

## BrokerCheck Report

**DONALD HANNAHS**

CRD# 1661717

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8
Disclosure Events	9



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

Please contact FINRA with any concerns.

## About BrokerCheck®

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).

**DONALD HANNAHS**

CRD# 1661717

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

**IA OSAIC WEALTH, INC.**  
 ONE COLUMBUS CENTER  
 SUITE 800  
 VIRGINIA BEACH, VA 23462  
 CRD# 23131  
 Registered with this firm since: 01/24/2025

**B OSAIC WEALTH, INC.**  
 ONE COLUMBUS CENTER  
 SUITE 800  
 VIRGINIA BEACH, VA 23462  
 CRD# 23131  
 Registered with this firm since: 01/24/2025

**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
- 8 U.S. states and territories

**This broker has passed:**

- 0 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):**

- IA OSAIC FA, INC.**  
 CRD# 3978  
 FORT WAYNE, IN  
 08/2021 - 01/2025
- B OSAIC FA, INC.**  
 CRD# 3978  
 VIRGINIA BEACH, VA  
 08/2021 - 01/2025
- B WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC**  
 CRD# 130139  
 PLYMOUTH, MN  
 07/2019 - 08/2021

**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	3



## 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 8 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	Corporate Securities Represent	Approved	01/24/2025
B	FINRA	Direct Participation Programs	Approved	01/24/2025
B	FINRA	General Securities Representative	Approved	01/24/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	01/24/2025

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/24/2025
B	Connecticut	Agent	Approved	01/24/2025
B	Florida	Agent	Approved	01/24/2025
B	Maryland	Agent	Approved	01/24/2025
B	North Carolina	Agent	Approved	01/24/2025
B	South Carolina	Agent	Approved	01/24/2025
B	Texas	Agent	Approved	01/24/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/24/2025
B	Virginia	Agent	Approved	01/24/2025

Broker Qualifications



Employment 1 of 1, continued

U.S. State/ Territory		Category	Status	Date
IA	Virginia	Investment Adviser Representative	Approved	01/24/2025

Branch Office Locations

OSAIC WEALTH, INC.  
ONE COLUMBUS CENTER  
SUITE 800  
VIRGINIA BEACH, VA 23462

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## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 0 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/01/1999
<b>B</b> Corporate Securities Limited Representative Examination	Series 62	07/07/1988
<b>B</b> Direct Participation Programs Representative Examination	Series 22	08/14/1987
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	05/01/1987

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	07/07/1992
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/10/1987

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



## Broker Qualifications

### Professional Designations

This section details that the representative has reported **1** professional designation(s).

#### Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	08/2021 - 01/2025	OSAIC FA, INC.	3978	VIRGINIA BEACH, VA
B	08/2021 - 01/2025	OSAIC FA, INC.	3978	VIRGINIA BEACH, VA
B	07/2019 - 08/2021	WEALTH ENHANCEMENT BROKERAGE SERVICES, LLC	130139	PLYMOUTH, MN
IA	07/2019 - 08/2021	WEALTH ENHANCEMENT ADVISORY SERVICES, LLC	116407	VIRGINIA BEACH, VA
B	07/2019 - 08/2021	LPL FINANCIAL LLC	6413	VIRGINIA BEACH, VA
IA	11/2010 - 09/2019	PLANNING SOLUTIONS GROUP, LLC	154118	FULTON, MD
B	11/2010 - 07/2019	TRIAD ADVISORS LLC	25803	Fulton, MD
IA	08/2011 - 02/2018	TRIAD ADVISORS, LLC	25803	Fulton, MD
B	01/2000 - 11/2010	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	VIRGINIA BEACH, VA
IA	09/1999 - 11/2010	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	VIRGINIA BEACH, VA
B	02/2002 - 05/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	VIENNA, VA
B	06/1998 - 12/1999	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B	05/1987 - 06/1998	CIGNA FINANCIAL ADVISORS, INC.	145	RADNOR, PA

### Employment History





## Registration and Employment History

### Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
01/2025 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	VIRGINIA BEACH, VA, United States
08/2021 - 01/2025	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	VIRGINIA BEACH, VA, United States
07/2019 - 08/2021	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	VIRGINIA BEACH, FL, United States
07/2019 - 08/2021	Wealth Enhancement Advisory Services, LLC	Investment Adviser Representative	Y	VIRGINIA BEACH, MN, United States
07/2019 - 08/2021	Wealth Enhancement Brokerage Services	Registered Representative	Y	PLYMOUTH, MN, United States
07/2019 - 08/2021	Wealth Enhancement Group	SVP Financial Advisor	Y	Plymouth, MN, United States
11/2010 - 07/2019	PLANNING SOLUTIONS, GROUP, LLC	PARTNER	Y	FULTON, MD, United States
11/2010 - 07/2019	TRIAD ADVISORS, INC	REGISTERED REPRESENTATIVE	Y	NORCROSS, GA, United States

### Other Business Activities

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

1) VIRGINIA BEACH PUBLIC SCHOOL ADULT LEARNING CENTER  
 VIRGINIA BEACH, VA 41027  
 CATEGORY: TEACHER/INSTRUCTOR  
 INVESTMENT-RELATED: NO  
 TITLE: TEACHER  
 DUTIES: TEACH ADULT EDUCATION COURSES.  
 START DATE: 09/2021  
 HOURS PER MONTH: 2  
 HOURS PER MONTH DURING TRADING HOURS: 1

