

## BrokerCheck Report

# CHRISTINE CATHERINE MALLUL

CRD# 1158837

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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:

- o 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
- o 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.



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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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.](http://www.finra.org)

**Thank you for using FINRA BrokerCheck.**

**CHRISTINE C. MALLUL**

CRD# 1158837

**Currently employed by and registered with the following Firm(s):**

**B SIGMA FINANCIAL CORPORATION**  
 Highland Park, IL 60035  
 CRD# 14303  
 Registered with this firm since: 09/19/2011

**IA SPC**  
 Highland Park, IL 60035  
 CRD# 110692  
 Registered with this firm since: 09/19/2011

**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 registered with:**

- 2 Self-Regulatory Organizations
- 9 U.S. states and territories

**This broker has passed:**

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

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

- IA DAVID A. NOYES & COMPANY**  
 CRD# 205  
 CHICAGO, IL  
 08/2005 - 09/2011
- B DAVID A. NOYES & COMPANY**  
 CRD# 205  
 CHICAGO, IL  
 01/2004 - 09/2011
- B HOWE BARNES INVESTMENTS, INC.**  
 CRD# 2240  
 CHICAGO, IL  
 05/1994 - 01/2004

**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	5



## 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 individual is currently registered with 2 SROs and is licensed in 9 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **SIGMA FINANCIAL CORPORATION**

Main Office Address: **300 PARKLAND PLAZA  
ANN ARBOR, MI 48103-9508**

Firm CRD#: **14303**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	APPROVED	09/19/2011
<b>B</b> Nasdaq Stock Market	General Securities Representative	APPROVED	09/19/2011

U.S. State/ Territory	Category	Status	Date
<b>B</b> Alaska	Agent	APPROVED	09/20/2011
<b>B</b> Illinois	Agent	APPROVED	09/19/2011
<b>B</b> Indiana	Agent	APPROVED	09/20/2011
<b>B</b> Michigan	Agent	APPROVED	10/20/2011
<b>B</b> New Jersey	Agent	APPROVED	01/28/2016
<b>B</b> Ohio	Agent	APPROVED	09/19/2011
<b>B</b> Washington	Agent	APPROVED	09/19/2011

### Branch Office Locations

#### **SIGMA FINANCIAL CORPORATION**

930 Central Avenue  
Highland Park, IL 60035



## Broker Qualifications

### Employment 2 of 2

Firm Name: **SPC**

Main Office Address: **300 PARKLAND PLAZA  
ANN ARBOR, MI 48103**

Firm CRD#: **110692**

U.S. State/ Territory	Category	Status	Date
IA Florida	Investment Adviser Representative	APPROVED	01/21/2021
IA Illinois	Investment Adviser Representative	APPROVED	09/19/2011
IA Kansas	Investment Adviser Representative	APPROVED	01/13/2021
IA Michigan	Investment Adviser Representative	APPROVED	10/20/2011
IA Ohio	Investment Adviser Representative	APPROVED	09/28/2011

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



## 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.

**This individual has passed 0 principal/supervisory exams, 5 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Interest Rate Options Examination	Series 5	12/04/1985
<b>B</b> Foreign Currency Options Examination	Series 15	01/17/1985
<b>B</b> National Commodity Futures Examination	Series 3	02/02/1984
<b>B</b> General Securities Representative Examination	Series 7	07/16/1983

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	08/10/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/03/1983

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/](http://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>IA</b> 08/2005 - 09/2011	DAVID A. NOYES & COMPANY	205	CHICAGO, IL
<b>B</b> 01/2004 - 09/2011	DAVID A. NOYES & COMPANY	205	CHICAGO, IL
<b>B</b> 05/1994 - 01/2004	HOWE BARNES INVESTMENTS, INC.	2240	CHICAGO, IL
<b>B</b> 09/1990 - 05/1994	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO
<b>B</b> 01/1989 - 09/1990	BLUNT ELLIS & LOEWI INCORPORATED	7580	
<b>B</b> 03/1984 - 01/1989	THOMSON MCKINNON SECURITIES INC.	829	
<b>B</b> 03/1984 - 07/1984	MANLEY, BENNETT, MCDONALD & CO	551	
<b>B</b> 07/1983 - 03/1984	SHEARSON/AMERICAN EXPRESS INC.	7506	

### 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
09/2011 - Present	SIGMA FINANCIAL CORPORATION	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States
09/2011 - Present	SIGMA PLANNING CORPORATION	INVESTMENT ADVISOR REPRESENTATIVE	Y	ANN ARBOR, MI, United States

### 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.

AS AN INDEPENDENTLY LICENSED INSURANCE AGENT AND AM AFFILIATED WITH VARIOUS INSURANCE COMPANIES.  
CCM SERVICES, INC. MEMBER OF BOARD OF DIRECTORS.



