

BrokerCheck Report

THOMAS JOSEPH LOGUE JR

CRD# 1700554

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

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

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

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

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

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- 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.

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

THOMAS J. LOGUE JR

CRD# 1700554

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:

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

Registration History

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

- B AMERICAN INDEPENDENT SECURITIES GROUP, LLC**
CRD# 135288
Hinsdale, IL
07/2014 - 06/2017
- B INVESTORS CAPITAL CORP.**
CRD# 30613
HINSDALE, IL
11/2011 - 08/2014
- B FIRST MIDWEST SECURITIES, INC.**
CRD# 21786
HINSDALE, IL
04/2004 - 12/2011

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	2
Customer Dispute	9

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/05/1994

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	06/26/2017
B General Securities Representative Examination	Series 7	07/18/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/05/2014
B Uniform Securities Agent State Law Examination	Series 63	01/10/1992

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/.



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 07/2014 - 06/2017	AMERICAN INDEPENDENT SECURITIES GROUP, LLC	135288	Hinsdale, IL
B 11/2011 - 08/2014	INVESTORS CAPITAL CORP.	30613	HINSDALE, IL
B 04/2004 - 12/2011	FIRST MIDWEST SECURITIES, INC.	21786	HINSDALE, IL
B 01/2002 - 04/2004	EDWIN C. BLITZ INVESTMENTS, INC.	7638	EVANSTON, IL
B 02/2001 - 01/2002	DREHER & ASSOCIATES, INC.	8665	OAKBROOK TERRACE, IL
B 01/1995 - 02/2001	FOX & HENRY, INC.	10210	BURR RIDGE, IL
B 08/1993 - 01/1995	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
B 05/1991 - 10/1993	CHUBB SECURITIES CORPORATION	3870	FORT WAYNE, IN
B 03/1990 - 05/1991	AMERICAN CAPITAL CORPORATION	16124	VALLEY FORGE, PA

Employment History

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
07/2014 - Present	AMERICAN INDEPENDENT SECURITIES GROUP, LLC	REGISTERED REPRESENTATIVE	Y	EAGLE, ID, United States
05/2002 - Present	LOGUE FINANCIAL PLANNING	OWNER	Y	HINSDALE, IL, United States
11/2011 - 07/2014	INVESTORS CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	LYNNFIELD, MA, 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.

DBA LOGUE FINANCIAL PLANNING. 15 SPINNING WHEEL ROAD, SUITE 232, HINSDALE, IL 60521***FIXED INSURANCE. LOGUE FINANCIAL PLANNING. 15 SPINNING WHEEL ROAD, SUITE 232 HINSDALE, IL 60521. INSURANCE. AGENT. 03/1988. HRS/MONTH: 10 HRS/TRADING: 10*** RIA. THOMAS JOSEPH LOGUE, JR. 15 SPINNING WHEEL ROAD #232 HINSDALE, IL 60521. ADVISOR. 1989. HRS/MONTH: 160 HRS/TRADING: 160 ***RENTAL PROPERTY. THOMAS J.LOGUE. 15 SPINNING WHEEL ROAD SUITE 232, HINSDALE, IL 60521. RENTAL PROPERTY. OWNER/LANDLORD. 05/2006. HRS/MONTH: 1 HRS/TRADING: 1***TORCH LAKE INDUSTRIES. 15 SPINNING WHEEL ROAD #232 HINSDALE, IL 60251. SANDMINE; REAL ESTATE OWNER. 4/2013. HRS/MONTH: 5 HRS/TRADING: 2



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
Regulatory Event	1	1	0
Customer Dispute	0	9	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:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/14/2018
Docket/Case Number:	2018057025501
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	Other: Unspecified Securities
Allegations:	Without admitting to or denying the findings, Logue consented to the sanction and to the entry of findings that he refused to appear for FINRA on-the-record testimony, in connection with an investigation of Logue's trading activities while he was registered with his member firm to determine whether he engaged in conduct that violated federal securities laws or regulations or FINRA rules.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/14/2018

Sanctions Ordered:

Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	09/14/2018
End Date:	



Regulatory - Pending

This type of disclosure event involves a pending formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory agency such as the Securities and Exchange Commission, foreign financial regulatory body) for alleged violations of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	STATE OF ILLINOIS, ILLINOIS SECURITIES DEPARTMENT
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Prohibition Restitution Other: NOTICE OF HEARING
Date Initiated:	07/16/2019
Docket/Case Number:	1700643
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	LOGUE FINANCIAL PLANNING D/B/A THOMAS JOSEPH LOGUE, JR.
Product Type:	No Product
Allegations:	FINRA AND RESPONDENT LOGUE ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT (THE "AWC") WHICH PERMANENTLY BARRED RESPONDENT LOGUE FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR VIOLATING FINRA RULES 8210 & 2010 AND THEREFORE, SECTION 8.E (1)(J) OF THE ILLINOIS SECURITIES ACT. FURTHERMORE, RESPONDENT FAILED TO PRODUCE DOCUMENTS REQUESTED PURSUANT TO SUBPOENA ISSUED BY THE ILLINOIS SECRETARY OF STAT IN VIOLATION OF SECTION 11.D OF THE ACT.,
Current Status:	Pending
Limitation Details:	FINRA AND RESPONDENT LOGUE ENTERED INTO A LETTER OF ACCEPTANCE, WAIVER AND CONSENT (THE "AWC") WHICH PERMANENTLY BARRED RESPONDENT LOGUE FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY.



