KANE COUNTY, IL

Docket/Case #: 12-L-429

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$2,706.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 4 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 10/16/2006 THROUGH 10/16/2007 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$62,700.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 18TH JUDICIAL CIRCUIT DUPAGE COUNTY, IL

Docket/Case #: 12-AR-1724



Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$2,288.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES & MADISON AVE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: ALLEGED FRAUDULENT CONCEALMENT, COMMON LAW FRAUD, NEGLIGENCE AND NEGLIGENT SUPERVISION STEMMING FROM THE SALE OF PROMISSORY NOTES BEGINNING ON OR ABOUT 10/16/2006 THROUGH 10/16/2007 WHICH WAS PART OF A PONZI SCHEME.

Product Type: Promissory Note

Alleged Damages: \$62,700.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: CIRCUIT COURT 18TH JUDICIAL CIRCUIT DUPAGE COUNTY, IL

Docket/Case #: 12-AR-1724

Filing date of arbitration/CFTC reparation or civil litigation: 08/10/2012

Customer Complaint Information

Date Complaint Received: 08/16/2012

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$2,288.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE IIS



Broker Statement

INFORMATION PROVIDED IN THIS BROKER STATEMENT WAS TAKEN FROM THE US AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 5 of 11

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations:

THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.

THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENT OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type:

Promissory Note

Alleged Damages:

\$366,517.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #:

11-L-615

Filing date of arbitration/CFTC reparation or civil litigation:

11/03/2011

Customer Complaint Information

Date Complaint Received:

11/14/2011

Complaint Pending?

No

Status:

Settled

Status Date:

05/29/2014

Settlement Amount:

\$2,288.00

Individual Contribution Amount:

\$0.00

Reporting Source:

Individual



Employing firm when activities occurred which led to the complaint:

USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations:

ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type:

Promissory Note

Alleged Damages:

\$366,517.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL DISTRICT

Docket/Case #:

11-L-615

Filing date of arbitration/CFTC reparation or civil litigation:

11/03/2011

Customer Complaint Information

Date Complaint Received:

11/14/2011

Complaint Pending?

No

Status:

Settled

Status Date:

05/29/2014

Settlement Amount:

\$2,288.00

Individual Contribution Amount:

\$0.00

Broker Statement

INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 6 of 11

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

US ALLIANZ SECURITIES INC, MADISON AVENUE SECURITIES

Allegations:

THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME



AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.

THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENT OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$129,690.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #: 11-L-550

Filing date of arbitration/CFTC reparation or civil litigation: 09/28/2011

Customer Complaint Information

Date Complaint Received: 10/13/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$6,864.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES INC, MADISON AVENUE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL



REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$129,690.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #: 11-L-550

Filing date of arbitration/CFTC reparation or civil litigation: 09/28/2011

Customer Complaint Information

Date Complaint Received: 10/13/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$6,864.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 7 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES INC, MADISON AVENUE SECURITIES

Allegations: THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.

THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENT OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note



Alleged Damages: \$220,545.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #: 11-L-581

Filing date of arbitration/CFTC reparation or civil litigation: 10/18/2011

Customer Complaint Information

Date Complaint Received: 10/24/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$3,872.00

Individual Contribution Amount: \$0.00

Disclosure 8 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES INC, MADISON AVENUE SECURITIES

Allegations:

THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.

THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENT OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$630,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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



Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #: 11-L-580

Filing date of arbitration/CFTC reparation or civil litigation: 10/18/2011

Customer Complaint Information

Date Complaint Received: 10/24/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$3,528.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: US ALLIANZ SECURITIES INC, MADISON AVENUE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$630,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT

Docket/Case #: 11-L-580

Filing date of arbitration/CFTC reparation or civil litigation: 10/18/2011

Customer Complaint Information



Date Complaint Received: 10/24/2011
Complaint Pending? No
Status: Settled
Status Date: 05/29/2014
Settlement Amount: \$3,528.00
Individual Contribution Amount: \$0.00
Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 9 of 11

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES
Allegations: THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.
THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.
THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note
Alleged Damages: \$100,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY, ILLINOIS
Docket/Case #: 11-L-471
Filing date of arbitration/CFTC reparation or civil litigation: 08/24/2011

Customer Complaint Information

Date Complaint Received: 09/06/2011
Complaint Pending? No
Status: Settled



Status Date: 05/29/2014

Settlement Amount: \$8,288.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY , ILLINOIS

Docket/Case #: 11-L-471

Filing date of arbitration/CFTC reparation or civil litigation: 08/24/2011

Customer Complaint Information

Date Complaint Received: 09/06/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$8,288.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.



