BrokerCheck Report

LYNNE MARIE RACH

CRD# 1723996

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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.

LYNNE M. RACH

CRD# 1723996

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

WILLOW COVE INVESTMENT GROUP, INC.
SAN DIEGO, CA
CRD# 107824
Registered with this firm since: 01/09/2015

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
- 6 U.S. states and territories

This broker has passed:

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

Registration History

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

DAKOTA SECURITIES INTERNATIONAL, INC.
CRD# 132700
MIAMI, FL
11/2017 - 08/2018

INTEGRITY BROKERAGE SERVICES, INC.
CRD# 117589
SEATTLE, WA
01/2018 - 05/2018

DAKOTA SECURITIES INTERNATIONAL, INC.
CRD# 132700
MIAMI, FL
07/2016 - 03/2017

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	2

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

Employment 1 of 1

Firm Name: **WILLOW COVE INVESTMENT GROUP, INC.**

Main Office Address: **5887 T BAR LANE**
WINNECONNE, WI 54986

Firm CRD#: **107824**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	01/09/2015
B	FINRA	General Securities Principal	Approved	01/09/2015
B	FINRA	General Securities Representative	Approved	01/09/2015
B	FINRA	Operations Professional	Approved	01/09/2015
B	FINRA	Registered Options Principal	Approved	01/09/2015
B	FINRA	Securities Trader	Approved	01/04/2016

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	09/26/2018
B	California	Agent	Approved	01/12/2015
B	Florida	Agent	Approved	01/09/2015
B	New York	Agent	Approved	10/15/2024
B	North Carolina	Agent	Approved	03/19/2025
B	Wyoming	Agent	Approved	05/10/2024

Branch Office Locations

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Broker Qualifications

Employment 1 of 1, continued

WILLOW COVE INVESTMENT GROUP, INC.
SAN DIEGO, CA

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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 3 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	Financial and Operations Principal Examination	Series 27	06/16/2014
B	Registered Options Principal Examination	Series 4	05/14/2007
B	General Securities Principal Examination	Series 24	03/28/2000

General Industry/Product Exams

Exam		Category	Date
B	Operations Professional Examination	Series 99TO	01/02/2023
B	Securities Trader Exam	Series 57TO	01/02/2023
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Limited Representative-Equity Trader Exam	Series 55	02/13/2002
B	General Securities Representative Examination	Series 7	09/20/1996

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	10/13/1987

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	11/2017 - 08/2018	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
B	01/2018 - 05/2018	INTEGRITY BROKERAGE SERVICES, INC.	117589	SEATTLE, WA
B	07/2016 - 03/2017	DAKOTA SECURITIES INTERNATIONAL, INC.	132700	MIAMI, FL
B	08/2012 - 12/2014	WORLD TRADE FINANCIAL CORPORATION	42638	SAN DIEGO, CA
B	12/2011 - 08/2012	VIEWPOINT SECURITIES, LLC	104226	SAN DIEGO, CA
B	09/2001 - 11/2011	CAPITAL GROWTH RESOURCES	7779	EL CAJON, CA
B	04/2001 - 11/2001	STOCK USA, INC.	40687	EL CAJON, CA
B	04/2001 - 05/2001	TORREY PINES SECURITIES, INC.	17120	SAN DIEGO, CA
B	07/2000 - 12/2000	KIRLIN SECURITIES INC.	21210	SYOSSET, NY
B	01/2000 - 07/2000	HAMPTON-PORTER, INVESTMENT BANKERS, A CALIFORNIA LLC	42949	SAN DIEGO, CA
B	11/1998 - 01/2000	GRANITE FINANCIAL GROUP, INC.	44732	SAN DIEGO, CA
B	11/1996 - 09/1998	TORREY PINES SECURITIES, INC.	17120	SAN DIEGO, CA
B	09/1996 - 10/1996	GUSTAFSON FINANCIAL, INC.	16194	SAN DIEGO, CA
B	07/1994 - 08/1994	PRESIDENTIAL BROKERAGE, INC.	28784	AUSTIN, TX
B	12/1992 - 07/1994	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY
B	08/1990 - 08/1992	THOMAS JAMES ASSOCIATES, INC.	15609	ROCHESTER, NY
B	05/1990 - 08/1990	FIRST WALL STREET CORP.	13024	LA JOLLA, CA
B	04/1989 - 03/1990	J. W. GANT & ASSOCIATES, INC.	7963	
B	08/1987 - 10/1989	F.D. ROBERTS SECURITIES, INC.	693	
B	03/1989 - 04/1989	THE STUART-JAMES COMPANY, INCORPORATED	11691	DENVER, CO

