

BrokerCheck Report
SCOT BARRINGER
 CRD# 1385168

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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:
 - 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.



SCOT BARRINGER

CRD# 1385168

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

B

AMERICAN TRUST INVESTMENT SERVICES, INC.

San Clemente, CA 92672

CRD# 3001

Registered with this firm since: 07/22/2020

IA

CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC

Denver, CO 80222

CRD# 123483

Registered with this firm since: 07/23/2020

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
- 18 U.S. states and territories

This broker has passed:

- 4 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):

- B

WESTPARK CAPITAL, INC.

CRD# 39914

LOS ANGELES, CA

08/2016 - 07/2020
- IA

WESTPARK CAPITAL, INC.

CRD# 39914

LOS ANGELES, CA

08/2016 - 07/2020
- IA

APPLIED WEALTH MANAGEMENT, INC.

CRD# 115883

LITTLETON, CO

10/2011 - 03/2017

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	6
Judgment/Lien	1



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 18 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **AMERICAN TRUST INVESTMENT SERVICES, INC.**

Main Office Address: **1244 119TH STREET
WHITING, IN 46394-1003**

Firm CRD#: **3001**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	07/22/2020
B	FINRA	General Securities Principal	Approved	07/22/2020
B	FINRA	General Securities Representative	Approved	07/22/2020
B	FINRA	Municipal Securities Principal	Approved	07/22/2020
B	FINRA	Municipal Securities Representative	Approved	07/22/2020
B	FINRA	Operations Professional	Approved	07/22/2020
B	FINRA	Registered Options Principal	Approved	07/22/2020

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/18/2023
B	Arizona	Agent	Approved	07/22/2020
B	California	Agent	Approved	07/22/2020
B	Colorado	Agent	Approved	07/22/2020
B	Florida	Agent	Approved	07/06/2022
B	Georgia	Agent	Approved	11/12/2020



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	09/15/2020
B	Indiana	Agent	Approved	07/27/2020
B	Maryland	Agent	Approved	06/08/2021
B	Montana	Agent	Approved	03/22/2022
B	Nevada	Agent	Approved	07/22/2020
B	New Mexico	Agent	Approved	07/22/2020
B	North Carolina	Agent	Approved	07/22/2020
B	Oregon	Agent	Approved	11/12/2020
B	Texas	Agent	Approved	07/22/2020
B	Utah	Agent	Approved	07/30/2020
B	Virginia	Agent	Approved	09/14/2020
B	Washington	Agent	Approved	07/22/2020

Branch Office Locations

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

Employment 2 of 2

Firm Name: **CHICAGO CAPITAL MANAGEMENT ADVISORS, LLC**
 Main Office Address: **4722 MAIN STREET**
LISLE, IL 60532
 Firm CRD#: **123483**



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	10/28/2020
IA	California	Investment Adviser Representative	Approved	07/24/2020
IA	Colorado	Investment Adviser Representative	Approved	09/21/2020
IA	Indiana	Investment Adviser Representative	Approved	07/30/2020
IA	North Carolina	Investment Adviser Representative	Approved	07/23/2020
IA	Oregon	Investment Adviser Representative	Approved	11/12/2020

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 4 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/04/1995
B Municipal Securities Principal Examination	Series 53	01/09/1989
B Registered Options Principal Examination	Series 4	11/09/1988
B Financial and Operations Principal Examination	Series 27	07/13/1988

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	12/02/1987
B General Securities Representative Examination	Series 7	07/20/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/23/2002
B Uniform Securities Agent State Law Examination	Series 63	02/10/1987