## Registration and Employment History



### Other Business Activities, continued

TEACH TEMPLATES FOR STATE OF IL RETIREMENT SYSTEMS.

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## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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	5	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

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	DAVID A. NOYES & COMPANY
<b>Allegations:</b>	CLIENT ALLEGES THAT IN 2006, SHE WAS ADVISED BY RR TO TAKE A LOAN AGAINST THE VALUE OF HER HOME AND INVEST THE PROCEEDS IN A BROKERAGE ACCOUNT; CLIENT ALLEGES THAT THIS RECOMMENDATION WAS UNSUITABLE.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$150,000.00
<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>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA DISTRICT 8
<b>Docket/Case #:</b>	12-03818
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	05/13/2013

### Customer Complaint Information



**Date Complaint Received:** 05/14/2013  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 04/23/2014  
**Settlement Amount:** \$70,000.00  
**Individual Contribution Amount:** \$9,000.00

### Arbitration Information

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

**Docket/Case #:** 12-03818  
**Date Notice/Process Served:** 05/14/2013  
**Arbitration Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 04/07/2014  
**Monetary Compensation Amount:** \$70,000.00  
**Individual Contribution Amount:** \$9,000.00

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** DAVID A. NOYES COMPANY

**Allegations:** CLIENT ALLEGES THAT IN 2006, SHE WAS ADVISED BY RR TO TAKE A LOAN AGAINST THE VALUE OF HER HOME AND INVEST THE PROCEEDS IN A BROKERAGE ACCOUNT; CLIENT ALLEGES THAT THIS RECOMMENDATION WAS UNSUITABLE.

**Product Type:** No Product  
**Alleged Damages:** \$150,000.00  
**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:** 09/14/2012

**Complaint Pending?** No

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

**Status Date:** 02/22/2013

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 12-03818

**Date Notice/Process Served:** 02/22/2013

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/23/2014

**Monetary Compensation Amount:** \$70,000.00

**Individual Contribution Amount:** \$9,000.00

### Disclosure 2 of 4

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** DAVID A. NOYES & COMPANY

**Allegations:** STATEMENT OF CLAIM ALLEGES BREACH OF FIDUCIARY DUTY; NEGLIGENT SUPERVISION; NEGLIGENCE; UNSUITABLE RECOMMENDATIONS; BREACH



OF CONTRACT; FRAUD; NEGLIGENT MISREPRESENTATION; AND  
UNAUTHORIZED TRADING REGARDING INVESTMENTS IN 2001 THRU 2012.

**Product Type:** Insurance  
Mutual Fund  
Unit Investment Trust

**Alleged Damages:** \$1,000,000.00

### Arbitration Information

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

**Docket/Case #:** 12-01628

**Date Notice/Process Served:** 05/25/2012

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/26/2014

**Monetary Compensation Amount:** \$270,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 4

**Reporting Source:** Firm

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

**Allegations:** IN 2000, FORMER REGISTERED REPRESENTATIVE CHRISTINE MALLUL SOLD THREE VARIABLE ANNUITIES TO [CUSTOMERS]. IN FEBRUARY 2008, THE [CUSTOMERS] FILED FOR ARBITRATION AGAINST HOWE BARNES AND MS. MALLUL REGARDING THE PURCHASE OF THEIR ANNUITIES AND SUBSEQUENT DEALINGS DURING THE TERM OF THE ANNUITIES BOTH DURING HER TERM AT HOWE BARNES AND AT HER SUBSEQUENT FIRM. THE [CUSTOMERS] ALLEGED MISREPRESENTATION, COMMON LAW FRAUD, SUITABILITY, NEGLIGENCE, BREACH OF DUTY OF GOOD FAITH AND FAIR DEALING AND BREACH OF CONTRACT IN CONNECTION WITH THE ANNUITIES. THE MATTER WAS SETTLED IN JULY 2009 FOR \$350,000 WITH HOWE BARNES' PORTION EQUALING \$170,000.