Employment History

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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
01/2018 - Present	Integrity Brokerage Services, Inc.	Various Managment	Y	La Jolla, CA, United States
11/2017 - Present	Dakota Securities International, Inc.	Options Principal	Y	Miami, FL, United States
01/2015 - Present	WILLOW COVE INVESTMENT GROUP, INC.	REGISTERED PRINCIPAL	Y	SAN DIEGO, CA, 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. WILLOW COVE INVESTMENT GROUP INC.
2824 MOBLEY STREET
SAN DIEGO, CA 92123
INSURANCE SALES--LIFE AGENT
12/2015--WILL DEVOTE 3-5 HOURS PER MONTH WITH ALL BUSINESS CONDUCTED AFTER SECURITIES TRADING HOURS. DUTIES INCLUDED THE SALE & SERVICE OF FIXED ANNUITIES & LIFE INSURANCE PRODUCTS. THIS IS INVESTMENT RELATED.
2. FSA Integrated, LLC
9404 Genesee Ave. #330
La Jolla, CA. 92037
5/31/2018--Will devote approximately 6 hours per week for this work during market hours. An administrative assistant for FSA Integrated an IAR business. Will be filing and preparing various paperwork for his business. Will be paid a salary. This is investment related.

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Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

2. **Certain thresholds must be met before an event is reported to CRD, for example:**
   - 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	2	0
Customer Dispute	0	2	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/08/1995
Docket/Case Number:	C02920058
Employing firm when activity occurred which led to the regulatory action:	H.J. MEYERS & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/08/1995
Sanctions Ordered:	Revocation/Expulsion/Denial

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Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	**********NASD REGISTRATION REVOKED ON 2/08/95********** **********FOR NON-PAYMENT OF FINES AND/OR COST********** **********IN NASD COMPLAINT #CO2920058********** ********** **********REVOCATION RESCINDED ON 12/08/95********** **********FINE OF $377.14 PAID ON 12/08/95**********

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/08/1995
Docket/Case Number:	C02920058
Employing firm when activity occurred which led to the regulatory action:	H.J. MEYERS & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	NON-PAYMENT OF FINE
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/08/1995
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	REVOCATION WAS RESCINDED
Broker Statement	THE BALANCED OWED ON MY $5,000 FINE WAS $377.15. I THOUGHT I PAID IT OFF. I MOVED & NEVER FORWARDED MY ADDRESS, WHEN I DID RECEIVE NOTICE I PAID BALANCE IN FULL

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Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/24/1992
Docket/Case Number:	C02920058
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	11/30/1993
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. C02920058 (DISTRICT NO. 2) FILED DECEMBER 24, 1992 AGAINST RESPONDENT LYNN MARIE RACH ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT RACH EXECUTED UNAUTHORIZED TRANSACTIONS IN THE ACCOUNT OF A PUBLIC CUSTOMER. AMENDED COMPLAINT FILED MAY 3, 1993 IN ORDER TO ADD THAT RESPONDENT RACH ALSO EXECUTED UNAUTHORIZED TRANSACTIONS IN THREE SEPARATE TRUST ACCOUNTS. ON NOVEMBER 30, 1993, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT RACH WAS ISSUED;

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THEREFORE, SHE IS CENSURED, FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE BUSINESS DAYS, AND ORDERED TO REQUALIFY BY EXAMINATION IN ANY CAPACITY THAT SHE SEEKS TO BECOME ASSOCIATED.