Disclosure 10 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations: THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

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THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$51,231.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY, ILLINOIS

Docket/Case #: 11-L-489

Filing date of arbitration/CFTC reparation or civil litigation: 08/31/2011

Customer Complaint Information

Date Complaint Received: 09/12/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$6,168.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT



ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$51,231.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY, ILLINOIS

Docket/Case #: 11-L-489

Filing date of arbitration/CFTC reparation or civil litigation: 08/31/2011

Customer Complaint Information

Date Complaint Received: 09/12/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$6,168.00

Individual Contribution Amount: \$0.00

Broker Statement INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.

Disclosure 11 of 11

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations: THAT REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER



REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS.

THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note

Alleged Damages: \$235,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

Arbitration/Reparation forum or court name and location: THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY, ILLINOIS

Docket/Case #: 11-L-513

Filing date of arbitration/CFTC reparation or civil litigation: 09/12/2011

Customer Complaint Information

Date Complaint Received: 09/19/2011

Complaint Pending? No

Status: Settled

Status Date: 05/29/2014

Settlement Amount: \$4,619.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: USALLIANZ SECURITIES, MADISON AVENUE SECURITIES

Allegations: ALLEGATIONS TAKEN FROM U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014 WHICH STATES: THE REGISTRANT ALLOWED ANOTHER REGISTERED REPRESENTATIVE TO MEET WITH AND SERVICE REGISTRANT'S CLIENTS UNDER HIS NAME AS AGENT, WITHOUT EVER MEETING WITH THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS. THAT REGISTRANT REFERRED POTENTIAL CLIENTS TO ANOTHER REGISTERED REPRESENTATIVE AND ALLOWED THE OTHER REPRESENTATIVE TO SOLICIT PRODUCTS THROUGH HIS NAME WITHOUT INTERACTION WITH THOSE CLIENTS. THAT REGISTRANT SIGNED AND PROCESSED ACCOUNT WITHDRAWAL REQUESTS AS AGENTS OF CLIENTS WITHOUT EVER MEETING THOSE CLIENTS OR WITHOUT HAVING SUBSTANTIAL CONTACT WITH THOSE CLIENTS.

Product Type: Promissory Note



Alleged Damages:	\$235,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	THE CIRCUIT COURT OF THE SIXTEENTH JUDICIAL CIRCUIT KANE COUNTY, ILLINOIS
Docket/Case #:	11-L-513
Filing date of arbitration/CFTC reparation or civil litigation:	09/12/2011

Customer Complaint Information

Date Complaint Received:	09/19/2011
Complaint Pending?	No
Status:	Settled
Status Date:	05/29/2014
Settlement Amount:	\$4,619.00
Individual Contribution Amount:	\$0.00
Broker Statement	INFORMATION PROVIDED IN THIS DRP FILING WAS TAKEN FROM THE U5 AMENDMENT FILED BY USALLIANZ SECURITIES, INC. ON 07/10/2014.



Judgment/Lien

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

Disclosure 1 of 11

Reporting Source:	Individual
Judgment/Lien Holder:	State of Illinois
Judgment/Lien Amount:	\$5,464.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/10/2017
Date Individual Learned:	10/10/2017
Type of Court:	County
Name of Court:	Kankanee, IL County
Location of Court:	Kankanee, IL
Docket/Case #:	201711448
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 11

Reporting Source:	Individual
Judgment/Lien Holder:	Illinois State
Judgment/Lien Amount:	\$9,264.57
Judgment/Lien Type:	Tax
Date Filed with Court:	04/14/2014
Date Individual Learned:	04/14/2014
Type of Court:	State Tax Lien
Name of Court:	Illinois
Location of Court:	Kankakee County, IL
Docket/Case #:	20143678
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 11

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$3,271.41
Judgment/Lien Type:	Tax
Date Filed with Court:	01/23/2014
Date Individual Learned:	01/23/2014
Type of Court:	IRS
Name of Court:	IRS