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 08/2016 - 07/2020	WESTPARK CAPITAL, INC.	39914	LOS ANGELES, CA
IA 08/2016 - 07/2020	WESTPARK CAPITAL, INC.	39914	Denver, CO
IA 10/2011 - 03/2017	APPLIED WEALTH MANAGEMENT, INC.	115883	GREENWOOD VILLAGE, CO
IA 05/2009 - 08/2016	NEWPORT COAST ASSET MANAGEMENT	16944	DENVER, CO
B 05/2009 - 08/2016	NEWPORT COAST SECURITIES, INC.	16944	DENVER, CO
B 07/2007 - 05/2009	SECURITIES AMERICA, INC.	10205	GREENWOOD VILLAGE, CO
IA 04/2004 - 07/2007	BROOKSTREET CAPITAL MANAGEMENT	14667	EVERGREEN, CO
B 06/1992 - 07/2007	BROOKSTREET SECURITIES CORPORATION	14667	EVERGREEN, CO
B 11/1988 - 08/1992	BARRINGER RYAN VANCE, INC.	22756	
B 06/1988 - 12/1988	J K R & COMPANY, INC.	8040	
B 07/1985 - 06/1988	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	76	

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
07/2020 - Present	American Trust Investment Services, Inc.	Registered Representative	Y	Newport Beach, CA, United States
05/2019 - Present	Forethought Financial	Owner / President	N	Denver, CO, United States
10/2011 - Present	APPLIED WEALTH MANAGEMENT, INC.	REGISTERED INVESTMENT ADVISOR	Y	DENVER, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/1992 - Present	BARRINGER COMPANY INC	PRESIDENT - PRESIDENT	N	EVERGREEN, CO, United States
07/2016 - 07/2020	WestPark Capital Inc	Registered Rep	Y	Denver, CO, United States
05/2009 - 07/2016	GRANT BETTINGEN, INC.	INVESTMENT REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, 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.

- 1) TSP WATCHDOG; OWNER; START DATE 12/2014; APPROX 20 HRS/MO; MAY OCCUR DURING MKT HRS; INVESTMENT RELATED
- 2) WATCH DOG ENTERPRISES, INC.; OWNER; START DATE 12/2014; APPROX 20 HRS/MO; MAY OCCUR DURING MKT HRS.; INVESTMENT RELATED
- 3) FEDERAL EMPLOYEE RETIREMENT CENTER, OWNER; STARTED 12/2014;APPROX 40 HRS/MO; MAY OCCUR DURING MKT HRS; NOT INVESTMENT RELATED
- 4) Forethought Financial - DBA; STARTED 5/1/2019; Investment Related, APPROX 140 HRS/MO; MAY OCCUR DURING MARKET HOURS
- 6) Sandhill Presbyterian Church; Finance Committee member; Start date was 11/15/2023; Investment related; 3 hours/month; Can occur during market hours.

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
Regulatory Event	0	1	0
Customer Dispute	3	3	N/A
Judgment/Lien	1	N/A	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

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/08/1992
Docket/Case Number:	C3A920049
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/17/1993
Sanctions Ordered:	Censure Monetary/Fine \$10,000.00



Suspension

Other Sanctions Ordered:**Sanction Details:****Regulator Statement**

COMPLAINT NO. C3A920049 (DISTRICT NO. 3) FILED OCTOBER 8, 1992 AGAINST RESPONDENT SCOT BARRINGER ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT BARRINGER FAILED TO DEPOSIT CUSTOMER FUNDS INTO A PROPERLY ESTABLISHED ESCROW ACCOUNT IN CONNECTION WITH TWO BEST EFFORTS, CONTINGENT OFFERINGS; AND, CAUSED \$122,289.21 IN CUSTOMER FUNDS RECEIVED IN CONNECTION WITH ONE OF THE AFOREMENTIONED OFFERINGS TO BE DISBURSED PRIOR TO THE STATED CONTINGENCY BEING MET; AND, EFFECTED A MATERIAL CHANGE IN THE SAME OFFERING WHEREIN HE CAUSED \$658,765 RECEIVED FROM INVESTORS TO BE USED FOR PURPOSES OTHER THAN THOSE DISCLOSED IN THE OFFERING MEMORANDUM. OF THE FUNDS IMPROPERLY DISBURSED, \$87,966.68 WAS PAID TO RESPONDENT BARRINGER'S MEMBER FIRM.

