BrokerCheck Report

WILLIAM WALTER GAMMON

CRD# 1811853

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.

WILLIAM W. GAMMON

CRD# 1811853

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
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **AMERIPRISE FINANCIAL SERVICES, LLC**
CRD# 6363
Hunt Valley, MD
02/2010 - 08/2020

B **CENTAURUS FINANCIAL, INC.**
CRD# 30833
TOWSON, MD
05/2007 - 02/2010

B **QUESTAR CAPITAL CORPORATION**
CRD# 43100
TOWSON, MD
12/2006 - 05/2007

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	27

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. 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, 4 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	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	03/11/1998
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	10/07/1997
B	National Commodity Futures Examination	Series 3	04/25/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	06/15/1998
B	Uniform Securities Agent State Law Examination	Series 63	10/17/1997

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	02/2010 - 08/2020	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Hunt Valley, MD
B	05/2007 - 02/2010	CENTAURUS FINANCIAL, INC.	30833	TOWSON, MD
B	12/2006 - 05/2007	QUESTAR CAPITAL CORPORATION	43100	TOWSON, MD
B	08/2001 - 12/2006	USALLIANZ SECURITIES, INC.	40875	TOWSON, MD
B	11/1997 - 09/2001	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B	02/1990 - 03/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B	03/1988 - 02/1990	SHEARSON LEHMAN HUTTON INC.	7506	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	Employer Name	Position	Investment Related	Employer Location
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Hunt Valley, MD, United States
02/2010 - Present	Ameriprise Financial Services, Inc.	Registered Rep	Y	Timonium, MD, 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.

No information reported.

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.
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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	27	N/A

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.

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 21

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc. and Ameriprise Financial Services, Inc.
Allegations:	The customers allege that during the period of 2007 through 2010, the Registered Representative recommended complex, high-risk, and illiquid investments and breached his fiduciary duty.
Product Type:	Real Estate Security
Alleged Damages:	$450,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-02179
Filing date of arbitration/CFTC reparation or civil litigation:	08/08/2023

Customer Complaint Information

Date Complaint Received:	08/15/2023

Complaint Pending?	No
Status:	Settled
Status Date:	10/09/2024
Settlement Amount:	$11,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc. and Ameriprise Financial Services, LLC
Allegations:	Claimants allege that their former advisor recommended large, concentrated positions in high-risk, high-commission, and complex illiquid investment products and non-traded securities including various REITs, UITs and Closed-End Funds.
Product Type:	Real Estate Security Unit Investment Trust Other: Closed end funds
Alleged Damages:	$450,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	23-02179
Filing date of arbitration/CFTC reparation or civil litigation:	08/08/2023

Customer Complaint Information

Date Complaint Received:	08/08/2023
Complaint Pending?	No
Status:	Settled

Status Date:	10/09/2024
Settlement Amount:	$11,500.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANICAL, INC.
Allegations:	CLAIMANT ALLEGES THAT REGISTERED REPRESENTATIVE INVESTED HER RETIREMENT ASSETS INTO HIGH RISK PRIVATE PLACEMENT INVESTMENTS AND FAILED TO RECOMMEND ANY OTHER LOW TO MODERATE RISK INVESTMENS FOR A RETIRED WIDOW SEEKING INCOME. CLAIMANT FURTHER ALLEGES OVER-CONCENTRATION, ILLIQUIDITY AND HIGH COMMISSIONS ASSOCIATED WITH THE PRIVATE PLACEMENT INVESTMENTS THAT WERE RECOMMENDED TO HER. CLAIMANT ALLEGES LOSSES WITH RESPECT TO THE FOLLOWING INVESTMENTS: (1) CORE SERIES 2008-A 9% SECURED DEBENTURE, (2) CORE SERIES 2007 8% SECURED DEBENTURE, (3) KBS REIT, (4) BEHRINGER HARVARD REIT AND (5) HEALTHCARE TRUST OF AMERICA.
Product Type:	Debt-Asset Backed Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$240,000.00
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 #:	15-02989
Filing date of arbitration/CFTC reparation or civil litigation:	11/05/2015

Customer Complaint Information

Date Complaint Received:	11/20/2015
Complaint Pending?	No
Status:	Settled
Status Date:	03/08/2017
Settlement Amount:	$55,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	Claimant alleges that registered representative invested her retirement assets into high risk private placement investments and failed to recommend any other low to moderate risk investments for a retired widow seeking income. Claimant further alleges over-concentration, illiquidity and high commissions associated with the private placement investments that were recommended to her. Claimant alleges losses with respect to the following investments: 1) Core Series 2008-A 9% secured debenture, 2) Core series 2007 8% secured debenture, 3) KBS REIT, 4) Behringer Harvard REIT, and 5) Healthcare Trust of America.
Product Type:	Debt-Asset Backed Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$240,000.00
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 #:	15-02989
Filing date of arbitration/CFTC reparation or civil litigation:	11/05/2015

