

BrokerCheck Report

GEORGE ROBERT VEATER

CRD# 1482361

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



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

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.



GEORGE R. VEATER

CRD# 1482361

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

IA OSAIC WEALTH, INC.
7108 NORTH FRESNO STREET
SUITE 410
FRESNO, CA 93720
CRD# 23131
Registered with this firm since: 09/01/2023

B OSAIC WEALTH, INC.
7108 NORTH FRESNO STREET
SUITE 410
FRESNO, CA 93720
CRD# 23131
Registered with this firm since: 09/01/2023

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
- 34 U.S. states and territories

This broker has passed:

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

Registration History

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

- B SAGEPOINT FINANCIAL, INC.**
CRD# 133763
FRESNO, CA
11/2020 - 09/2023
- IA SAGEPOINT FINANCIAL, INC.**
CRD# 133763
PHOENIX, AZ
11/2020 - 09/2023
- IA LPL FINANCIAL LLC**
CRD# 6413
FORT MILL, SC
10/2012 - 11/2020

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



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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	09/01/2023

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	09/01/2023
B	Arkansas	Agent	Approved	09/01/2023
B	California	Agent	Approved	09/01/2023
IA	California	Investment Adviser Representative	Approved	09/01/2023
B	Colorado	Agent	Approved	09/01/2023
B	Florida	Agent	Approved	09/01/2023
IA	Florida	Investment Adviser Representative	Approved	09/05/2024
B	Georgia	Agent	Approved	09/01/2023
B	Hawaii	Agent	Approved	09/01/2023
B	Idaho	Agent	Approved	09/01/2023
B	Illinois	Agent	Approved	09/01/2023
B	Indiana	Agent	Approved	09/01/2023

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kansas	Agent	Approved	09/01/2023
B	Maine	Agent	Approved	09/01/2023
B	Maryland	Agent	Approved	09/01/2023
B	Minnesota	Agent	Approved	09/01/2023
B	Missouri	Agent	Approved	09/01/2023
B	Montana	Agent	Approved	09/01/2023
B	Nevada	Agent	Approved	09/01/2023
B	New Jersey	Agent	Approved	09/01/2023
B	New Mexico	Agent	Approved	09/01/2023
B	New York	Agent	Approved	09/01/2023
B	North Carolina	Agent	Approved	09/01/2023
B	Ohio	Agent	Approved	04/11/2024
B	Oklahoma	Agent	Approved	09/01/2023
B	Oregon	Agent	Approved	09/01/2023
B	Pennsylvania	Agent	Approved	09/01/2023
B	South Carolina	Agent	Approved	09/01/2023
B	South Dakota	Agent	Approved	09/01/2023
B	Tennessee	Agent	Approved	09/01/2023
B	Texas	Agent	Approved	09/01/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	09/01/2023
B	Utah	Agent	Approved	09/01/2023



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	09/01/2023
B	Washington	Agent	Approved	09/01/2023
B	Wisconsin	Agent	Approved	09/01/2023
B	Wyoming	Agent	Approved	09/01/2023

Branch Office Locations

OSAIC WEALTH, INC.
7108 NORTH FRESNO STREET
SUITE 410
FRESNO, CA 93720

OSAIC WEALTH, INC.
60 POINTE DRIVE
SUITE 101
BREA, CA 92821



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	11/21/1988

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/08/1995
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/12/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/30/1999
B Uniform Securities Agent State Law Examination	Series 63	04/07/1995

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 11/2020 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	FRESNO, CA
IA 11/2020 - 09/2023	SAGEPOINT FINANCIAL, INC.	133763	FRESNO, CA
IA 10/2012 - 11/2020	LPL FINANCIAL LLC	6413	FRESNO, CA
B 10/2012 - 11/2020	LPL FINANCIAL LLC	6413	FRESNO, CA
IA 08/2002 - 10/2012	SPC	110692	FRESNO, CA
B 10/1998 - 10/2012	SIGMA FINANCIAL CORPORATION	14303	FRESNO, CA
B 11/1997 - 11/1998	APEX CAPITAL, L.L.C.	40803	HARPER WOODS, MI
B 11/1995 - 12/1997	EAST - WEST CAPITAL CORPORATION	16348	
B 05/1993 - 12/1994	NORTH AMERICAN MANAGEMENT, INC.	624	SIOUX FALLS, SD
B 05/1986 - 04/1993	PFS INVESTMENTS INC.	10111	DULUTH, GA

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
09/2023 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	FRESNO, CA, United States
11/2020 - 09/2023	SAGEPOINT FINANCIAL, INC.	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States
10/2012 - 11/2020	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States



Registration and Employment History

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1. VEATER RANCH AND CATTLE CO

POSITION: Owner NATURE: Working Cattle Ranch, Rodeos, Bronc Riding School INVESTMENT RELATED: No NUMBER OF HOURS: 20
SECURITIES TRADING HOURS: 0 START DATE: 01/01/1995
ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States
DESCRIPTION: Working cattle, shipping, branding, gathering etc. Offers Bronc Riding School. Host Bronc/Rodeo Events.