DECISION RENDERED MAY 17, 1993 WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT BARRINGER WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$10,000. IN ADDITION, HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 60 DAYS, SUSPENDED AS A GENERAL SECURITIES PRINCIPAL FOR AN ADDITIONAL 30 DAYS, AND REQUIRED TO REQUALIFY BY EXAMINATION AS A GENERAL SECURITIES PRINCIPAL PRIOR TO ACTING IN SUCH A CAPACITY

PRESS RELEASE JULY 1993: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS ON JULY 19, 1993 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS SEPTEMBER 16, 1993. THE SUSPENSION AS A GENERAL SECURITIES PRINCIPAL WILL COMMENCE WITH THE OPENING OF BUSINESS ON SEPTEMBER 17, 1993 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS OCTOBER 16, 1993.

\$10,000 FULLY PAID AS OF 10/25/94 INVOICE #93-3A-419

Reporting Source:

Broker



Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/08/1992

Docket/Case Number: C3A920049

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: ALLEGED FAILURE TO ESTABLISH A PROPER ESCROW ACCOUNT; ALLEGED DISBURSING CUSTOMER FUNDS PRIOR TO CONTINGENCY BEING MET; ALLEGED REVISING THE USE OF PROCEEDS OF AN OFFERING ALREADY IN PROGRESS. NO DAMAGES WERE ALLEGED IN CONNECTION WITH ANY OF THESE ALLEGATIONS.

Current Status: Final

Resolution: Consent

Resolution Date: 05/17/1993

Sanctions Ordered: Censure
Monetary/Fine \$10,000.00
Suspension

Other Sanctions Ordered:

Sanction Details: CENSURED AND FINED \$10,000.00. SUSPENDED FROM ASSOCIATING WITH ANY MEMBER OF THE ASSOCIATION IN ANY CAPACITY FOR SIXTY (60) DAYS AND FROM ASSOCIATING WITH ANY MEMBER IN THE CAPACITY OF A GENERAL SECURITIES PRINCIPAL FOR AN ADDITIONAL THIRTY (30) DAYS. RE-QUALIFICATION AS A GENERAL SECURITIES PRINCIPAL BY EXAMINATION.



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WESTPARK CAPITAL, INC.
Allegations:	Unsuitability and Omission of Material Facts. The client purchased an investment and the company later filed for Chapter 11 bankruptcy
Product Type:	Other: GWG L Bonds
Alleged Damages:	\$60,000.00
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 #:	22-01829
Filing date of arbitration/CFTC reparation or civil litigation:	06/15/2022

Customer Complaint Information

Date Complaint Received:	08/18/2022
Complaint Pending?	No
Status:	Settled
Status Date:	09/18/2023
Settlement Amount:	\$14,999.00
Individual Contribution Amount:	\$14,999.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: Suitability, omission of material fact/ Client purchased an investment and the company later filed for Chapter 11 bankruptcy.

Product Type: Other: GWG L Bonds

Alleged Damages: \$60,000.00

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 #: 22-01829

Filing date of arbitration/CFTC reparation or civil litigation: 06/15/2022

Customer Complaint Information

Date Complaint Received: 09/05/2022

Complaint Pending? No

Status: Settled

Status Date: 09/19/2023

Settlement Amount: \$14,999.00

Individual Contribution Amount: \$14,999.00

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: Unsuitability. Customer Realized that the Company GWG would have a problem



paying back their loans She says she is an unsophisticated small investor

Product Type: Other: GWG
Alleged Damages: \$60,000.00
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: 04/07/2022
Complaint Pending? No
Status: Settled
Status Date: 09/15/2022
Settlement Amount: \$50,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.
Allegations: Suitability
Product Type: Other: GWG L Bonds
Alleged Damages: \$60,000.00
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: 04/06/2022
Complaint Pending? No



