

BrokerCheck Report

LORIN TUCK LEONG CHUN

CRD# 1103114

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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.

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.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



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.

LORIN T. CHUN

CRD# 1103114

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B MADISON AVENUE SECURITIES, LLC**
CRD# 23224
Honolulu, HI
12/2019 - 12/2023
- B PARKLAND SECURITIES, LLC**
CRD# 115368
HONOLULU, HI
08/2011 - 12/2019
- B H. BECK, INC.**
CRD# 1763
HONOLULU, HI
04/2001 - 08/2011

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Customer Dispute	8

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Corporate Securities Limited Representative Examination	Series 62	03/19/2007
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/21/2000
B Direct Participation Programs Representative Examination	Series 22	12/07/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/18/2006
B Uniform Securities Agent State Law Examination	Series 63	02/01/1997

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2019 - 12/2023	MADISON AVENUE SECURITIES, LLC	23224	Honolulu, HI
B 08/2011 - 12/2019	PARKLAND SECURITIES, LLC	115368	HONOLULU, HI
B 04/2001 - 08/2011	H. BECK, INC.	1763	HONOLULU, HI
B 12/1996 - 04/2001	IFG NETWORK SECURITIES, INC.	19948	ATLANTA, GA
B 12/1988 - 12/1989	DERAND/PENNINGTON/BASS, INC.	4679	
B 06/1983 - 12/1988	E. A. BUCK CO., INC.	8587	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
07/2022 - Present	Buck Wealth Strategies	Investment Advisor Representative	Y	Honolulu, HI, United States
12/2019 - Present	MADISON AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
06/1983 - Present	E.A. Buck Insurance DBA E.A. Buck Financial Services	Private Wealth Manager	Y	HONOLULU, HI, United States
12/2019 - 01/2023	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
08/2014 - 12/2019	PARKLAND SECURITIES	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
08/2011 - 12/2019	SPC	INVESTMENT ADVISORY REP	Y	ANN ARBOR, MI, United States



Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) E.A. Buck Insurance DBA E.A. Buck Financial Services; INV RELATED: YES; ADDRESS: 55 MERCHANT STREET, SUITE 2100 HONOLULU, HI 96813; NATURE: INSURANCE SALES; POSITION: LIFE AGENT; START DATE: 06/1983; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: LIFE AGENT

2.) MADISON AVENUE SECURITIES, LLC; YES INVESTMENT RELATED; 13500 EVENING CREEK DR. N SUITE 555, SAN DIEGO, CA 92128; BROKER DEALER; REGISTERED REPRESENTATIVE; START DATE 12/2019; APPROX 160 HRS/MONTH; APPROX 160 HRS/MONTH DURING TRADING; SECURITIES SALES AND SERVICES.

3) NAME: REAL ESTATE; INV RELATED: YES; LOCATION: SPRING, TX 77373; NATURE: RENTAL INCOME; POSITION: REAL ESTATE INVESTOR; START DATE: 04/01/2007; HOURS/MONTH: 00; TRADING HOURS/MONTH: 00; DUTIES: PERSONAL RENTAL PROPERTY

4) NAME: BUCK WEALTH STRATEGIES; ADDRESS: 55 MERCHANT STREET SUITE 2100, HONOLULU, HAWAII 96813; INVESTMENT RELATED: YES; POSITION: INVESTMENT ADVISOR REPRESENTATIVE; DUTIES: REGISTERED INVESTMENT ADVISOR ENGAGED IN ASSET MANAGEMENT SERVICES; HOURS PER WEEK: 40 HOURS; START DTATE: 07/2022

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
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 broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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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 brokers and brokerage 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.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	8	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	H. Beck, Inc.
Allegations:	Ex RR recommended portfolio unsuitably over concentrations in non-traded REITS, equipment leasing, oil and gas, limited partnerships, and other DPP's.
Product Type:	Equipment Leasing
Alleged Damages:	\$300,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-02406
Filing date of arbitration/CFTC reparation or civil litigation:	10/02/2015

Customer Complaint Information

Date Complaint Received:	10/05/2015
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Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 10/05/2015

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 15-02406

Date Notice/Process Served: 10/02/2015

Arbitration Pending? No

Disposition: Other: Dismissed with Prejudice

Disposition Date: 09/26/2016

Monetary Compensation Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. Beck, Incorporated

Allegations: Statement of Claim alleges unsuitable investments and misrepresentation of facts in 2005.

Product Type: Equipment Leasing
Real Estate Security

Alleged Damages: \$300,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA West Regional Office
Docket/Case #:	15-02406
Date Notice/Process Served:	10/20/2015
Arbitration Pending?	No
Disposition:	Other: Dismissed with Prejudice
Disposition Date:	09/26/2016
Monetary Compensation Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	H. BECK, INC.
Allegations:	UNSUITABLE INVESTMENTS; MISREPRESENTATION OF FACTS. ALLEGATION ACTIVITY PERIOD - 04/22/2009-08/02/2011.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$60,717.99
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:	06/11/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/30/2016
Settlement Amount:	\$25,000.00



Individual Contribution Amount: \$15,625.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: UNSUITABLE INVESTMENTS; MISREPRESENTATION OF FACTS.
ALLEGATION ACTIVITY PERIOD - 04/22/2009-08/02/2011.