2. ZERO GRAVITY COWBOYS

POSITION: Owner NATURE: Bronc riding school with you tube videos and website INVESTMENT RELATED: No NUMBER OF HOURS: 25
SECURITIES TRADING HOURS: 0 START DATE: 04/01/2019
ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States
DESCRIPTION: N/A

3. SENIOR STRATEGIES, INC

POSITION: President NATURE: S. Corp for tax purposes INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING
HOURS: 0 START DATE: 01/01/1990
ADDRESS: 7108 N Fresno Street Ste #410, Fresno CA 93720, United States
DESCRIPTION: N/A

4. VEATER FINANCIAL GROUP

POSITION: Financial Professional NATURE: DBA/Marketing Name INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES
TRADING HOURS: 160 START DATE: 06/01/2021
ADDRESS: 7108 N. Fresno Street Ste #410, Fresno CA 93720, United States
DESCRIPTION: DBA/Marketing Name for securities business

5. AIR BNB

POSITION: Owner NATURE: Individual INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START
DATE: 09/01/2020
ADDRESS: 35989 Hwy 41, Coarsegold CA 93614, United States
DESCRIPTION: Property Owner

6. 2.GEORGE VEATER

POSITION: Owner NATURE: Rental INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE:
10/21/2021 ADDRESS: 35729 HWY 41 Coarsegold CA 93614 DESCRIPTION: No duties other than an occasional visit if something is wrong.

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.
 -
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	6	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:	CALIFORNIA DEPARTMENT OF CORPORATIONS
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	02/01/2000
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES
Allegations:	ORDERS WERE ISSUED BASED ON THE OFFER AND/OR SALE BY THIS INDIVIDUAL OF PROMISSORY NOTES ISSUED BY FIRST LENDERS INDEMNITY CORPORATION OF FLORIDA, BOSTON ACCEPTANCE COMPNAY, DBA FIRST LENDERS INDEMNITY COMPANY OF CALIFORNIA, JONATHON PIERPONT BOSTON, FKA JOHN R. MARSELLA, SHIRLEY FAINO, FKA SHIRLEY MARSELLA, AND/OR JIM CUNNINGHAM AND BY JETLEASE FINANCE CORPORATION, DAVID LACROIZ AND/OR MARK BLACHER. THE DEPARTMENT OF COPORATIONS HAS DETERMINED THAT SUCH



PROMISSORY NOTES AND JOINT VENTURE INTERESTS ARE SECURITIES FOR WHICH NO EXEMPTION FROM QUALIFICATION APPLIES, AND THAT THE ISSUANCE OF SUCH ORDER/ORDERS IS IN THE PUBLIC INTEREST.

Current Status: Final

Resolution: Order

Resolution Date: 02/01/2000

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: DESIST AND REFRAIN ORDER ISSUED.

Regulator Statement DESIST AND REFRAIN ORDERS WERE ISSUED AGAINST THIS INDIVIDUAL FOR VIOLATIONS OF CALIFORNIA CORPORATIONS CODE SECTIONS 25100, SALE OF AN UNQUALIFIED SECURITY, AND 25401, SALE OF SECURITY BY MEANS OF A COMMUNICATION WHICH INCLUDES A MATERIAL MISREPRESENTATION OR OMMISSION.

CONTACT PERSON: DAN O'DONNELL 916-445-3682

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF CALIFORNIA DEPARTMENT OF CORPORATIONS

Sanction(s) Sought: Cease and Desist

Other Sanction(s) Sought:

Date Initiated: 02/01/2000

Docket/Case Number: ALPHA

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

Product Type: Other

Other Product Type(s): UNREGISTERED PROMISSARY NOTES

Allegations: MR VEATER SOLD PROMISSORY NOTES IN 1995 IN WHICH THE STATE OF CALIFORNIA LATER ISSUED AN OPINION THAT SUCH NOTES REQUIRED QUALIFICATION UNDER THE CALIFORNIA SECURITIES LAWS OF 1968, SECTON 25110. MR. VEATER RELIED ON THE REPRESENTATIONS OF THE



ISSUER AND ISSUER'S COUNSEL THAT SUCH NOTES WERE NOT CONSIDERED SECURITIES.