2) OCEANSIDE FINANCIAL STRATEGIES,



## Registration and Employment History

### Other Business Activities, continued

283 CONSTITUTION DRIVE

SUITE #800

VIRGINIA BEACH, VA 23462

CATEGORY: INSURANCE

INVESTMENT-RELATED: YES

TITLE: AGENT

DUTIES: OFFER AND SERVICE FIXED INSURANCE PRODUCTS SUCH AS FIXED ANNUITIES, HEALTH SAVINGS ACCOUNTS, GROUP HEALTH BENEFITS, FIXED LIFE SETTLEMENTS, DISABILITY, LONG-TERM CARE, AND TRADITIONAL LIFE INSURANCE.

START DATE: 08/2021

HOURS PER MONTH: 1

HOURS PER MONTH DURING TRADING HOURS: 1

3) DONALD HANNAHS LLC,

VIRGINIA BEACH VA

CATEGORY: LEGAL ENTITY/LLC

INVESTMENT RELATED: NO

TITLE: OWNER

DUTIES: ENTITY CREATED TO PAY BUSINESS EXPENSES

START DATE: 01/2023

HOURS PER MONTH: 2

HOURS PER MONTH DURING TRADING HOURS: 0

4) DONALD HANNAHS LLC,

VIRGINIA BEACH VA

CATEGORY: LEGAL ENTITY/LLC

INVESTMENT RELATED: NO

TITLE: OWNER

DUTIES: ENTITY CREATED TO PAY BUSINESS EXPENSES

START DATE: 01/2023

HOURS PER MONTH: 1

HOURS PER MONTH DURING TRADING HOURS: 0

## 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
Customer Dispute	0	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 1

<b>Reporting Source:</b>	Regulator
<b>Employing firm when activities occurred which led to the complaint:</b>	CIGNA FINANCIAL ADVISORS, INC.
<b>Allegations:</b>	EXECUTIONS-OTHER; MISREPRESENTATION
<b>Product Type:</b>	
<b>Alleged Damages:</b>	\$113,616.00
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	UNKNOWN - CASE #96-00669
<b>Date Notice/Process Served:</b>	02/27/1996
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/10/1996
<b>Disposition Detail:</b>	CASE CLOSED, SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;



ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 PUNITIVE/EXEMPLARY DAMAGES, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
 AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
 AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD  
 AMOUNT  
 JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS  
 WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,  
 AWARD  
 AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST  
 IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;  
 ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC,  
 AWARD  
 AMOUNT JOINTLY AND SEVERALLY

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CIGNA FINANCIAL ADVISORS, INC.

**Allegations:** INAPPROPRIATE RECOMMENDATION TO DIVEST  
 \$100,000.00 OF INTEREST FROM FIDELITY MAGELLAN FUND.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$113,616.00

### Customer Complaint Information

**Date Complaint Received:** 02/27/1996

**Complaint Pending?** No

**Status:** Arbitration/Reparation



<b>Status Date:</b>	10/10/1996
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Arbitration Information</b>	
<b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b>	NATIONAL ASSOC. OF SECURITIES DEALERS; 96-00669
<b>Date Notice/Process Served:</b>	02/27/1996
<b>Arbitration Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	10/10/1996
<b>Monetary Compensation Amount:</b>	\$45,000.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	CASE SETTLED FOR \$45,000.00 RECEIVED STIPULATION OF DISMISSAL WITH PREJUDICE. NOT PROVIDED



## 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 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS CORPORATION
<b>Allegations:</b>	THE CLIENT'S POA ALLEGED THAT UNAUTHORIZED TRADES WERE CONDUCTED IN SEPTEMBER 2009 AND THAT INSTRUCTIONS WERE NOT FOLLOWED TO RETURN AFTER-TAX MONIES THAT WERE MISTAKENLY PLACED INTO THE TRUST ACCOUNT.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/14/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	10/12/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

### Disclosure 2 of 2



<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS CORP
<b>Allegations:</b>	IN AN ELECTRONIC COMMUNICATION, EXPRESSING DISTRESS DUE TO NOT RECEIVING TRANSACTION CONFIRMATION STATES FOR NOVEMBER 9, 2007 TRADES, THE CLIENT CLAIMED THE REPRESENTATIVE "STEALS PEOPLES PENSION MONEY".
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Customer Complaint Information</b>	
<b>Date Complaint Received:</b>	12/06/2007
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/07/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	CLAIM DENIED. AFTER EXTENSIVE REVIEW BY LINCOLN, NO EVIDENCE OF DISCREPANCIES OR INAPPROPRIATE ACTIVITIES BY REPRESENTATIVE WERE FOUND. ADDITIONALLY, LINCOLN'S REVIEW REVEALED THAT THE REPRESENTATIVE'S ACTIONS IN REGARDS TO DEALING WITH THE CLIENT WERE ETHICAL, PROFESSIONAL AND IN ACCORDANCE WITH STANDARDS GOVERNING INVESTMENT PLANNING FUNDAMENTALS AND PRACTICES.



## End of Report



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