

## BrokerCheck Report

**KELLY STOLTE MILLER**

CRD# 1336841

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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](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).

**KELLY S. MILLER**

CRD# 1336841

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

**IA KOVACK ADVISORS, INC.**  
 1337 Canton Rd  
 Suite A  
 Marietta, GA 30066  
 CRD# 140808  
 Registered with this firm since: 01/02/2015

**B KOVACK SECURITIES INC.**  
 1337 Canton Rd  
 Suite A  
 Marietta, GA 30066  
 CRD# 44848  
 Registered with this firm since: 10/15/2014

**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:**

- 1 Self-Regulatory Organization
- 37 U.S. states and territories

**This broker has passed:**

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

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

**IA RESOURCE HORIZONS INVESTMENT ADVISORY, INC.**  
 CRD# 143384  
 MARIETTA, GA  
 10/2007 - 12/2014

**B RESOURCE HORIZONS GROUP LLC**  
 CRD# 104368  
 MARIETTA, GA  
 03/2001 - 10/2014

**IA RESOURCE HORIZONS GROUP, L.L.C.**  
 CRD# 104368  
 MARIETTA, GA  
 01/2005 - 12/2007

**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
Regulatory Event	1
Customer Dispute	2



## 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 1 SRO and is licensed in 37 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **KOVACK ADVISORS, INC.**  
 Main Office Address: **6451 N. FEDERAL HWY  
 SUITE 1201  
 FT. LAUDERDALE, FL 33308**  
 Firm CRD#: **140808**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	02/09/2015
IA	Georgia	Investment Adviser Representative	Approved	01/07/2015
IA	Texas	Investment Adviser Representative	Restricted Approval	01/05/2015

### Branch Office Locations

6451 N. FEDERAL HWY  
 SUITE 1201  
 FT. LAUDERDALE, FL 33308

1337 Canton Rd  
 Suite A  
 Marietta, GA 30066

### Employment 2 of 2

Firm Name: **KOVACK SECURITIES INC.**  
 Main Office Address: **6451 N. FEDERAL HWY.  
 SUITE 1201  
 FT. LAUDERDALE, FL 33308**



## Broker Qualifications

### Employment 2 of 2, continued

Firm CRD#: **44848**

	<b>SRO</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	FINRA	General Securities Principal	Approved	10/15/2014
<b>B</b>	FINRA	General Securities Representative	Approved	10/15/2014
<b>B</b>	FINRA	Investment Banking Representative	Approved	10/15/2014
<b>B</b>	FINRA	Municipal Fund	Approved	10/15/2014
<b>B</b>	FINRA	Registered Options Principal	Approved	10/15/2014
<b>B</b>	FINRA	Investment Banking Principal	Approved	10/01/2018

	<b>U.S. State/ Territory</b>	<b>Category</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Alabama	Agent	Approved	10/15/2014
<b>B</b>	Arizona	Agent	Approved	10/15/2014
<b>B</b>	Arkansas	Agent	Approved	04/01/2019
<b>B</b>	California	Agent	Approved	10/15/2014
<b>B</b>	Colorado	Agent	Approved	10/15/2014
<b>B</b>	Connecticut	Agent	Approved	10/15/2014
<b>B</b>	Delaware	Agent	Approved	05/28/2015
<b>B</b>	Florida	Agent	Approved	11/25/2014
<b>B</b>	Georgia	Agent	Approved	10/15/2014
<b>B</b>	Illinois	Agent	Approved	10/15/2014
<b>B</b>	Indiana	Agent	Approved	12/22/2014
<b>B</b>	Iowa	Agent	Approved	03/31/2015
<b>B</b>	Kansas	Agent	Approved	10/15/2014



## Broker Qualifications

### Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	01/28/2015
B	Louisiana	Agent	Approved	12/10/2014
B	Maine	Agent	Approved	12/01/2014
B	Maryland	Agent	Approved	10/15/2014
B	Michigan	Agent	Approved	08/21/2015
B	Minnesota	Agent	Approved	06/24/2015
B	Mississippi	Agent	Approved	10/15/2014
B	Missouri	Agent	Approved	10/15/2014
B	Nevada	Agent	Approved	10/15/2014
B	New Hampshire	Agent	Approved	10/15/2014
B	New York	Agent	Approved	10/15/2014
B	North Carolina	Agent	Approved	12/04/2014
B	Oklahoma	Agent	Approved	12/02/2014
B	Oregon	Agent	Approved	10/15/2014
B	Pennsylvania	Agent	Approved	10/15/2014
B	Rhode Island	Agent	Approved	10/15/2014
B	South Carolina	Agent	Approved	10/15/2014
B	Tennessee	Agent	Approved	10/15/2014
B	Texas	Agent	Approved	10/15/2014
B	Vermont	Agent	Approved	10/15/2014
B	Virginia	Agent	Approved	10/15/2014



