

**BrokerCheck Report**

**ALVERY ANTHONY BARTLETT JR**

CRD# 13975

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## 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.**

**ALVERY A. BARTLETT JR**

CRD# 13975

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

- B AEGIS CAPITAL CORP.**  
 8000 MARYLAND AVE.  
 SUITE 1031  
 CLAYTON, MO 63105  
 CRD# 15007  
 Registered with this firm since: 06/16/2020

**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:**

- 3 Self-Regulatory Organizations
- 20 U.S. states and territories

**This broker has passed:**

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

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

- B ARETE WEALTH MANAGEMENT, LLC**  
 CRD# 44856  
 Clayton, MO  
 08/2016 - 06/2020
- B BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.**  
 CRD# 13609  
 ST. LOUIS, MO  
 01/1992 - 08/2016
- B THE BARTLETT FUND MANAGEMENT CO.**  
 CRD# 27273  
 09/1990 - 08/1992

**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	4



## 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 3 SROs and is licensed in 20 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **AEGIS CAPITAL CORP.**

Main Office Address: **810 7TH AVE  
18TH & 22ND FLOOR  
NEW YORK, NY 10019**

Firm CRD#: **15007**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Principal	APPROVED	06/16/2020
<b>B</b> FINRA	General Securities Representative	APPROVED	06/16/2020
<b>B</b> FINRA	Registered Options Principal	APPROVED	06/16/2020
<b>B</b> NYSE Arca, Inc.	General Securities Principal	APPROVED	06/16/2020
<b>B</b> NYSE Arca, Inc.	General Securities Representative	APPROVED	06/16/2020
<b>B</b> NYSE Arca, Inc.	Registered Options Principal	APPROVED	06/16/2020
<b>B</b> Nasdaq Stock Market	General Securities Principal	APPROVED	06/16/2020
<b>B</b> Nasdaq Stock Market	General Securities Representative	APPROVED	06/16/2020
<b>B</b> Nasdaq Stock Market	Registered Options Principal	APPROVED	06/16/2020

U.S. State/ Territory	Category	Status	Date
<b>B</b> Arizona	Agent	APPROVED	10/22/2020
<b>B</b> California	Agent	APPROVED	06/16/2020
<b>B</b> District of Columbia	Agent	APPROVED	07/01/2020
<b>B</b> Florida	Agent	APPROVED	09/30/2020



## Broker Qualifications

### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Georgia	Agent	APPROVED	06/16/2020
B Illinois	Agent	APPROVED	04/06/2021
B Kansas	Agent	APPROVED	06/16/2020
B Louisiana	Agent	APPROVED	09/23/2020
B Maryland	Agent	APPROVED	06/16/2020
B Michigan	Agent	APPROVED	06/16/2020
B Missouri	Agent	APPROVED	09/01/2020
B Nevada	Agent	APPROVED	10/07/2020
B New Jersey	Agent	APPROVED	09/04/2020
B New York	Agent	APPROVED	06/16/2020
B Ohio	Agent	APPROVED	09/01/2020
B Pennsylvania	Agent	APPROVED	05/07/2021
B Texas	Agent	APPROVED	05/19/2021
B Utah	Agent	APPROVED	11/05/2020
B Virginia	Agent	APPROVED	01/04/2021
B West Virginia	Agent	APPROVED	05/03/2021

### Branch Office Locations

**AEGIS CAPITAL CORP.**  
 8000 MARYLAND AVE.  
 SUITE 1031  
 CLAYTON, MO 63105



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	07/30/1984

### 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	11/16/1981
<b>B</b> Registered Representative Examination	Series 1	10/25/1968

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/21/1992

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>B</b> 08/2016 - 06/2020	ARETE WEALTH MANAGEMENT, LLC	44856	Clayton, MO
<b>B</b> 01/1992 - 08/2016	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	ST. LOUIS, MO
<b>B</b> 09/1990 - 08/1992	THE BARTLETT FUND MANAGEMENT CO.	27273	
<b>B</b> 03/1990 - 12/1991	MARK TWAIN BROKERAGE SERVICES, INC.	16925	
<b>B</b> 06/1990 - 08/1990	DERAND/PENNINGTON/BASS, INC.	4679	
<b>B</b> 12/1983 - 05/1990	ALVERY BARTLETT BROKERAGE CO.	13487	
<b>B</b> 12/1981 - 11/1982	CLAYTON BROKERAGE CO. OF ST. LOUIS, INC.	6577	

### 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
06/2020 - Present	Aegis Capital Corp	Registered Representative	Y	Clayton, MO, United States
08/2016 - 06/2020	Arete Wealth Management LLC	Registered Representative	Y	Chicago, IL, United States
01/1992 - 08/2016	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	ST. LOUIS, MO, 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.





