BrokerCheck Report

TRANSAMERICA FINANCIAL ADVISORS, INC.

CRD# 3600

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.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**
- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.
- **Where did this information come from?**
- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
    - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
    - information that regulators report regarding disciplinary actions or allegations against firms or brokers.
- **How current is this information?**
- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.
- **What if I want to check the background of an investment adviser firm or investment adviser representative?**
- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at https://www.adviserinfo.sec.gov. In the alternative, you may search the IAPD website directly or contact your state securities regulator at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414.
- **Are there other resources I can use to check the background of investment professionals?**
- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.
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Thank you for using FINRA BrokerCheck.

For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

TRANSAMERICA FINANCIAL ADVISORS, INC.

CRD# 3600

SEC# 8-13621

Main Office Location

1150 SO. OLIVE STREET
SUITE T-25-01
LOS ANGELES, CA 90015

Mailing Address

1150 SO. OLIVE STREET
SUITE T-25-01
LOS ANGELES, CA 90015

Business Telephone Number

213-741-7702

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 08/25/1967.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm?	**Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Arbitration	2

The number of disclosures from non-registered control affiliates is 2

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

Date firm ceased business:	09/04/2009
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 08/25/1967.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

TRANSAMERICA FINANCIAL ADVISORS, INC.

Doing business as TRANSAMERICA FINANCIAL ADVISORS, INC.

CRD# 3600

SEC# 8-13621

Main Office Location

1150 SO. OLIVE STREET
SUITE T-25-01
LOS ANGELES, CA 90015

Mailing Address

1150 SO. OLIVE STREET
SUITE T-25-01
LOS ANGELES, CA 90015

Business Telephone Number

213-741-7702

Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	TRANSAMERICA INTERNATIONAL HOLDINGS, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	OWNER
Position Start Date	12/2002
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	CHUANG, GEORGE CHUWANG 3162477
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT & TREASURER
Position Start Date	09/2000
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CHUANG, GEORGE CHUWANG 3162477
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT, DIRECTOR
Position Start Date	01/2009

Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FLEWELLEN, JAMES MARTIN 1574411
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	02/2007
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	GOK, LISA ANNE 5059738
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT, CHIEF COMPLIANCE OFFICER
Position Start Date	02/2006
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	KILBANE, KENNETH PATRICK

Firm Profile

Direct Owners and Executive Officers (continued)

	3187382
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	05/2000
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PERRY, KAREN BARNETT
	3035933
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT
Position Start Date	06/2006
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	RIDER, KERRY KEARNS
	2166195
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY
Position Start Date	03/2009
Percentage of Ownership	Less than 5%

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TATE, WILLIAM HARTWELL
	1761315
Is this a domestic or foreign entity or an individual?	Individual
Position	DIRECTOR
Position Start Date	05/2000
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TRIVERS, DAN SHANE
	1948553
Is this a domestic or foreign entity or an individual?	Individual
Position	SENIOR VICE PRESIDENT, CHIEF OPERATING OFFICER
Position Start Date	11/1994
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	AEGON INTERNATIONAL B.V.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	AEGON TRUST
Relationship to Direct Owner	OWNER
Relationship Established	12/2007
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AEGON NV
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	AEGON INTERNATIONAL B.V.
Relationship to Direct Owner	OWNER
Relationship Established	12/2007
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	Yes

Legal Name & CRD# (if any):	AEGON TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity

Firm Profile

Indirect Owners (continued)

Company through which indirect ownership is established	TRANSAMERICA CORPORATION
Relationship to Direct Owner	OWNER
Relationship Established	12/2004
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AEGON U.S. HOLDING CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AEGON USA, LLC
Relationship to Direct Owner	OWNER
Relationship Established	08/2008
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AEGON USA, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	TRANSAMERICA INTERNATIONAL HOLDINGS, INC.
Relationship to Direct Owner	OWNER
Relationship Established	07/2008

Firm Profile

Indirect Owners (continued)

Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	TRANSAMERICA CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AEGON U.S. HOLDING CORPORATION
Relationship to Direct Owner	OWNER
Relationship Established	12/2004
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 01/11/1968 to 11/09/2009.