Current Status:

Final

Resolution:

Order

Resolution Date:

02/01/2000

Sanctions Ordered:

Cease and Desist/Injunction

Other Sanctions Ordered:**Sanction Details:**

MR. VEATER MUST REFRAIN FROM OFFERING UNREGISTERED PROMISSORY NOTES TO HIS CLIENTS. MR VEATER HAS NOT OFFERED OR SOLD SUCH NOTES SINCE 1995.

Broker Statement

MR. VEATER HAS VOLUNTATILY REFRAINED FROM OFFERING PROMISSARY NOTES TO HIS CLIENTS SINCE 1996. CEASE AND DESIST ONLY EFFECTS SUCH NON REGISTERED PROMISSARY NOTES.



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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	APEX CAPITAL & SIGMA FINANCIAL CORP.
Allegations:	CLIENT ALLEGES THEY WERE SOLD UNSUITABLE INVESTMENTS, GIVEN THEIR OBJECTIVES & RISK EXPOSURE.
Product Type:	Other
Other Product Type(s):	SEPT. 1997 BOUGHT MCA MORTGAGE POOL INVESTMENTS WHICH LATER WENT INTO RECEIVERSHIP. IN MID-1999 BOUGHT BOTH LISTED OTC & LISTED EQUITES AND OPTIONS.
Alleged Damages:	\$200,000.00

Customer Complaint Information

Date Complaint Received:	08/08/2003
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	08/08/2003
Settlement Amount:	

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD 03-05437
Date Notice/Process Served:	08/08/2003
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/29/2004
Monetary Compensation Amount:	\$85,000.00



Individual Contribution Amount: \$40,000.00

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADING AND UNSUITABLE TRADES IN A SIGNED WRAP (MANAGED) ACCOUNT AGREEMENT.
CLIENT MAKES FURTHER CLAIMS AGAINST REGISTERED REP AND OUSIDE MONEY MANAGER WITH POOR PERFORMANCE RESULTS.

Product Type: Options

Other Product Type(s): WRAP ACCOUNT
MUTUAL FUNDS
OPTIONS - COVERED CALL WRITING
EQUITIES - LISTED & OTC, VARIOUS

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 05/23/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/10/2004

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 04-00630

Date Notice/Process Served: 03/10/2004

Arbitration Pending? No

Disposition: Settled



Disposition Date:	11/11/2004
Monetary Compensation Amount:	\$125,000.00
Individual Contribution Amount:	\$10,000.00



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

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

Disclosure 1 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: Client alleges that in 1997, he purchased investments that were unsuitable and misrepresented.

Product Type: Real Estate Security

Alleged Damages: \$137,000.00

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: 04/04/2022

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/06/2023

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: Client alleges that in 1997, he purchased investments that were unsuitable and misrepresented.



Product Type: Real Estate Security

Alleged Damages: \$137,000.00

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: 04/04/2022

Complaint Pending? No

Status: Denied

Status Date: 04/21/2022

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT DOES NOT SPECIFIC DAMAGE AMOUNT, BUT ALLEGES REGISTERED REP'S RECOMMENDATION TO PURCHASE VARIABLE ANNUITIES WAS UNSUITABLE. (DAMAGES AMT. ESTIMATED OVER \$5,000 BASED ON SURRENDER CHARGES IF CLIENT OPTED TO SURRENDER ALL OR PART OF VARIABLE ANNUITY POLICY).

Product Type: Annuity(ies) - Variable

Other Product Type(s): INSURANCE

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 12/20/2004

Complaint Pending? No



Status: Denied

Status Date: 01/06/2005

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SIGMA FINANCIAL CORPORATION

Allegations: CLIENT ALLEGES MISMANAGEMENT OF INVESTMENT ACCOUNT BY REGISTERED REP HAS CAUSED INVESTMENT LOSSES.

Product Type: Mutual Fund(s)

Other Product Type(s): MANAGED ACCOUNT (FEE BASED)
EQUITIES - OTC, LISTED
OPTIONS

Alleged Damages: \$720,000.00

Customer Complaint Information

Date Complaint Received: 05/24/2004

Complaint Pending? No

Status: Denied

Status Date: 06/22/2004

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: APEX CAPITAL

Allegations: UNSUITABLE RECOMMENDATIONS IN 1996&1997. PURCHASE OF (1)



INTERSTATE DIVERSIFIED 12% NOTE (2) ADN/MOTORMALL USA LLC NT
(FAILED IN 1998) (3) MCA PASS-THRU CERT #124 (FAILED IN 1999) (4)
OPPENHEIMER INTERNATIONAL BOND FUND-B.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s): MUTUAL FUNDS

Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 08/08/2003

Complaint Pending? No

Status: Denied

Status Date: 09/01/2003

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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