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Regulator Statement

NOTICE OF HEARING WAS ISSUED ON JULY 16, 2019. THE HEARING IS SCHEDULE FOR SEPTEMBER 12, 2019. CONTACT 312-793-3384.



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:	American Independent Securities Group, LLC
Allegations:	Unsuitable transaction
Product Type:	Debt-Asset Backed
Alleged Damages:	\$1,588,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	20-00906
Filing date of arbitration/CFTC reparation or civil litigation:	03/19/2020

Customer Complaint Information

Date Complaint Received:	03/26/2020
Complaint Pending?	No
Status:	Settled
Status Date:	08/05/2020
Settlement Amount:	\$450,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 7

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: American Independent Securities Group, LLC

Allegations: Unsuitable Transactions

Product Type: Debt-Asset Backed

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? Yes

Arbitration/Reparation forum or court name and location: FINRA Arbitration

Docket/Case #: 19-02485

Filing date of arbitration/CFTC reparation or civil litigation: 08/23/2019

Customer Complaint Information

Date Complaint Received: 08/29/2019

Complaint Pending? No

Status: Settled

Status Date: 08/02/2021

Settlement Amount: \$355,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: American Independent Securities Group, LLC

Allegations: Unsuitability and breach of fiduciary duty.

Product Type: Debt-Asset Backed



Alleged Damages: \$200,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 19-01193

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 04/30/2019

Customer Complaint Information

Date Complaint Received: 05/06/2019

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/06/2019

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

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

Docket/Case #: 19-01193

Date Notice/Process Served: 05/06/2019

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/24/2020

**Monetary Compensation
Amount:** \$50,000.00



Individual Contribution Amount: \$0.00

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: American Independent Securities Group, LLC

Allegations: Unsuitable Investment Recommendations

Product Type: Debt-Asset Backed

Alleged Damages: \$2,187,269.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-03353

Filing date of arbitration/CFTC reparation or civil litigation: 09/27/2018

Customer Complaint Information

Date Complaint Received: 10/02/2018

Complaint Pending? No

Status: Settled

Status Date: 02/24/2020

Settlement Amount: \$300,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 7

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: American Independent Securities Group, LLC

Allegations: Client is claiming all transactions Mr. Logue made are unsuitable and requesting them all to be rescinded.

Product Type: Debt-Asset Backed

Alleged Damages: \$127,520.30

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: Arbitration

Docket/Case #: 18-00424

Filing date of arbitration/CFTC reparation or civil litigation: 02/09/2018

Customer Complaint Information

Date Complaint Received: 12/08/2017

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 02/09/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 18-00424

Date Notice/Process Served: 02/09/2018

Arbitration Pending? No



Disposition:	Settled
Disposition Date:	10/26/2018
Monetary Compensation Amount:	\$80,000.00
Individual Contribution Amount:	\$0.00

Disclosure 6 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	American Independent Securities Group, LLC
Allegations:	[Customer Name] claims Mr. Logue misrepresented the investments they purchased. Client claims the transaction were unsuitable.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$35,114.12
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:	09/25/2017
Complaint Pending?	No
Status:	Settled
Status Date:	12/12/2017
Settlement Amount:	\$23,500.00
Individual Contribution Amount:	\$0.00

Disclosure 7 of 7

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: FIRST MIDWEST SECURITIES, INC.

Allegations: UNAUTHORIZED TRADING

Product Type: Options

Alleged Damages: \$14,873.03

Customer Complaint Information

Date Complaint Received: 02/22/2006

Complaint Pending? No

Status: Settled

Status Date: 03/06/2006

Settlement Amount: \$14,873.03

Individual Contribution Amount: \$14,873.03

Broker Statement CLIENT AND MR. LOGUE CONVERSED REPEATEDLY FROM THE TIME THE ORDER WAS PLACED UNTIL THE OPTION EXPIRATION DATE. THE CLIENT COMPLAINED ONLY AFTER THE OPTIONS EXPIRED WORTHLESS. COST OF SETTLEMENT WAS CHEAPER THAN PROVING INNOCENCE.



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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	American Independent Securities Group, LLC
Allegations:	Client believes Mr. Logue misrepresented the investment that were sold to them. They believe all of the investments were unsuitable.
Product Type:	Debt-Asset Backed
Alleged Damages:	\$188,025.76
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:	02/16/2018
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	06/18/2018
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	American Independent Securities Group, LLC



Allegations: [customer]is questioning why his bonds where sold for a loss.
Product Type: Debt-Asset Backed
Alleged Damages: \$25,617.82
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: 07/17/2017
Complaint Pending? No
Status: Closed/No Action
Status Date: 08/05/2017
Settlement Amount:
**Individual Contribution
Amount:**

End of Report



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