Customer Complaint Information

Date Complaint Received:	11/20/2015
Complaint Pending?	No
Status:	Settled
Status Date:	03/08/2017
Settlement Amount:	$55,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORP. AND CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE UNSUITABLE RECOMMENDATIONS, FAILURE TO SUPERVISE, CONTINUING FRAUD, VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN CONNECTION WITH THE INVESTMENTS THAT WERE PURCHASED BETWEEN 2007 AND 2009.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$700,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING RELIEF BETWEEN $500,000 AND $700,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00464

Filing date of arbitration/CFTC reparation or civil litigation:	02/18/2015

Customer Complaint Information

Date Complaint Received:	03/23/2015
Complaint Pending?	No
Status:	Settled
Status Date:	09/29/2016
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION AND CENTAURUS
Allegations:	ALLEGED VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE IN THE SALE OF VARIOUS REITS AND DEBENTURES FROM 09/11/2006 TO 09/20/2006.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	$500,000 TO $700,000
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 #:	15-00464

Filing date of arbitration/CFTC reparation or civil litigation:	02/18/2015

Customer Complaint Information

Date Complaint Received:	03/23/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/10/2015
Settlement Amount:	$8,375.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION AND CENTAURUS
Allegations:	ALLEGED VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE IN THE SALE OF VARIOUS REITS AND DEBENTURES FROM 09/11/2006 TO 09/20/2006
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING BETWEEN $500,000 AND $700,000.
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 #:	15-00464

Filing date of arbitration/CFTC reparation or civil litigation:	02/18/2015

Customer Complaint Information

Date Complaint Received:	03/23/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/10/2015
Settlement Amount:	$8,375.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE VIOLATIONS OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT FAILURE TO SUPERVISE, AND NEGLIGENCE IN CONNECTION WITH INVESTMENTS PURCHASED FROM 2006 TO 2010.
Product Type:	Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING DAMAGES BETWEEN $300,000 AND $500,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA

Docket/Case #:	15-00405
Filing date of arbitration/CFTC reparation or civil litigation:	02/09/2015

Customer Complaint Information

Date Complaint Received:	03/31/2015
Complaint Pending?	No
Status:	Settled
Status Date:	05/17/2016
Settlement Amount:	$38,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION AND CENTAURUS
Allegations:	ALLEGED VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE IN THE SALE OF VARIOUS REITS FROM 8/28/2006 TO 5/10/2007.
Product Type:	Real Estate Security
Alleged Damages:	$500,000.00
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 #:	15-00405
Filing date of arbitration/CFTC reparation or civil litigation:	02/09/2015

Customer Complaint Information

Date Complaint Received:	04/07/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2015
Settlement Amount:	$7,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPIATAL CORPORATION, CETAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE VIOLATIONS OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENT FAILURE TO SUPERVISE, AND NEGLIGENCE IN CONNECTION WITH INVESTMENTS PURCHASED FROM 2006 TO 2010.
Product Type:	Real Estate Security
Alleged Damages:	$500,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING DAMAGES BETWEEN $300,000 AND $500,000.
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 #:	15-00405
Filing date of arbitration/CFTC reparation or civil litigation:	02/09/2015

Customer Complaint Information

Date Complaint Received:	04/07/2015
Complaint Pending?	No
Status:	Settled
Status Date:	06/12/2015
Settlement Amount:	$46,000.00
Individual Contribution Amount:	$0.00
Broker Statement	This complaint involved Centaurus Financial, Inc. as well as Questar Capital Corporation. Questar settled the complaint on 6/12/2015 for $7,500 and Centaurus settled the complaint on 5/17/2016 for $38,500 for the total of $46,000 reflected in the DRP.

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL
Allegations:	ALLEGED VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE IN THE SALE OF VARIOUS REITS AND DEBENTURES
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ALLEGE DAMAGES TO BE MORE THAN $100,000 AND LESS THAN $499,999.
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:	BALTIMORE, MARYLAND
Docket/Case #:	15-00208

Filing date of arbitration/CFTC reparation or civil litigation:	01/21/2015

Customer Complaint Information

Date Complaint Received:	02/05/2015
Complaint Pending?	No
Status:	Settled
Status Date:	03/02/2016
Settlement Amount:	$27,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL,INC.
Allegations:	ALLEGATIONS INCLUDE UNSUITABLE RECOMMENDATIONS, VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND FAILURE TO SUPERVISE CONCERNING THE INVESTMENTS PURCHASED IN 2007 AND 2008.
Product Type:	Real Estate Security
Alleged Damages:	$499,999.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ARE SEEKING BETWEEN $100,000 AND 499,999 IN DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	15-00208

Filing date of arbitration/CFTC reparation or civil litigation: 01/21/2015

Customer Complaint Information

Date Complaint Received:	02/09/2015
Complaint Pending?	No
Status:	Settled
Status Date:	03/02/2016
Settlement Amount:	$27,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL
Allegations:	ALLEGED VIOLATION OF COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY, FAILURE TO SUPERVISE, NEGLIGENCE IN THE SALE OF VARIOUS REITS AND DEBENTURES.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIMANTS ALLEGE DAMAGES TO BE MORE THAN $100,000 AND LESS THAN $499,000.
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:	BALTIMORE, MARYLAND
Docket/Case #:	15-00208