Location of Court: Kankakee County, IL

Docket/Case #: 201400778

Judgment/Lien Outstanding? Yes

Disclosure 4 of 11

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$17,963.85

Judgment/Lien Type: Tax

Date Filed with Court: 07/16/2012

Date Individual Learned: 07/16/2012

Type of Court: IRS

Name of Court: IRS

Location of Court: Kankakee County, IL

Docket/Case #: 201209265

Judgment/Lien Outstanding? Yes

Disclosure 5 of 11

Reporting Source: Individual

Judgment/Lien Holder: IRS

Judgment/Lien Amount: \$7,685.77

Judgment/Lien Type: Tax

Date Filed with Court: 06/12/2012

Date Individual Learned: 06/12/2012

Type of Court: IRS

Name of Court: IRS

Location of Court: Kankakee County, IL

Docket/Case #: 201207567

Judgment/Lien Outstanding? Yes

Disclosure 6 of 11

Reporting Source: Individual

Judgment/Lien Holder: INTERNAL REVENUE SERVICE

Judgment/Lien Amount: \$145,708.01

Judgment/Lien Type: Tax

Date Filed with Court: 01/05/2005

Type of Court: INTERNAL REVENUE SERVICE



Name of Court: COOK COUNTY RECORDER OF DEEDS
Location of Court: COOK COUNTY, CHICAGO ILLINOIS
Docket/Case #: 0500511251
Judgment/Lien Outstanding? Yes
Broker Statement THIS IS THE EXACT SAME LIEN THAT WAS FILED ONE DAY PRIOR ON 01/04/2005 IN KANKAKEE COUNTY. THERE IS ONLY ONE LIEN FOR \$145,708.01, NOT TWO.

Disclosure 7 of 11

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$71,404.83
Judgment/Lien Type: Tax
Date Filed with Court: 06/26/2007
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: KANKAKEE COUNTY RECORDER OF DEEDS
Location of Court: KANKAKEE COUNTY, KANKAKEE ILLINOIS
Docket/Case #: 200713438
Judgment/Lien Outstanding? Yes
Broker Statement IRS INSTALLMENT AGREEMENT IN PLACE. AGREED TO MAKE MONTHLY PAYMENTS UNTIL THE FULL AMOUNT HAS BEEN PAID.

Disclosure 8 of 11

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$118,453.00
Judgment/Lien Type: Tax
Date Filed with Court: 08/17/2007
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: KANKAKEE COUNTY RECORDER OF DEEDS
Location of Court: KANKAKEE COUNTY, KANKAKEE ILLINOIS
Docket/Case #: 200718006
Judgment/Lien Outstanding? Yes
Broker Statement IRS INSTALLMENT AGREEMENT IN PLACE. AGREED TO MAKE MONTHLY PAYMENTS UNTIL THE FULL AMOUNT HAS BEEN PAID.

Disclosure 9 of 11

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$55,100.29



Judgment/Lien Type: Tax
Date Filed with Court: 10/05/2009
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: KANKAKEE COUNTY RECORDER OF DEEDS
Location of Court: KANKAKEE COUNTY, KANKAKEE ILLINOIS
Docket/Case #: 200919986
Judgment/Lien Outstanding? Yes
Broker Statement IRS INSTALLMENT IN PLACE. AGREED TO MAKE MONTHLY PAYMENTS UNTIL THE FULL AMOUNT HAS BEEN PAID.

Disclosure 10 of 11

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$145,708.01
Judgment/Lien Type: Tax
Date Filed with Court: 01/04/2005
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: KANKAKEE COUNTY RECORDER OF DEEDS
Location of Court: KANKAKEE COUNTY, KANKAKEE ILLINOIS
Docket/Case #: 200500196
Judgment/Lien Outstanding? Yes
Broker Statement IRS INSTALLMENT AGREEMENT IN PLACE. AGREED TO MAKE MONTHLY PAYMENTS UNTIL THE FULL AMOUNT HAS BEEN PAID.

Disclosure 11 of 11

Reporting Source: Individual
Judgment/Lien Holder: ILLINOIS DEPARTMENT OF REVENUE
Judgment/Lien Amount: \$2,790.84
Judgment/Lien Type: Tax
Date Filed with Court: 01/19/2005
Type of Court: ILLINOIS DEPT OF REVENUE
Name of Court: KANKAKEE COUNTY RECORDER OF DEEDS
Location of Court: KANKAKEE COUNTY, KANKAKEE ILLINOIS
Docket/Case #: 200501336
Judgment/Lien Outstanding? Yes



End of Report

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