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business
Broker or dealer retailing corporate equity securities over-the-counter
Mutual fund retailer
Broker or dealer selling variable life insurance or annuities
Investment advisory services

Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	PERSHING LLC
Business Address:	ONE PERSHING PLAZA JERSEY CITY, NJ 07399
Effective Date:	07/21/1999
Description:	CLEARS CERTAIN CORPORATE SECURITIES TRANSACTIONS FOR REGISTRANT ON A FULLY DISCLOSED BASIS.

Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name:	PERSHING LLC
Business Address:	ONE PERSING PLAZA JERSEY CITY, NJ 07399
Effective Date:	07/21/1999
Description:	CLEARS CERTAIN CORPORATE SECURITIES TRANSACTIONS FOR REGISTRANT ON A FULLY DISCLOSED BASIS. IN CONNECTION WITH THIS SERVICE, PERSHING MAINTAINS BOOKS AND RECORDS RELATED TO THESE TRANSACTIONS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does have individuals who control its management or policies through agreement.

Name:	AEGON, N.V.
Business Address:	50 MARIAHOEVEPLEIN 2591 TV THE HAGUE THE NETHERLANDS, FOREIGN 00000
Effective Date:	07/21/1999
Description:	THE FOLLOWING BROKER-DEALERS AND INVESTMENT ADVISERS ARE WHOLLY-OWNED, DIRECTLY OR INDIRECTLY BY AEGON, NV THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA.

This firm does not have individuals who wholly or partly finance the firm's business.

Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

CLARK INVESTMENT STRATEGIES, INC. is under common control with the firm.

CRD #:	145853
Business Address:	2100 ROSS AVENUE SUITE 2200 DALLAS, TX 75201
Effective Date:	01/02/2008
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	100% OWNED BY CLARK, INC. WHICH IS OWNED BY AUSA HOLDING COMPANY, WHICH IS OWNED BY AEGON USA, INC., WHICH IS OWNED BY AEGON US CORPORATION, WHICH IS OWNED BY AEGON US HOLDING CORPORATION WHICH IS OWNED BY TRANSAMERICA CORPORATION. TRANSAMERICA CORPORATION IS OWNED BY THE AEGON TRUST, WHICH IS OWNED BY AEGON INTERNATIONAL NV, WHICH IS OWNED BY AEGON NV.

CLARK SECURITIES, INC. is under common control with the firm.

CRD #:	43803
Business Address:	633 W FIFTH STREET LOS ANGELES, CA 90071
Effective Date:	04/09/2007
Foreign Entity:	No
Country:	
Securities Activities:	Yes

Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities: No

Description: CORPORATION AND APPLICANT ARE INDIRECT SUBSIDIARIES OF AEGON USA, INC.

TRANSAMERICA FUND ADVISORS, INC. is under common control with the firm.

CRD #: 107376

Business Address: 570 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Effective Date: 01/01/2005

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: CORPORATION AND APPLICANT ARE INDIRECT SUBSIDIARIES OF AEGON USA, INC.

PRISMA CAPITAL PARTNERS LP is under common control with the firm.

CRD #: 131467

Business Address: 310 SOUTH STREET
SUITE 2
MORRISTOWN, NJ 07960

Effective Date: 09/08/2005

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: CORPORATION AND APPLICANT ARE INDIRECT SUBSIDIARIES OF AEGON USA, INC.

TRANSAMERICA INVESTMENT MANAGEMENT, LLC is under common control with the firm.

CRD #: 108488

Firm Operations

Organization Affiliates (continued)

Business Address: 1150 SOUTH OLIVE ST., SUITE T2700
LOS ANGELES, CA 90015

Effective Date: 12/01/1999

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT, IS ITSELF IS A WHOLLY-OWNED SUBSIDIARY OF AEGON NV. THE ABOVE INVESTMENT ADVISOR IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V. THROUGH ITS WHOLLY OWNED SUBSIDIARY AEGON USA, INC.

AEGON USA INVESTMENT MANAGEMENT, LLC is under common control with the firm.

CRD #: 114537

Business Address: 4333 EDGEWOOD RD. NE
CEDAR RAPIDS, IA 52499-5338

Effective Date: 12/01/2001

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: CORPORATION AND APPLICANT ARE INDIRECT SUBSIDIARIES OF AEGON USA, INC.