## Registration and Employment History

### Other Business Activities, continued

1. ALVERY BARTLETT FUND MANAGEMENT COMPANY INCLUDING MANAGEMENT SERVICES FOR INFLATION FUND LLC: 8000 MARYLAND AVENUE, SUITE 1030, ST. LOUIS, MO 63105; RESEARCH & DEVELOPMENT OF PRIVATE FUND IDEAS; PRESIDENT; 09/1998; 80+ HOURS/MONTH.
  2. ALVERY BARTLETT FUND DISTRIBUTION COMPANY; 8000 MARYLAND AVENUE, SUITE 1030, ST LOUIS, MO 63105; DISTRIBUTE PRIVATE FUNDS OF ABFM; PRESIDENT; 07/1986; 0+ HOURS/MONTH.
  3. ALVERY BARTLETT GROUP: 8000 MARYLAND AVENUE, SUITE 1031, ST. LOUIS, MO 63105; DBA; REGISTERED PRESENTATIVE; 05/2007; 80+ HOURS/MONTH.
  4. ALVERY A. BARTLETT, JR - INSURANCE: 8000 MARYLAND AVENUE, SUITE 1031, ST. LOUIS, MO 63105; PROSPECT & SELL INSURANCE PRODUCTS; 07/1992; 10+ HOURS/MONTH.
  5. PURSBART ASSOCIATES, LLC. 511 TRAGARON PL. ST LOUIS MO; INVESTMENT RELATED; FAMILY PARTNERSHIP WITH SPOUSE; NO DUTIES, MINORITY OWNER; START DATE: 2006; 0 HOURS PER MONTH DEVOTED TO BUSINESS; 0 HOURS DURING SECURITIES TRADING HOURS.
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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	1	3	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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Berthel Fisher and Company Financial Services, Inc.
<b>Allegations:</b>	The client alleges the investments he purchased in 2008-2012 were unsuitable and misrepresented to him by the representative. The client also alleges the firm failed to supervise the actions of the representative and conduct adequate due diligence.
<b>Product Type:</b>	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security Other: Business Development Company
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The alleged damages are between \$1,700,000.00 and \$3,000,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA



**Docket/Case #:** 19-01943  
**Filing date of arbitration/CFTC reparation or civil litigation:** 07/13/2019

### Customer Complaint Information

**Date Complaint Received:** 07/16/2019  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 11/20/2020  
**Settlement Amount:** \$325,000.00  
**Individual Contribution Amount:** \$0.00

**Firm Statement** The Firm, solely to compromise and settle disputed claims, agreed to settle an arbitration with the Claimant.

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**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** Berthel Fisher and Company Financial Services, Inc.

**Allegations:** The client alleges the investments he purchased in 2008-2012 were unsuitable and misrepresented to him by the representative. The client also alleges the firm failed to supervise the actions of the representative and conduct adequate due diligence.

**Product Type:** Direct Investment-DPP & LP Interests  
 Oil & Gas  
 Real Estate Security  
 Other: Business Development Company

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** The alleged damages are between \$1,700,000.00 and \$3,000,000.00.

**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 #:** 19-01943

**Filing date of arbitration/CFTC reparation or civil litigation:** 07/13/2019

### Customer Complaint Information

**Date Complaint Received:** 08/13/2019

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/03/2020

**Settlement Amount:** \$325,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** The Firm, solely to compromise and settle disputed claims, agreed to settle an arbitration with the Claimant.

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** Berthel Fisher & Company Financial Services, Inc.

**Allegations:** The client alleges the investments he purchased between 2012 and 2014 were unsuitable and were misrepresented to him by the representative. The client also alleges the firm failed to conduct adequate due diligence and failed to supervise the representative.

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

**Alleged Damages:** \$3,940,000.00

### Arbitration Information



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

**Docket/Case #:** 17-03515

**Date Notice/Process Served:** 01/05/2018

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 02/18/2020

**Monetary Compensation Amount:** \$450,000.00

**Individual Contribution Amount:** \$50,000.00

**Firm Statement** The Firm, solely to compromise and settle disputed claims, agreed to settle an arbitration with the Claimant.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Berthel Fisher & Company Financial Services Inc.

