



## IAPD Report

# THOMAS JAMES EALY

CRD# 863042

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

**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

### THOMAS JAMES EALY (CRD# 863042)

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 **07/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/09/2019
<b>IA</b>	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	03/17/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **26** jurisdiction(s).

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

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

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

### REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
<b>IA</b>	CETERA ADVISOR NETWORKS LLC	13572	CHAMPAIGN, IL	08/15/2019 - 06/29/2023
<b>IA</b>	IPI WEALTH MANAGEMENT, INC.	111872	CHAMPAIGN, IL	01/13/1998 - 02/20/2019
<b>B</b>	CETERA ADVISOR NETWORKS LLC	13572	CHAMPAIGN, IL	01/31/2019 - 02/12/2019

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	9



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

#### Employment 1 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**  
Main Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096  
Firm ID#: 105644

Regulator	Registration	Status	Date
IA Illinois	Investment Adviser Representative	Approved	03/17/2023
IA Texas	Investment Adviser Representative	Restricted Approval	03/20/2023

#### Branch Office Locations

**CETERA INVESTMENT ADVISERS LLC**  
2707 CR 350 EAST  
MAHOMET, IL 61853

#### Employment 2 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 Principal	Approved	04/09/2019
B FINRA	General Securities Representative	Approved	04/09/2019
B Alabama	Agent	Approved	08/19/2019
B Arizona	Agent	Approved	09/27/2019
B California	Agent	Approved	08/19/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Colorado	Agent	Approved	12/03/2019
<b>B</b> Connecticut	Agent	Approved	08/19/2019
<b>B</b> Florida	Agent	Approved	12/03/2019
<b>B</b> Georgia	Agent	Approved	08/20/2019
<b>B</b> Illinois	Agent	Approved	08/15/2019
<b>B</b> Indiana	Agent	Approved	10/08/2019
<b>B</b> Kansas	Agent	Approved	08/27/2019
<b>B</b> Maryland	Agent	Approved	08/22/2019
<b>B</b> Minnesota	Agent	Approved	08/19/2019
<b>B</b> Montana	Agent	Approved	10/09/2019
<b>B</b> Nebraska	Agent	Approved	09/24/2019
<b>B</b> New Hampshire	Agent	Approved	10/23/2019
<b>B</b> New Jersey	Agent	Approved	02/27/2020
<b>B</b> New Mexico	Agent	Approved	08/19/2019
<b>B</b> New York	Agent	Approved	10/16/2019
<b>B</b> North Carolina	Agent	Approved	12/20/2019
<b>B</b> Ohio	Agent	Approved	08/19/2019
<b>B</b> Pennsylvania	Agent	Approved	09/12/2019
<b>B</b> Rhode Island	Agent	Approved	08/22/2019



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	03/02/2020
<b>B</b> Tennessee	Agent	Approved	09/27/2019
<b>B</b> Texas	Agent	Approved	09/03/2019
<b>B</b> Virginia	Agent	Approved	09/05/2019

### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
MAHOMET, IL



## 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, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/11/1981

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	02/17/1979

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	08/31/1998
Uniform Securities Agent State Law Examination (S63)	Series 63	10/28/1981

### 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	08/15/2019 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	CHAMPAIGN, IL
IA	01/13/1998 - 02/20/2019	IPI WEALTH MANAGEMENT, INC.	CRD# 111872	CHAMPAIGN, IL
B	01/31/2019 - 02/12/2019	CETERA ADVISOR NETWORKS LLC	CRD# 13572	CHAMPAIGN, IL
IA	01/31/2019 - 02/12/2019	CETERA ADVISOR NETWORKS LLC	CRD# 13572	CHAMPAIGN, IL
B	10/05/1995 - 01/31/2019	INVESTMENT PLANNERS, INC.	CRD# 18557	CHAMPAIGN, IL
B	12/07/1990 - 09/28/1995	FSC SECURITIES CORPORATION	CRD# 7461	ATLANTA, GA
B	12/22/1981 - 12/07/1990	COZAD INVESTMENT SERVICES, INC.	CRD# 10065	

### 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
03/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
01/2019 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
06/2009 - Present	Carleton Financial Inc.	OWNER	Y	CHAMPAIGN, IL, United States
01/2014 - 09/2024	IPI Asset Management / IPI Wealth Management	MINORITY OWNER	Y	CHAMPAIGN, IL, United States
01/2014 - 09/2024	IPI Holdings LLP	MINORITY OWNER	N	CHAMPAIGN, IL, United States
01/2014 - 09/2024	Investment Planners, Inc.	MINORITY OWNER	Y	DECATUR, IL, United States
09/1995 - 01/2019	INVESTMENT PLANNERS, INC.	NOT PROVIDED	Y	DECATUR, 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.