WORLD GROUP SECURITIES, INC. is under common control with the firm.

CRD #: 114473

Business Address: 11315 JOHNS CREEK PARKWAY
DULUTH, GA 30097

Effective Date: 02/06/2001

Foreign Entity: No

Country:

Firm Operations

Organization Affiliates (continued)

Securities Activities: Yes

Investment Advisory Activities: No

Description: FIRM AND APPLICANT ARE INDIRECT SUBSIDIARY OF AEGON, N.V.

TRANSAMERICA CAPITAL, INC. is under common control with the firm.

CRD #: 8217

Business Address: 4600 SOUTH SYRACUSE STREET
DENVER, CO 80237

Effective Date: 07/23/1999

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: ON JULY 23, 1999 AUSA HOLDING COMPANY ACQUIRED TRANSAMERICA CAPITAL INC. (F/K/A ENDEAVOR GROUP). AUSA HOLDING COMPANY IS THE SOLE OWNER OF THE APPLICANT.

ENDEAVOR MANAGEMENT COMPANY is under common control with the firm.

Business Address: 4333 EDGEWOOD ROAD, NE
CEDAR RAPIDS, IA 52499

Effective Date: 07/23/1999

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: ON JULY 23, 1999, AUSA HOLDING COMPANY ACQUIRED ENDEAVOR MANAGEMENT COMPANY. AUSA HOLDING COMPANY IS THE SOLE OWNER OF THE APPLICANT.

DIVERSIFIED INVESTMENT ADVISORS, INC. is under common control with the firm.

Firm Operations

Organization Affiliates (continued)

Business Address: 4 MANHATTANVILLE ROAD
PURCHASE, NY 10577

Effective Date: 12/31/1993

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: TRANSAMERICA CORPORATION, THE IDIRECT OWNER OF REGISTRANT IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE ABOVE INVESTMENT ADVISOR IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V., THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

WRL INVESTMENT MANAGEMENT, INC. is under common control with the firm.

Business Address: 570 CARILLON PARKWAY
ST. PETERSBURG, FL 33716-1202

Effective Date: 09/17/1996

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE INVESTMENT ADVISOR IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V. THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

DIVERSIFIED INVESTORS SECURITIES CORP. is under common control with the firm.

CRD #: 32205

Business Address: 4 MANHATTANVILLE ROAD
PURCHASE, NY 10577

Effective Date: 12/31/1993

Foreign Entity: No

Firm Operations

Organization Affiliates (continued)

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE ABOVE BROKER-DEALER IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V, THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

ZAHORIK COMPANY, INC. is under common control with the firm.

CRD #: 8580

Business Address: 2700 E. FOOTHILL BLVD.,
SUITE 201
PASADENA, CA 91107

Effective Date: 02/26/1991

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT, IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE ABOVE BROKER-DEALER IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V., THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

INTERSECURITIES, INC. is under common control with the firm.

CRD #: 16164

Business Address: 570 CARILLON PARKWAY
ST. PETERSBURG, FL 33716-1202

Effective Date: 07/21/1999

Foreign Entity: No

Country:

Securities Activities: Yes

Firm Operations

Organization Affiliates (continued)

Investment Advisory Activities: Yes

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT, IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE ABOVE BROKER-DEALER IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY, BY AEGON, N.V., THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

TRANSAMERICA SECURITIES SALES CORPORATION is under common control with the firm.

CRD #: 17970

Business Address: 1150 S. OLIVE STREET
SUITE T-1400
LOS ANGELES, CA 90015

Effective Date: 07/21/1999

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: TRANSAMERICA CORPORATION, THE INDIRECT OWNER OF REGISTRANT IS ITSELF A WHOLLY-OWNED SUBSIDIARY OF AEGON, N.V. THE ABOVE BROKER-DEALER IS WHOLLY-OWNED, DIRECTLY OR INDIRECTLY BY AEGON, N.V. THROUGH ITS WHOLLY-OWNED SUBSIDIARY AEGON USA, INC.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Arbitration	N/A	2	N/A

