

BrokerCheck Report

HOSSEIN MOHAMMAD YEKANI

CRD# 1632842

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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



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

Thank you for using FINRA BrokerCheck.

HOSSEIN M. YEKANI

CRD# 1632842

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

NEW ENGLAND SECURITIES

CRD# 615
WOODLAND HILLS, CA
08/1988 - 02/2014

SIGNATOR INVESTORS, INC.

CRD# 468
BOSTON, MA
09/2004 - 03/2005

NYLIFE SECURITIES INC.

CRD# 5167
NEW YORK, NY
11/1987 - 07/1988

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	24



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 broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Direct Participation Programs Representative Examination	Series 22	02/17/1988
Investment Company Products/Variable Contracts Representative Examination	Series 6	10/07/1987

State Securities Law Exams

Exam	Category	Date
No information reported.		

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
08/1988 - 02/2014	NEW ENGLAND SECURITIES	615	WOODLAND HILLS, CA
09/2004 - 03/2005	SIGNATOR INVESTORS, INC.	468	BOSTON, MA
11/1987 - 07/1988	NYLIFE SECURITIES INC.	5167	NEW YORK, NY

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 Dates	Employer Name	Employer Location
08/2004 - Present	SIGNATOR INVESTORS, INC.	IRVINE, CA

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.INDEPENDENT INSURANCE AGENT (LIFE/ACCIDENT/HEALTH) FOR 1HR/WEEK DURING SECURITIES TRADING HOURS SINCE 2001. 2.SPEAKER/PRESENTER ANSWERING CALLERS QUESTIONS ON FINANCIAL SERVICES FOR 2HRS/WEEK DURING SECURITIES TRADING HOURS AND 1HR/WEEK EVENINGS/WEEKENDS SINCE 2004. 3.OWNER/GOING TO RENT 2 CONDOMINIUMS IN LAS VEGAS BEGAN 05/2010, 0HRS ACTIVITY



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	3	21	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 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE DID NOT EXPLAIN SURRENDER CHARGES WHEN A VARIABLE LIFE INSURANCE POLICY WAS PURCHASED IN FEBRUARY 2011. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
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: 06/23/2014



Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2014
Settlement Amount:	\$24,412.44
Individual Contribution Amount:	\$0.00

Disclosure 2 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NERW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE MISPRESENTED THE FEATURES OF HIS EXISTING LIFE INSURANCE POLICY WHEN HE WAS ADVISED TO PURCHASE A NEW VARIABLE LIFE INSURANCE POLICY IN OCTOBER 2010. CUSTOMER HAS ALLEGED DAMAGES FOR THE RETURN OF ALL PREMIUMS PAID AS NOTED BELOW.
Product Type:	Insurance
Alleged Damages:	\$17,400.00
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:	04/22/2014
Complaint Pending?	No
Status:	Settled
Status Date:	06/16/2014
Settlement Amount:	\$14,883.92
Individual Contribution Amount:	\$0.00



Disclosure 3 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE VARIABLE ANNUITY RECOMENDED BY THE REPRESENTATIVE IN MARCH 2012 WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/09/2013
Complaint Pending?	No
Status:	Settled
Status Date:	04/04/2014
Settlement Amount:	\$18,435.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE VARIABLE ANNUITY RECOMMENDED BY THE REPRESENTATIVE IN MARCH 2012 WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.



Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/09/2013
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/21/2014
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE'S RECOMMENDATION FOR A VARIABLE LIFE INSURANCE POLICY, ISSUED IN OCTOBER 2011, WAS NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	POTENTIAL DAMAGES WOULD EXCEED \$5,000.00
Is this an oral complaint?	No



Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 09/10/2012

Complaint Pending? No

Status: Settled

Status Date: 10/16/2012

Settlement Amount: \$7,500.00

**Individual Contribution
Amount:** \$0.00

Disclosure 5 of 7

Reporting Source: Broker

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

Allegations: CUSTOMERS ALLEGED THAT THE REPRESENTATIVE PROVIDED INCOMPLETE DISCLOSURE OF ALL RISKS ASSOCIATED WITH THE PURCHASE OF VARIABLE LIFE INSURANCE POLICIES IN JANUARY 2011. CUSTOMERS HAVE ALLEGED DAMAGES FOR THE RETURN OF ALL PREMIUMS PAID AS NOTED BELOW.