1. Name of other business: Fixed insurance with various companies

Investment related: Yes

Address: Same as Registered Location

Nature of business: Fixed Insurance

Start Date: 01/2019

Apx number of hours per week: varies

Apx number of hours during trading hours: varies

Position/title/relationship: Insurance Agent

Brief description of duties: Sells Life, Health, Annuities and Long Term Care

2. Name of other business: Carleton Financial Inc.

Investment related: Yes

Address: Same as Registered Location

Nature of business: financial services

Start date: 06/2009

Position/title/relationship: owner

Apx number of hours per week: 20

Apx number of hours during trading hours: 20

Brief description of duties: owner and registered representative

3. Name of other business: Central Illinois Group DBA Lifewise Wealth Advisors,

Investment related: Yes

Address: Same as Registered Location

Nature of business: financial services

Start date: 01/2019

Position/title/relationship: registered representative

Apx number of hours per week: 40

Apx number of hours during trading hours: 40

Brief description of duties: registered representative



## 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	9

### 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 9

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	INVESTMENT PLANNERS, INC.
<b>Allegations:</b>	Investment presented outcomes contrary to Claimants expectations and the Recommendations of the registered representative.
<b>Product Type:</b>	Oil & Gas
<b>Alleged Damages:</b>	\$25,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/01/2024
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	11/18/2024
<b>Settlement Amount:</b>	\$11,500.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	The Firm denies the allegation of the claimant. Settlement was made as part of a



business decision by the Firm to avoid incurring additional legal costs.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** Investment presented outcomes contrary to Claimants expectations and the Recommendations of the registered representative.

**Product Type:** Oil & Gas

**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:** 11/01/2024

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/18/2024

**Settlement Amount:** \$11,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

**Disclosure 2 of 9**

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** Liquidity, investment purpose and risk tolerance. Further, the investment was misrepresented to them.

**Product Type:** Oil & Gas

**Alleged Damages:** \$30,000.00

**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:** 11/01/2024

**Complaint Pending?** No



**Status:** Settled  
**Status Date:** 11/18/2024  
**Settlement Amount:** \$14,000.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

---

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.  
**Allegations:** Liquidity, investment purpose and risk tolerance. Further, the investment was misrepresented to them.  
**Product Type:** Oil & Gas  
**Alleged Damages:** \$30,000.00  
**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:** 11/01/2024  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/18/2024  
**Settlement Amount:** \$14,000.00  
**Individual Contribution Amount:** \$0.00  
**Broker Statement** The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

### Disclosure 3 of 9

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.  
**Allegations:** Liquidity, investment purpose and risk tolerance. Further, the investment was misrepresented to client.  
**Product Type:** Oil & Gas  
**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: 11/01/2024

Complaint Pending? No

Status: Settled

Status Date: 11/18/2024

Settlement Amount: \$11,500.00

Individual Contribution  
Amount: \$0.00

Firm Statement The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

Reporting Source: Individual

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

Allegations: Liquidity, investment purpose and risk tolerance. Further, the investment was misrepresented to client.

Product Type: Oil & Gas

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: 11/01/2024

Complaint Pending? No

Status: Settled

Status Date: 11/18/2024

Settlement Amount: \$11,500.00

Individual Contribution  
Amount: \$0.00

Broker Statement The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

**Disclosure 4 of 9**

Reporting Source: Firm



**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** Liquidity, investment purpose, and risk tolerance. Further, the investment was misrepresented to client.

**Product Type:** Oil & Gas

**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:** 11/01/2024

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/18/2024

**Settlement Amount:** \$11,500.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** Liquidity, investment purpose, and risk tolerance. Further, the investment was misrepresented to client.

**Product Type:** Oil & Gas

**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:** 11/01/2024

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/18/2024

**Settlement Amount:** \$11,500.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** The Firm denies the allegation of the claimant. Settlement was made as part of a business decision by the Firm to avoid incurring additional legal costs.

#### Disclosure 5 of 9

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** CLIENTS ALLEGED AFTER TEN AND EIGHT YEARS AFTER THE FACT THAT TWO SEPARATE ALTERNATIVE INVESTMENTS MADE IN 2005 AND 2008 WERE UNSUITABLE WHEN PURCHASED.