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - A law enforcement agency must file formal charges before a brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
4. **There are different statuses and dispositions for disclosure events:**
   - A disclosure event may have a status of *pending, on appeal,* or *final.*
     - A "pending" event involves allegations that have not been proven or formally adjudicated.
     - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
     - A "final" event has been concluded and its resolution is not subject to change.
   - A final 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 involves an agreement by the parties to resolve the matter. Please note that firms may choose to settle customer disputes or regulatory matters for business or other reasons.
     - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

Allegations:	
Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	03/14/1988
Docket/Case Number:	LA-4157-AWC
Principal Product Type:	
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	
Other Sanction(s)/Relief Sought:	
Resolution:	Consent
Resolution Date:	03/14/1988
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON MARCH 14, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. LA-4157-AWC (DISTRICT NO. 2S) SUBMITTED BY RESPONDENTS TRANSAMERICA FINANCIAL RESOURCES, INC., JOHN DOVE HAGERTY III AND RICHARD ARTHUR VOILES WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $2,500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH HAGERTY AND VOILES, ENGAGED IN A GENERAL SECURITIES BUSINESS WHEN IT FAILED TO MAINTAIN SUFFICIENT NET CAPITAL). ******** $2,500 PAID J&S 5-17-88.

Reporting Source:	Firm
Current Status:	Final
Allegations:	ON MARCH 14,1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. LA-4157-AWC (DISTRICT NO. 25) SUBMITTED BY RESPONDENTS TRANSAMERICA FINANCIAL RESOURCES, INC., JOHN DOVE HAGERTY III AND RICHARD ARTHUR VOILES WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $2500.00, JOINTLY AND SEVERALLY (ARTICLE III,

SECTION 1 OF THE RULES OF FAIR PRACTICE-RESPONDENT MEMBER, ACTING THROUGH HAGERTY AND VOILES, ENGAGED IN A GENERAL SECURITIES BUSINESS WHEN IT FAILED TO MAINTAIN SUFFICIENT NET CAPITAL). $2500.00 PAID J&S 5/17/88.

Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Date Initiated:	03/14/1988
Docket/Case Number:	LA-4157-AWC
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Censure
Other Sanction(s)/Relief Sought:	FINED $2500.00
Resolution:	Consent
Resolution Date:	03/14/1988
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	NONE
Sanction Details:	FINE/CENSURE; $2500.00 PAID 03/1988
Firm Statement	ON MARCH 14,1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. LA-4157-AWC (DISTRICT NO. 25) SUBMITTED BY RESPONDENTS TRANSAMERICA FINANCIAL RESOURCES, INC., JOHN DOVE HAGERTY III AND RICHARD ARTHUR VOILES WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED $2500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE-RESPONDENT MEMBER, ACTING THROUGH HAGERTY AND VOILES, ENGAGED IN A GENERAL SECURITIES BUSINESS WHEN IT FAILED TO MAINTAIN SUFFICIENT NET CAPITAL). $2500.00 PAID J&S 5/17/88.

Arbitration Award - Award / Judgment

Brokerage firms are not required to report arbitration claims filed against them by customers; however, BrokerCheck provides summary information regarding FINRA arbitration awards involving securities and commodities disputes between public customers and registered securities firms in this section of the report.
The full text of arbitration awards issued by FINRA is available at www.finra.org/awardsonline.

Disclosure 1 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OMISSION OF FACTS; ACCOUNT RELATED-BREACH OF CONTRACT; ACCOUNT RELATED-FAILURE TO SUPERVISE
Arbitration Forum:	NASD
Case Initiated:	07/10/1995
Case Number:	95-02793
Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; LIMITED PARTNERSHIPS
Sum of All Relief Requested:	$140,300.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	04/04/1996
Sum of All Relief Awarded:	$156,000.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure 2 of 2

Reporting Source:	Regulator
Type of Event:	ARBITRATION
Allegations:	ACCOUNT ACTIVITY-BRCH OF FIDUCIARY DT; ACCOUNT ACTIVITY-MISREPRESENTATION; ACCOUNT ACTIVITY-OTHER; ACCOUNT ACTIVITY-UNAUTHORIZED TRADING
Arbitration Forum:	NASD
Case Initiated:	01/04/1999
Case Number:	98-04619

Disputed Product Type:	NO OTHER TYPE OF SEC INVOLVE; UNKNOWN TYPE OF SECURITIES
Sum of All Relief Requested:	$99,000.00
Disposition:	AWARD AGAINST PARTY
Disposition Date:	02/27/2001
Sum of All Relief Awarded:	$50,000.00

There may be a non-monetary award associated with this arbitration.
Please select the Case Number above to view more detailed information.