**Allegations:** Client alleges unsuitable recommendations between January 2012 and September 2014.

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

**Alleged Damages:** \$3,940,000.00

### Arbitration Information

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

**Docket/Case #:** 17-03515

**Date Notice/Process Served:** 01/08/2018

**Arbitration Pending?** No

**Disposition:** Settled



<b>Disposition Date:</b>	02/18/2020
<b>Monetary Compensation Amount:</b>	\$450,000.00
<b>Individual Contribution Amount:</b>	\$50,000.00
<b>Broker Statement</b>	Per the settlement above, Mr. Bartlett contributed \$50,000. He believed the claims to be without merit and vigorously denied all allegations in the Statement of Claims. The client is a sophisticated and educated professional who has had years of extensive investment experience. Mr. Bartlett had frequent and in-depth investment communication with the claimant to include joint discussions with senior management charged with operating underlying investment assets.

### Disclosure 3 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
<b>Allegations:</b>	THE CLIENTS ALLEGE THE INVESTMENTS PURCHASED IN 2006 WERE UNSUITABLE AND MISREPRESENTED. THE CLIENTS ALSO ALLEGE THE FIRM FAILED TO CONDUCT ADEQUATE DUE DILIGENCE AND FAILED TO SUPERVISE THE REPRESENTATIVE.
<b>Product Type:</b>	Oil & Gas Other: TIC'S
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CLIENTS ARE REQUESTING DAMAGES OF BETWEEN \$100,000 AND \$499,999.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	14-03867



**Filing date of arbitration/CFTC reparation or civil litigation:** 12/22/2014

### **Customer Complaint Information**

**Date Complaint Received:** 01/23/2015

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/18/2015

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$5,000.00

### **Broker Statement**

THE REPRESENTATIVE DENIES THE ALLEGATIONS IN THE STATEMENT OF CLAIM. THE REPRESENTATIVE INFORMED THE CLIENTS THAT THERE WERE SUBSTANTIAL RISKS AND COSTS INVOLVED IN THE TWO INVESTMENTS AT ISSUE AND ADVISED THE CLIENTS TO CONSIDER OTHER OPTIONS. IT WAS THE CLIENTS' DECISION TO UTILIZE A 1031 EXCHANGE AND TO INVEST INTO THE TWO INVESTMENTS AFTER BEING FULLY INFORMED OF THE RISKS. In October 2015, the arbitration panel granted the firm's motion to dismiss the claim pursuant to Rule 12206. As a result, the client threatened to file action in state court. The firm, solely to compromise and settle disputed claims, agreed to settle the matter.





## 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 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Berthel Fisher and Company Financial Services, Inc.
<b>Allegations:</b>	The clients allege the representative made a series of recommendations of illiquid, high-commission investments from 2009 to 2016 which were unsuitable and resulted in over-concentration of these products in their portfolio. In addition the clients alleges the firm failed to conduct adequate due diligence relating to United Development Funding and was negligent.
<b>Product Type:</b>	Direct Investment-DPP & LP Interests Oil & Gas Real Estate Security Other: Business Development Company
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that the damages from the alleged conduct would be more than \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	20-01791
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	06/05/2020

### Customer Complaint Information

**Date Complaint Received:** 06/08/2020



**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** This arbitration claim involves multiple claimants and multiple representatives.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** Berthel Fisher and Company Financial Services, Inc.

**Allegations:** The clients allege the representative made a series of recommendations of illiquid, high-commission investments from 2009 to 2016 which were unsuitable and resulted in over-concentration of these products in their portfolio. In addition the clients alleges the firm failed to conduct adequate due diligence relating to United Development Funding and was negligent.

**Product Type:** Direct Investment-DPP & LP Interests  
Oil & Gas  
Real Estate Security  
Other: BUSINESS DEVELOPMENT COMPANY

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** The firm has made a good faith determination that the damages from the alleged conduct would be more than \$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 #:** 20-01791

**Filing date of arbitration/CFTC reparation or civil litigation:** 06/05/2020



## Customer Complaint Information

**Date Complaint Received:** 06/08/2020

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution  
Amount:**

## End of Report



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