PRESS RELEASE JANUARY 1994: THE SUSPENSION WILL COMMENCE WITH THE OPENING OF BUSINESS JANUARY 17, 1994 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS JANUARY 21 1994.

Reporting Source:	Broker
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/24/1992
Docket/Case Number:	C02920058
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	UNAUTHORIZED TRANSACTIONS IN CUSTOMER ACCOUNTS
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	11/30/1993
Sanctions Ordered:	Censure Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SANCTIONS A FIVE DAY SUSPENSION. REQUALIFY BY EXAMINATION & % $5000 FINE
Broker Statement	Not Provided

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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:	CAPITAL GROWTH RESOURCES
Allegations:	ALLEGED UNSUITABLE RECOMMENDATIONS. IN NOVEMBER OF 2006 [CUSTOMER] BECAME VERY ANGRY BECAUSE THE REPRESENTATIVE TOLD HIM THAT HE FORGOT A CONVERSATION. HE NEVER ALLEGED HE WAS NOT SUITABLE AND STATED HE WAS A VERY EXPERIENCED AND QUALIFIED INVESTOR PRIOR TO THAT CONVERSATION.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)
Other Product Type(s):	VARIOUS STOCKS
Alleged Damages:	$100,000.00

Customer Complaint Information

Date Complaint Received:	12/26/2006
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/17/2007
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	ARBITRATION NUMBER 07-02903
Date Notice/Process Served:	12/26/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/15/2008

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Monetary Compensation Amount:	$92,500.00
Individual Contribution Amount:	$0.00
Broker Statement	THE DECISION TO SETTLE THE CLAIM WAS TO AVOID FURTHER LEGAL COSTS AND MINIMIZE RISK. THIS DECISION WAS AGAINST WHAT I FELT TO BE FITTING AS I FIRMLY BELIEVE THAT I ACTED BOTH PRUDENTLY AND APPROPRIATELY. EACH INVESTMENT RECOMMENDATION WAS SUITABLE AND MET THE INVESTMENT OBJECTIVES BASED UPON THE INFORMATION PROVIDED TO ME BY THE CLAIMANTS.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	THOMAS JAMES ASSOCIATES, INC.
Allegations:	UNAUTHORIZED TRADING; CHURNING; MISREPRESENTATION; OMISSION OF FACTS
Product Type:	
Alleged Damages:	$45,246.54

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	UNKNOWN - CASE #94-02142
Date Notice/Process Served:	09/07/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	
Disposition Detail:	CASE CLOSED,SETTLED/OTHER 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; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS

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WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD
AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: H.J. MEYERS & CO., INC.

Allegations: MISREPRESENTATION, ANAUTHORIZED TRANSACTIONS

Product Type: Other

Other Product Type(s): NOT SPECIFIED

Alleged Damages: $35,000.00

Customer Complaint Information

Date Complaint Received: 09/01/1992

Complaint Pending? Yes

Status:

Status Date: 09/01/1992

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THOMAS JAMES ASSOCIATES, INC.

Allegations: UNAUTHORIZED TRADING, MISREPRESENTATION, OMISSION OF FACTS & DAMAGES OF $45,246.54

Product Type:

Alleged Damages: $45,246.54

Customer Complaint Information

Date Complaint Received:

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Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	09/07/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 94-02142
Date Notice/Process Served:	09/07/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	
Broker Statement	I NEVER WENT ARBITRATION, THOMAS JAMES WAS ALSO NAMED IN MATTER, I BELIEVE THEY SETTLED WITH [CUSTOMER] FAMILY TRUST. AMOUNT & DATE ARE UNKNOWN TO MYSELF. NOT PROVIDED

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End of Report

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