Disclosure Events for Non-Registered Control Affiliates

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	2	0

Disclosure Event Details

Regulatory - Final

Disclosure 1 of 2

Reporting Source:	Firm
Affiliate:	MEGENITY, BRIAN M.
Current Status:	Final
Allegations:	NASD ALLEGED THAT MEGENITY ACTED IN CAPACITY OF GENERAL SECURITIES PRINCIPAL FOR J.P. TURNER & COMPANY, LLC BEFORE PASSING SERIES 24 QUALIFICATION EXAM AND BECOMING PROPERLY REGISTERED.
Initiated By:	NASD
Date Initiated:	08/15/2000
Docket/Case Number:	
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/15/2000
Sanctions Ordered:	Monetary/Fine $2,500.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	MEGENITY WAS SUSPENDED FOR 10 BUSINESS DAYS FROM ANY ASSOCIATION WITH AN NASD MEMBER, BEGINING 08/15/2000.
Firm Statement	INITIATED 8/15/00, FINAL RESOLUTION ON 08/15/2000 THROUGH AWC ORDER. NASD ALLEGED THAT MEGENITY ACTED IN CAPCITY OF GENERAL SECURITIES PRINCIPAL FOR J.P. TURNER & COMPANY, LLC BEFORE PASSING SERIES 24 QUALIFICATION EXAM AND BECOMING PROPERLY REGISTERED. FINED $2,500 AND SUSPENDED FOR 10 BUSINESS DAYS FROM ANY ASSOCIATION WITH AN NASD MEMBER.

Disclosure 2 of 2

Reporting Source:	Firm
Affiliate:	AEGON, NEDERLANDS
Current Status:	Final
Allegations:	ALLEGED VIOLATION OF SECTION 13(D) OF THE EXCHANGE ACT AND RULES THEREUNDER.
Initiated By:	SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	02/04/1982
Docket/Case Number:	UNKNOWN
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Other
Other Sanction(s)/Relief Sought:	WITHOUT ADMITTING OR DENYING, AEGON NEDERLANDS N.V. AGREED TO COMPLY WITH SECTION 13(D), AMEND ITS SCHEDULE 13D ATTACHING A COPY OF ORDER, AND COMPLY WITH ITS UNDERTAKING TO ADOPT AND MAINTAIN PRIOCEDURES DESIGNED TO ASSURE COMPLIANCE WITH SECTION 13(D).
Resolution:	Order
Resolution Date:	05/05/1982
Sanctions Ordered:	Disgorgement/Restitution
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING ALLEGATIONS, AEGON NEDERLANDS N.V. AGREED TO COMPLY WITH SECTION 13(D), AMEND ITS SCHEDULE 13(D) ATTACHING A COPY OF ORDER, AND COMPLY WITH ITS UNDERTAKING TO ADOPT AND MAINTAIN PROCEDURES DESIGNED TO ASSURE COMPLIANCE WITH SECTION 13(D). THE DISPOSITION DID NOT RESULT IN A FINE.
Firm Statement	ALLEGED FAILURE OF AEGON NEDERLANDS N.V. TO DISCLOSE PURCHASES OF LIFE INVESTORS SHARES MADE FOR ITS ACCOUNT BY A DUTCH NOMINEE TOTALLING APPROXIMATELY 1.4% OF THE THEN OUTSTANDING SHARES. THE SEC FOUND THAT THE FIRST DISCLOSURE OF THE EVENT MISREPRESENTED THE DATE, PRICE, METHOD AND NATURE OF THE PURCHASES AND THAT THE SECOND DISCLOSURE DID NOT IDENTIFY THE NOMINEE OR THE CIRCUMSTANCES SURROUNDING

THE TRANSACTIONS.

End of Report

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