**Product Type:** Annuity-Variable

**Alleged Damages:** \$800,000.00

### Arbitration Information

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

**Docket/Case #:** 08-00276

**Date Notice/Process Served:** 02/13/2008

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/15/2009

**Monetary Compensation Amount:** \$350,000.00

**Individual Contribution Amount:** \$100,000.00

**Firm Statement** THE MATTER WAS SETTLED BY ALL RESPONDANTS AND CROSS-RESPONDANTS, HOWE BARNES, MALLUL, DAVID A. NOYES & CO. AND AXA EQUITABLE LIFE INSURANCE CO.

**Reporting Source:** Broker

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

**Allegations:** CUSTOMER ALLEGED MISREPRESENTATIONS IN THE SALES PRESENTATIONS. CUSTOMER AGREED TO MEDIATE AND DISPUTE. SETTLEMENT AGREEMENT AND PAYMENTS WERE MADE BY JULY 15, 2009.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$400,000.00

**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:** FINRA

**Docket/Case #:** 08-00276

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 07/15/2009

### Customer Complaint Information

**Date Complaint Received:** 07/15/2009

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/15/2009

**Settlement Amount:** \$350,000.00

**Individual Contribution  
Amount:** \$100,000.00

### Arbitration Information

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

**Docket/Case #:** 08-00276

**Date Notice/Process Served:** 07/15/2009

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/15/2009

**Monetary Compensation  
Amount:** \$350,000.00

**Individual Contribution  
Amount:** \$100,000.00

### Disclosure 4 of 4

**Reporting Source:** Broker





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

**Allegations:** CLAIMS INCLUDE MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND SUITABILITY ISSUES PERTAINING TO INVESTMENTS. THE ORIGINAL CLAIM STATED DAMAGES IN EXCESS OF \$10,000.00.

**Product Type:**

**Alleged Damages:** \$10,000.00

**Customer Complaint Information**

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** 91-120943

**Date Notice/Process Served:** 08/09/1991

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 10/15/1992

**Monetary Compensation Amount:** \$30,000.00

**Individual Contribution Amount:** \$4,000.00

**Broker Statement**

WHILE ALL CLAIMS WERE DISPUTED, A SETTLEMENT WAS PAID IN THE AMOUNT OF \$30,000.00 WHICH WAS ESTIMATED AS THE COST OF DEFENSE. MRS. MALLUL CONTRIBUTED \$4,000.00 OF THE TOTAL SETTLEMENT. ALL ALLEGATIONS WERE NEVER PROVEN. CLAIMS BY PLAINTIFFS WERE NEVER PROVEN. SETTLEMENT SOLELY MADE VS. COST



OF DEFENSE LITIGATION. MRS. MALLUL SETTLED CASE WITH THE  
PRETENSE AND UNDERSTANDING OF NO WRONG DOING ON HER PART.



## 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	DAVID A. NOYES & COMPANY
<b>Allegations:</b>	CLIENT ALLEGES THAT DUE TO EXCESSIVE TRADING AND NUMEROUS FEES THAT HER ACCOUNT HAS LOST 50% OF ITS VALUE SINCE INCEPTION IN 2002.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$200,000.00
<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>	12/14/2011
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	09/21/2012
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Arbitration Information

<b>Disposition:</b>	No Action
<b>Disposition Date:</b>	01/19/2012

<b>Reporting Source:</b>	Broker
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**Employing firm when activities occurred which led to the complaint:** DAVID A. NOYES

**Allegations:** CLIENT ALLEGES THAT DUE TO EXCESSIVE TRADING AND NUMEROUS FEES THAT HER ACCOUNT HAS LOST 50% OF ITS VALUE SINCE INCEPTION IN 2002

**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$200,000.00

**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:** 12/14/2011

**Complaint Pending?** No

**Status:** Closed/No Action

**Status Date:** 09/21/2012

**Settlement Amount:**

**Individual Contribution Amount:**

## End of Report



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