Product Type: Banking Products (other than CDs)
Direct Investment-DPP & LP Interests

Alleged Damages: \$60,717.99

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/18/2015

Complaint Pending? No

Status: Settled

Status Date: 11/11/2015

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$15,625.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE RECOMMENDED
UNSUITABLY CONCENTRATED INVESTMENTS IN AN EQUIPMENT LEASING
LIMITED PARTNERSHIP AND A NONTRADED REIT. PERIOD OF ACTIVITY IS



SEPTEMBER 2008.

Product Type: Equipment Leasing
Real Estate Security

Alleged Damages: \$180,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 14-00871

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/19/2014

Customer Complaint Information

Date Complaint Received: 03/31/2014

Complaint Pending? No

Status: Settled

Status Date: 04/21/2015

Settlement Amount: \$62,500.00

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** H. BECK, INC.

Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE RECOMMENDED
UNSUITABLY CONCENTRATED INVESTMENTS IN AN EQUIPMENT LEASING
LIMITED PARTNERSHIP AND A NONTRADED REIT. PERIOD OF ACTIVITY IS
SEPTEMBER 2008.

Product Type: Equipment Leasing



Alleged Damages: \$180,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 14-00871

Filing date of arbitration/CFTC reparation or civil litigation: 03/19/2014

Customer Complaint Information

Date Complaint Received: 03/31/2014

Complaint Pending? No

Status: Settled

Status Date: 04/21/2015

Settlement Amount: \$62,500.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: SUITABILITY AND MISREPRESENTATION - ALLEGED JUNE 16, 2009 TO PRESENT THE NET WORTH AND ANNUAL INCOME DID NOT SUPPORT THE "HIGH RISK INVESTMENTS".

Product Type: Direct Investment-DPP & LP Interests
Equipment Leasing

Alleged Damages: \$5,000.00



Alleged Damages Amount \$5,000 OR MORE/CANNOT DETERMINE
Explanation (if amount not exact):

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: 12/26/2012

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/25/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 13-00750

Date Notice/Process Served: 03/25/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/26/2013

Monetary Compensation Amount: \$12,000.00

Individual Contribution Amount: \$10,700.00

Firm Statement RR WAS A NAMED RESPONDENT IN THE ARBITRATION.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: H. BECK, INC

Allegations: SUITABILITY AND MISREPRESENTATION - ALLEGED JUNE 16, 2009 TO PRESENT THE NET WORTH AND ANNUAL INCOME DID NOT SUPPORT THE "HIGH RISK INVESTMENTS".

Product Type: Direct Investment-DPP & LP Interests
Equipment Leasing

Alleged Damages: \$5,000.00

Alleged Damages Amount Explanation (if amount not exact): \$5,000 OR MORE/CANNOT DETERMINE

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: 12/26/2012

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 03/25/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 13-00750

Date Notice/Process Served: 03/25/2013

Arbitration Pending? No

Disposition: Settled



Disposition Date:	07/26/2013
Monetary Compensation Amount:	\$12,000.00
Individual Contribution Amount:	\$10,700.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	H. Beck, Inc.
Allegations:	Unsuitable Investments; Misrepresentation of Facts Allegation Activity Period - February 2001 thru December 2004
Product Type:	Equipment Leasing Oil & Gas
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The client invested approximately \$356,000 but the damages were not specified.
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:	07/05/2016
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/26/2017
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: H. Beck Inc.

Allegations: Unsuitable Investments; Misrepresentation of Facts Allegation Activity Period - February 2001 thru December 2004

Product Type: Equipment Leasing
Oil & Gas

Alleged Damages: \$356,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/13/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/26/2017

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE IN 2009 RECOMMENDED UNSUITABLY INVESTMENTS IN A EQUIPMENT LEASING LIMITED PARTNERSHIP.

Product Type: Equipment Leasing

Alleged Damages: \$40,000.00

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: 07/29/2014

Complaint Pending? No

Status: Closed/No Action

Status Date: 10/11/2016

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 3 of 4

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** H. BECK, INC.

Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE IN 2009
RECOMMENDED UNSUITABLY INVESTMENTS IN A EQUIPMENT LEASING
LIMITED PARTNERSHIP.

Product Type: Equipment Leasing

Alleged Damages: \$0.00

**Alleged Damages Amount
Explanation (if amount not
exact):** AT THIS TIME THE FIRM IS UNABLE TO DETERMINE THAT THE DAMAGES
WOULD BE LESS THAN \$5,000.

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: 03/10/2014

Complaint Pending? No



Status: Closed/No Action

Status Date: 10/11/2016

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H. BECK, NC.

Allegations: CLIENT ALLEGES IN NOVEMBER 2007, HE INVESTED IN FIVE (5) DIFFERENT INVESTMENTS THAT WERE MISREPRESENTED AND NOT SUITABLE GIVEN HIS INVESTMENT OBJECTIVE.

Product Type: Direct Investment-DPP & LP Interests
Insurance
Oil & Gas
Real Estate Security

Alleged Damages: \$185,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 08/29/2012

Complaint Pending? No

Status: Denied

Status Date: 09/20/2012

Settlement Amount:

Individual Contribution Amount:



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: H. BECK, INC.

Allegations: CLIENT ALLEGES IN NOVEMBER 2007, HE INVESTED IN FIVE (5) DIFFERENT INVESTMENTS THAT WERE MISREPRESENTED AND NOT SUITABLE GIVEN HIS INVESTMENT OBJECTIVE.

Product Type: Direct Investment-DPP & LP Interests
Insurance
Oil & Gas
Real Estate Security

Alleged Damages: \$185,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 08/29/2012

Complaint Pending? No

Status: Denied

Status Date: 09/20/2012

Settlement Amount:

Individual Contribution Amount:

End of Report



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