Product Type: Insurance

Alleged Damages: \$80,000.00

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: 04/25/2011

Complaint Pending? No

Status: Settled



Status Date: 06/27/2011
Settlement Amount: \$80,000.00
Individual Contribution Amount: \$0.00

Disclosure 6 of 7

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMERS ALLEGE THEY WERE SOLICITED BY THE REPRESENTATIVE TO TAKE OUT LOANS ON THEIR BUSINESS AND PERSONAL PROPERTIES IN ORDER TO FINANCE THE VARIABLE LIFE INSURANCE PREMIUMS BY INVESTING THEIR EQUITY IN AN ENTITY KNOWN AS "DLG". CUSTOMERS HAVE ALLEGED DAMAGES AS NOTED BELOW.

Product Type: Insurance
 Promissory Note

Alleged Damages: \$400,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 06/25/2010

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 12/17/2010

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court



Name of Court:	SUPERIOR COURT OF THE STATE OF CALIFORNIA
Location of Court:	COUNTY OF LOS ANGELES, CALIFORNIA
Docket/Case #:	BC450293
Date Notice/Process Served:	12/17/2010
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/31/2013
Monetary Compensation Amount:	\$400,000.00
Individual Contribution Amount:	\$0.00

Disclosure 7 of 7

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGES THE SEPTEMBER 2006 VARIABLE ANNUITY APPLICATION COMPLETED BY THE REPRESENTATIVE, CONTAINS FORGED INITIALS . NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$0.00

Customer Complaint Information

Date Complaint Received:	08/12/2008
Complaint Pending?	No
Status:	Settled
Status Date:	02/09/2009
Settlement Amount:	\$2,661.55
Individual Contribution Amount:	\$0.00



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 14

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	New England Securities
Allegations:	The customer alleged the advisor misrepresented the variable life insurance policy when purchased in July 2009.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	It is believed the potential damages would exceed the reporting threshold.
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:	01/04/2016
Complaint Pending?	No
Status:	Denied
Status Date:	01/26/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 14

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITY PURCHASED IN OCTOBER 2005. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
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:	10/21/2013
Complaint Pending?	No
Status:	Denied
Status Date:	11/19/2013
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 14

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMERS ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITIES PURCHASED IN 2005, 2006, 2007 & 2008. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Annuity-Variable



Alleged Damages: \$0.00
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: 04/05/2012
Complaint Pending? No
Status: Denied
Status Date: 05/01/2012
Settlement Amount:
**Individual Contribution
Amount:**

Disclosure 4 of 14

Reporting Source: Broker
**Employing firm when
activities occurred which led
to the complaint:** NEW ENGLAND SECURITIES

Allegations: CUSTOMER ALLEGED THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITY AND LIFE INSURANCE PURCHASED IN NOVEMBER 2007. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity-Variable
Insurance

Alleged Damages: \$0.00
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: 03/23/2012



Complaint Pending? No
Status: Denied
Status Date: 05/02/2012
Settlement Amount:
Individual Contribution Amount:

Disclosure 5 of 14

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES
Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE PROVIDED FALSE INFORMATION WHEN VARIABLE ANNUITIES WERE PURCHASED IN APPROXIMATELY APRIL 2008. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type: Annuity-Variable
Alleged Damages: \$0.00
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: 10/17/2011
Complaint Pending? No
Status: Closed/No Action
Status Date: 11/11/2011
Settlement Amount:
Individual Contribution Amount:

Disclosure 6 of 14



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMER ALLEGED THAT THE VARIABLE ANNUITIES AND VARIABLE LIFE INSURANCE, PURCHASED FROM THE REPRESENTATIVE IN MARCH, JUNE AND JULY 2008, WERE NOT APPROPRIATE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity-Variable Insurance

Alleged Damages: \$0.00

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: 05/27/2011

Complaint Pending? No

Status: Withdrawn

Status Date: 06/14/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 14

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE VARIABLE ANNUITY PURCHASED IN JUNE 2007. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity-Variable



Alleged Damages: \$0.00
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: 04/13/2011
Complaint Pending? No
Status: Denied
Status Date: 04/21/2011
Settlement Amount:
**Individual Contribution
Amount:**

Disclosure 8 of 14

Reporting Source: Broker
**Employing firm when
activities occurred which led
to the complaint:** NEW ENGLAND SECURITIES

Allegations: CUSTOMER ALLEGED THAT WHEN HE PURCHASED A VARIABLE ANNUITY IN DECEMBER 2006, THE REPRESENTATIVE ADVISED HIS PRINCIPAL WAS GUARANTEED. CUSTOMER HAS ALLEGED DAMAGES AS NOTED BELOW.