Status: Settled

Status Date: 09/15/2022

Settlement Amount: \$50,000.00

Individual Contribution Amount: \$50,000.00

Broker Statement

On January 27, 2022, the customer executed an Acknowledgment of Sale and Release, relating to the customer's direction to liquidate assets held in customer's IIRA account valued as of 10/07/, including among other assets, GWG Holdings L Bonds. Pursuant to the Acknowledgment of Sale and Release the customer took steps to liquidate her assets. On April 20, 2022, GWG filed a voluntary petition for relief under Chapter 11 of the U.S. Bankruptcy Code. Because of the time it would take time to present GWG's reorganization plan and the time it would take to get the GWG bond holders to approve the plan or accept another plan, the liquidation of the GWG L Bonds would extend beyond the liquidity requirements of the customer. Even though the customer had in the aggregate positive returns on the liquidation of all of her other assets, even if she had losses in the liquidation of her GWG L Bonds, the RR and the customer entered into a Purchase and Sale Agreement pursuant to which the RR purchased the customer's GWG L Bonds for \$50,000.00. The Firm was aware and approved the Private Securities Transaction

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NEWPORT COAST SECURITIES, INC.

Allegations: ALLEGED UNSUITABILITY FROM FEBRUARY 2009 THROUGH JUNE 2009.

Product Type: Other: PRIVATE PLACEMENT

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: 10/09/2013



Complaint Pending?	No
Status:	Settled
Status Date:	12/27/2013
Settlement Amount:	\$70,000.00
Individual Contribution Amount:	\$42,500.00



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: Breach of Fiduciary Duty, Violations of NASD and NYSE Rules, Breach of Contract, Negligence, and Negligence Supervision

Product Type: Other: GWG L Bonds

Alleged Damages: \$95,000.00

Arbitration Information

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

Docket/Case #: 24-00733

Date Notice/Process Served: 04/03/2024

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: Breach of Fiduciary Duty, Violations of NASD and NYSE Rules, Breach of Contract, Negligence, and Negligence Supervision

Product Type: Other: GWG L Bonds

Alleged Damages: \$95,000.00

Arbitration Information



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

Docket/Case #: 24-00733

Date Notice/Process Served: 04/09/2024

Arbitration Pending? Yes

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: violation of state securities laws, breach of fiduciary duty, negligence, fraud, breach of contract, negligent misrepresentation, failure to supervise and respondeat superior

Product Type: Other: GWG

Alleged Damages: \$70,000.00

Arbitration Information

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

Docket/Case #: 23-00038

Date Notice/Process Served: 01/04/2023

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: violation of state securities laws, breach of fiduciary duty, negligence, fraud, breach of contract, negligent misrepresentation, failure to supervise and respondeat superior

Product Type: Other: GWG L Bonds



Alleged Damages: \$70,000.00

Arbitration Information

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

Docket/Case #: 23-0038

Date Notice/Process Served: 02/06/2023

Arbitration Pending? Yes

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: The arbitration alleges that GWG L Bonds were misrepresented to the client and not suitable for the clients investment objectives.

Product Type: Other: Alternative Investment - GWG L Bonds

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimant did not specify an exact compensatory, but it has been to be determined to ne greater than \$5,000

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 #: 22-02057

Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2022

Customer Complaint Information



Date Complaint Received: 09/13/2022

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WESTPARK CAPITAL, INC.

Allegations: The arbitration alleges that GWG L Bonds were misrepresented to the client and not suitable for the clients investment objectives.

Product Type: Other: GWG L-Bonds

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): reasonable to access that it exceeds \$5,000.00

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 #: 22-02057

Filing date of arbitration/CFTC reparation or civil litigation: 10/04/2022

Customer Complaint Information

Date Complaint Received: 10/04/2022

Complaint Pending? Yes

Settlement Amount:



**Individual Contribution
Amount:**



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$4,589.66
Judgment/Lien Type:	Tax
Date Filed with Court:	10/21/2015
Date Individual Learned:	11/23/2015
Type of Court:	State Court
Name of Court:	Secretary of State
Location of Court:	Denver CO
Docket/Case #:	2015096322
Judgment/Lien Outstanding?	Yes
Broker Statement	Rep is on payment plan with the IRS

End of Report



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