**Product Type:** Oil & Gas  
Real Estate Security

**Alleged Damages:** \$90,000.00

**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:** 12/10/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/07/2016

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 6 of 9

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS, INC.

**Allegations:** PLAINTIFFS ALLEGE FAILURE TO CALCULATE THE ACCURACY OF LIFE INSURANCE PREMIUMS TO MAINTAIN AN INSURANCE POLICY WRITTEN IN 1994. POLICY LAPSED IN 2011.

**Product Type:** Insurance

**Alleged Damages:** \$600,000.00

#### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** CIRCUIT COURT OF KANKAKEE COUNTY

**Location of Court:** KANKAKEE COUNTY ILLINOIS



**Docket/Case #:** 15L106  
**Date Notice/Process Served:** 10/02/2015  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 10/08/2022  
**Monetary Compensation Amount:** \$275,000.00  
**Individual Contribution Amount:** \$212,500.00

#### Disclosure 7 of 9

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** INVESTMENT PLANNERS INC

**Allegations:** CLIENT AND BENEFICIARIES ALLEGE A FAILURE TO CALCULATE THE ACCURACY OF LIFE INSURANCE PREMIUMS TO MAINTAIN AN INSURANCE POLICY WRITTEN IN 1994 THAT FUNDED A CHILDREN'S TRUST. POLICY LAPSED IN 2011. REINSTATEMENT REQUIRED CLIENT TO TAKE MEDICAL EXAM; HOWEVER, SHE DID NOT QUALIFY FOR POLICY REINSTATEMENT DUE TO HEALTH ISSUES.

**Product Type:** Insurance  
**Alleged Damages:** \$1,000,000.00

#### Civil Litigation Information

**Type of Court:** State Court  
**Name of Court:** ILLINOIS 21ST JUDICIAL CIRCUIT COURT  
**Location of Court:** KANKAKEE COUNTY, ILLINOIS  
**Docket/Case #:** 14L93  
**Date Notice/Process Served:** 10/17/2014  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 11/02/2022  
**Monetary Compensation Amount:** \$450,000.00  
**Individual Contribution Amount:** \$42,500.00

#### Disclosure 8 of 9

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:**  
**Allegations:** BREACH OF DUTY; FAILURE TO DISCLOSE;



FRAUDULENT CONCEALMENT SEEKS DAMAGES OF \$300,000  
RESTITUTION.

**Product Type:**

**Alleged Damages:** \$300,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Civil Litigation Information**

**Court Details:** SIXTH JUDICIAL CIRCUIT; CHAMPAIGN, IL; 92-C-335

**Date Notice/Process Served:** 10/28/1993

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/18/1995

**Monetary Compensation  
Amount:** \$75,000.00

**Individual Contribution  
Amount:**

**Broker Statement** \$75,000 PAYMENT - [CUSTOMER]ASSIGNED ALL RIGHTS IN  
TWO LIMITED PARTNERSHIPS  
NOT PROVIDED

**Disclosure 9 of 9**

**Reporting Source:** Individual

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

**Allegations:** REFUSAL TO REPURCHASE STOCK, ORIGINAL VALUE  
\$50,000, SETTLED WITH PAYBACK OF \$50,000 AT 10% INTEREST OVER  
TWO YEARS.

**Product Type:**

**Alleged Damages:** \$50,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**



**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** DIST; SOUTH CENTRAL DIST, ND; 91-C-1888

**Date Notice/Process Served:** 06/01/1991

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 11/01/1991

**Monetary Compensation Amount:** \$50,000.00

**Individual Contribution Amount:**

**Broker Statement**

I BELIEVE THIS IS A PERSONAL NON SECURITY RELATED MATTER. WHEN THIS SECURITY WAS SOLD TO [CUSTOMER] I AGREED WHILE INTOXICATED TO PAY BACK THIS SECURITY. I HAVE PAID BACK [CUSTOMER] ALL MONIES EXCEPT TO APPROXIMATELY \$15,000 WHICH WILL BE PAID BY DECEMBER 1993. WHILE THIS SCENARIO IS UNFORTUNATE THE PROCEEDINGS TRANSPIRED AT A TIME WHEN I WAS AN ALCOHOLIC. I COMMITTED TO BUYING THIS SECURITY WHEN INTOXICATED. SINCE THEN I HAVE BEEN SOBER FOR OVER 34 MONTHS. THIS ACTION WAS A PERSONAL ACTION AND I VIEWED IT THEN AND NOW AS A FUNCTION OF MY RECOVERY.



## End of Report

This page is intentionally left blank.