Product Type: Annuity-Variable
Alleged Damages: \$5,000.00
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: 02/11/2011
Complaint Pending? No



Status: Denied
Status Date: 03/02/2011
Settlement Amount:
Individual Contribution Amount:

Disclosure 9 of 14

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: NEW ENGLAND SECURITIES

Allegations: CUSTOMER ALLEGED THAT HE DISCUSSED AN INSURANCE POLICY WITH THE REPRESENTATIVE; HOWEVER, HE DID NOT CONSENT TO THE PURCHASE OF A VARIABLE LIFE INSURANCE POLICY IN AUGUST 2010 AND HE DID NOT AUTHORIZE ANYONE TO MAKE PREMIUM PAYMENTS ON HIS BEHALF. CUSTOMER HAS ALLEGED DAMAGES FOR THE RETURN OF ALL PREMIUMS PAID AS NOTED BELOW.

Product Type: Insurance
Alleged Damages: \$41,500.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/30/2010
Complaint Pending? No
Status: Closed/No Action
Status Date: 11/24/2010
Settlement Amount:
Individual Contribution Amount:
Broker Statement CUSTOMER WAS PERMITTED TO EXERCISE THE FREE LOOK CONTRACT PROVISION.



Disclosure 10 of 14

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMERS ALLEGE THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICIES PURCHASED IN FEBRUARY 2004 AND THE ALLOCATION OF THE SUBACCOUNTS WAS NOT SUITABLE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	\$0.00
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:	08/27/2010
Complaint Pending?	No
Status:	Denied
Status Date:	10/28/2010
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 11 of 14

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE FEATURES OF THE VARIABLE ANNUITY PURCHASED IN FEBRUARY 2009. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.



Product Type: Annuity-Variable
Alleged Damages: \$0.00
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: 07/19/2010
Complaint Pending? No
Status: Denied
Status Date: 09/27/2010
Settlement Amount:
**Individual Contribution
Amount:**

Disclosure 12 of 14

Reporting Source: Broker
**Employing firm when
activities occurred which led
to the complaint:** NEW ENGLAND SECURITIES
Allegations: CUSTOMERS ALLEGE THE FOUR VARIABLE ANNUITIES PURCHASED IN
AUGUST 2008 WERE MISREPRESENTED BY THE REPRESENTATIVE. NO
SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/05/2008
Complaint Pending? No
Status: Denied
Status Date: 12/23/2008
Settlement Amount:



**Individual Contribution
Amount:**

Disclosure 13 of 14

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC

Allegations: COMPLAINANT ALLEGES AGENT REPRESENTED POLICY AS BASED ON 97 YEARS BUT IS ACTUALLY BASED ON 79 YEARS

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/22/2008

Complaint Pending? No

Status: Denied

Status Date: 10/31/2008

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SIGNATOR INVESTORS, INC

Allegations: COMPLAINTANT ALLEGES AGENT REPRESENTED POLICY AS BASED ON 97 YEARS BUT IS ACTUALLY BASED ON 79 YEARS

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/22/2008

Complaint Pending? No



Status: Denied
Status Date: 10/31/2008
Settlement Amount:
Individual Contribution Amount:

Disclosure 14 of 14

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: NEW ENGLAND FINANCIAL
Allegations: CLIENT ALLEGES THAT IN 1999 MR. YEKANI MADE SEVERAL UNUSUAL TRANSACTIONS IN HER ACCOURTS WITHOUT HER AUTHORIZATION.
Product Type: Other
Other Product Type(s): MARGIN ACCOUNT
Alleged Damages: \$73,000.00

Customer Complaint Information

Date Complaint Received: 02/28/2005
Complaint Pending? No
Status: Denied
Status Date: 04/26/2005
Settlement Amount:
Individual Contribution Amount:



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:	New England Securities
Allegations:	The Customer alleged negligent and intentional misrepresentation and omission, fraud, conversion on the part of the registered representative related to the solicitation and servicing of the customer's variable annuity.
Product Type:	Annuity-Variable
Alleged Damages:	\$651,319.00
Alleged Damages Amount Explanation (if amount not exact):	Additional amounts related to commission, fees, reasonable return, HELOC interest, costs of arbitration , and attorney fees to be determined and proved at the hearing.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-03584
Date Notice/Process Served:	11/01/2018
Arbitration Pending?	Yes

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	New England Securities
Allegations:	Claimant alleged the former registered representative omitted material facts when a variable annuity was purchased in February 2007.
Product Type:	Annuity-Variable



Alleged Damages: \$132,857.28

Arbitration Information

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

Docket/Case #: 18-03122

Date Notice/Process Served: 09/14/2018

Arbitration Pending? Yes

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: New England Securities

Allegations: Claimants allege the variable annuities recommended by the former advisor in April 2008, approximately, were not appropriate.

Product Type: Annuity-Variable

Alleged Damages: \$275,215.18

Arbitration Information

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

Docket/Case #: 17-00851

Date Notice/Process Served: 05/24/2017

Arbitration Pending? Yes

End of Report



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