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Washington	Agent	Approved	01/16/2015
B	West Virginia	Agent	Approved	10/14/2015
B	Wisconsin	Agent	Approved	10/16/2015

Branch Office Locations

KOVACK SECURITIES INC.  
1337 Canton Rd  
Suite A  
Marietta, GA 30066

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Fund Securities Principal Examination	Series 51	02/27/2003
<b>B</b> Registered Options Principal Examination	Series 4	10/27/2000
<b>B</b> General Securities Principal Examination	Series 24	12/20/1990

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/16/1985

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/09/2007
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	03/25/1985

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> 10/2007 - 12/2014	RESOURCE HORIZONS INVESTMENT ADVISORY, INC.	143384	MARIETTA, GA
<b>B</b> 03/2001 - 10/2014	RESOURCE HORIZONS GROUP LLC	104368	MARIETTA, GA
<b>IA</b> 01/2005 - 12/2007	RESOURCE HORIZONS GROUP, L.L.C.	104368	MARIETTA, GA
<b>B</b> 09/1997 - 03/2001	CENTENNIAL CAPITAL MANAGEMENT, INC.	38988	ATLANTA, GA
<b>B</b> 09/1992 - 05/1998	CANADA LIFE OF AMERICA FINANCIAL SERVICES, INC.	24220	GREENWOOD VILLAGE, CO
<b>B</b> 06/1992 - 10/1997	CADARET, GRANT & CO., INC.	10641	SYRACUSE, NY
<b>B</b> 01/1992 - 07/1992	NORTH AMERICAN FINANCIAL GROUP, INC.	22273	WARREN, MI
<b>B</b> 05/1991 - 12/1991	KEOGLER, MORGAN & COMPANY, INC.	16546	ATLANTA, GA
<b>B</b> 09/1990 - 05/1991	INVESTACORP, INC.	7684	MIAMI, FL
<b>B</b> 01/1990 - 08/1990	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
<b>B</b> 10/1988 - 01/1990	INTERSTATE/JOHNSON LANE CORPORATION	431	CHARLOTTE, NC
<b>B</b> 03/1985 - 10/1988	JOHNSON, LANE, SPACE, SMITH & CO., INC.	472	

### 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
01/2015 - Present	KOVACK ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	FORT LAUDERDALE, FL, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2014 - Present	KOVACK SECURITIES INC.	Mass Transfer	Y	MARIETTA, GA, United States
09/1990 - Present	OAK TREE GROUP	PRESIDENT	Y	ATLANTA, GA, 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.

MRS. MILLER IS THE OWNER OF OAK TREE GROUP WHICH OFFERS FINANCIAL PLANNING SERVICES. OAK TREE GROUP HAS BEEN IN EXISTENCE SINCE 1990. MRS. MILLER SPENDS 15 HOURS WEEKLY DEVOTED TO RUNNING THE ACTIVITIES OF THE FIRM. MRS. MILLER'S DUTIES INCLUDE CLIENT MANAGEMENT PRIMARILY AS IT RELATES TO ACCOUNT REVIEW. THE ADDRESS OF THE OFFICE IS LOCATED AT 1337 Canton Rd, Suite A, Marietta, GA 30066.

2) FIXED INSURANCE - 1337 Canton Rd, Suite A, Marietta, GA 30066; TERM, HEALTH, STD, LTC, DI AND UL; NON INVESTMENT RELATED; AGENT; AS PART OF MY BASIC HOLISTIC FINANCIAL PLANNING PRACTICE, AT TIMES INSURANCE IS RECOMMENDED; 5% OF TIME SPENT

3) PEO-CHAPTER AQ; TREASURER; MAINTAIN BOOKS AND RECORDS; NON-INVESTMENT RELATED ACTIVITY; 1% OF TIME SPENT

## 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.
  -
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
Regulatory Event	0	1	0
Customer Dispute	0	2	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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	Office of Commissioner of Insurance State of Gerogia
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	07/29/2016
<b>Docket/Case Number:</b>	11017017
<b>Employing firm when activity occurred which led to the regulatory action:</b>	Kovack Securities, Inc.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	Representative answered a question incorrectly when she submitted a license renewal application.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

Yes

**Resolution Date:** 08/18/2016

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$300.00

**Portion Levied against individual:** \$300.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/18/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement**

This order was issued when, by mistake, I answered a question on the State Insurance renewal application incorrectly. I had no intent whatsoever to mislead the agency, since all matters are fully disclosed on FINRA's BrokerCheck; I simply checked the wrong box in a clerical error. Upon receiving the Order with notice of the mistake, I immediately corrected the answer and paid the \$300 penalty. The language in the order is excessively disproportionate to the event that caused it: a clerical mistake regarding events that are fully disclosed.



## Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	RESOURCE HORIZONS GROUP, LLC
<b>Allegations:</b>	NEGLIGENT HIRING/RETENTION; FAILURE TO SUPERVISE PURSUANT TO NASD CONDUCT RULE 3010; RESPONDEAT SUPERIOR/AGENCY BY ESTOPPEL; AND VIOLATIONS OF GEORGIA'S BLUE SKY LAW.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$3,503,628.56

### Arbitration Information

<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	FINRA - CASE #13-01901
<b>Date Notice/Process Served:</b>	06/26/2013
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Award
<b>Disposition Date:</b>	09/19/2014
<b>Disposition Detail:</b>	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY TO CLAIMANTS TOTAL COMPENSATORY DAMAGES OF \$3,303,628.56 PLUS INTEREST.
<b>Regulator Statement</b>	The award against Kelly Miller was discharged through Bankruptcy filed in U.S. Bankruptcy Ct., GA, Case # 14-70697

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	RESOURCE HORIZONS GROUP, L.L.C.
<b>Allegations:</b>	CLAIMANTS ALLEGE THAT [THIRD PARTY] COMMITTED FRAUD AND MISAPPROPRIATED FUNDS. IN ADDITION, CLAIMANTS ALLEGE RESOURCE HORIZONS AND ITS OFFICERS/CONTROL PERSONS FAILED TO SUPERVISE



[THIRD PARTY]. KELLY MILLER WAS NAMED AS RESPONDENT AS A CONTROL PERSON OF RESOURCE HORIZONS GROUP.

**Product Type:** Other: NOT PROVIDED

**Alleged Damages:** \$2,900,000.00

**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 DISPUTE RESOLUTION

**Docket/Case #:** 13-01901

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/27/2013

### Customer Complaint Information

**Date Complaint Received:** 09/03/2013

**Complaint Pending?** No

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

**Status Date:** 09/03/2013

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 13-01901

**Date Notice/Process Served:** 09/03/2013

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 09/19/2014





Monetary Compensation Amount:	\$5,750,765.50
Individual Contribution Amount:	\$0.00
Broker Statement	RESOURCE HORIZONS DENIES THAT IT FAILED TO REASONABLY SUPERVISE ROBERT GIST. ARBITRATION AWARD FOUND RESOURCE HORIZONS GROUP, DAVID MILLER AND KELLY MILLER JOINTLY AND SEVERALLY LIABLE.



## 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	RESOURCE HORIZONS GROUP, L.L.C.
<b>Allegations:</b>	CLIENT ALLEGES THAT SHE INVESTED IN ENCAP TECHNOLOGIES THROUGH ROBERT GIST AND THAT GIST COMMITTED FRAUD. CLAIMANT ALLEGES THAT RESOURCE HORIZONS AND ITS OFFICERS/CONTROL PERSONS FAILED TO SUPERVISE GIST. KELLY MILLER WAS NAMED AS RESPONDENT AS A CONTROL PERSON OF RESOURCE HORIZONS.
<b>Product Type:</b>	Other: PRIVATE PLACEMENT - ENCAP
<b>Alleged Damages:</b>	\$79,000.00
<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 DISPUTE RESOLUTION
<b>Docket/Case #:</b>	14-02298
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/15/2014

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/02/2014
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)
<b>Status Date:</b>	09/02/2014
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	



## Arbitration Information

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

FINRA DISPUTE RESOLUTION

**Docket/Case #:**

14-02298

**Date Notice/Process Served:**

09/02/2014

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

08/07/2015

**Monetary Compensation Amount:**

\$500.00

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

CLAIMANT WAS NOT A CUSTOMER OF RESOURCE HORIZONS GROUP. THE FIRM DENIES IT FAILED TO SUPERVISE GIST AND INTENDS TO VIGOROUSLY DEFEND ITSELF. AMENDMENT OF 4/27/15 WAS FILED TO CORRECTLY PLACE INFORMATION IN FIELDS 12 - 16; PLS. NOTE DRP FORMS DOES NOT ALLOW FOR CLEARING INFORMATION PREVIOUSLY SHOWN IN #7 - 11. NAME RESPONDENT COMPLAINT ONLY.

## End of Report



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