Filing date of arbitration/CFTC reparation or civil litigation:	01/21/2015

Customer Complaint Information

Date Complaint Received:	02/05/2015
Complaint Pending?	No
Status:	Settled
Status Date:	03/02/2016
Settlement Amount:	$27,500.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE FRAUD, CONSTRUCTIVE FRAUD, NEGLIGENT MISREPRESENTATION/OMISSION,NEGLIGENCE AND VIOLATION OF MARYLAND SECURITIES ACT CONCERNING THE INVESTMENTS PURCHASED BETWEEN 2007 AND 2010.
Product Type:	Real Estate Security
Alleged Damages:	$200,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-03798
Date Notice/Process Served:	01/26/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/24/2016

Monetary Compensation Amount:	$64,835.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE FRAUD, CONSTRUCTIVE FRAUD, NEGLIGENT MISREPRESENTATION/OMISSION, NEGLIGENCE AND VIOLATION OF MARYLAND SECURITIES ACT CONCERNING THE INVESTMENTS PURCHASED BETWEEN 2007 AND 2010.
Product Type:	Real Estate Security
Alleged Damages:	$200,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	14-03798
Date Notice/Process Served:	01/26/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/24/2016
Monetary Compensation Amount:	$64,835.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION

Allegations:	AMENDED LAWSUIT RECEIVED. ALLEGATIONS ARE: FRAUD, MISREPRESENTATION, NEGLIGENCE, NEGLIGENT SUPERVISION VIOLATION OF THE MARYLAND SECURITIES ACT, AND UNSUITABLE RECOMMENDATIONS IN THE SALE OF $200,000 IN VARIOUS REITS FROM 5/25/2006 THROUGH 06/29/2006.
Product Type:	Real Estate Security
Alleged Damages:	$300,000.00
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:	11/13/2014
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	01/22/2015
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	BALTIMORE CITY CIRCUIT COURT OF MARYLAND
Location of Court:	BALTIMORE CITY, MARYLAND
Docket/Case #:	03C140136730T
Date Notice/Process Served:	01/22/2015
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/19/2016
Monetary Compensation Amount:	$45,000.00

Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION
Allegations:	AMENDED LAWSUIT RECEIVED. ALLEGATIONS ARE: FRAUD, MISREPRESENTATION, NEGLIGENCE, NEGLIGENT SUPERVISION VIOLATION OF THE MARYLAND SECURITIES ACT, AND UNSUITABLE RECOMMENDATIONS IN THE SALE OF $200,000 IN VARIOUS REITS FROM 05/25/2006 THROUGH 06/29/2006.
Product Type:	Real Estate Security
Alleged Damages:	$300,000.00
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:	11/13/2014
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	01/22/2015
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	State Court
Name of Court:	BALTIMORE CITY CIRCUIT COURT OF MAYLAND
Location of Court:	BALTIMORE CITY, MARYLAND
Docket/Case #:	03C140136730T
Date Notice/Process Served:	01/22/2015

Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/19/2016
Monetary Compensation Amount:	$45,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE VIOLATIONS OF FEDERAL SECURITIES LAWS, VIOLATION OF MARYLAND SECURITIES ACT, VIOLATION OF MARYLAND CONSUMER PROTECTION ACT, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN RELATION TO THE INVESTMENT PURCHASED IN 2008.
Product Type:	Other: TENANT IN COMMON
Alleged Damages:	$474,937.50
Alleged Damages Amount Explanation (if amount not exact):	SEEKING THE ABOVE AMOUNT, IN ADDITION TO, BARGAIN DAMAGES, LOST OPPORTUNITY COSSTS, PREJUDGMENT INTEREST, COSTS REASONABLE ATTORNEY'S FEES AND PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-02657
Filing date of arbitration/CFTC reparation or civil litigation:	09/05/2013

Customer Complaint Information

Date Complaint Received:	09/23/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/05/2015
Settlement Amount:	$22,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE VIOLATIONS OF FEDERAL SECURITIES LAWS, VIOLATION OF MARYLAND SECURITIES ACT, VIOLATION OF MARYLAND CONSUMER PROTECTION ACT, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN RELATION TO THE INVESTMENT PURCHASED IN 2008.
Product Type:	Other: TENANT IN COMMON
Alleged Damages:	$474,937.50
Alleged Damages Amount Explanation (if amount not exact):	SEEKING THE ABOVE AMOUNT, IN ADDITION TO, BARGAIN DAMAGES, LOST OPPORTUNITY COSTS, PREJUDGMENT INTEREST, COSTS REASONABLE ATTORNEY'S FEES AND PUNITIVE DAMAGES.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-02657
Filing date of arbitration/CFTC reparation or civil litigation:	09/05/2013

Customer Complaint Information

Date Complaint Received:	09/23/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/05/2015
Settlement Amount:	$22,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, AMERIPRISE, CENTAURUS
Allegations:	ALLEGED FRAUD AND UNSUITABILITY, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND BREACH OF THE COVENANTS OF GOOD FAITH AND FAIR DEALING, NEGLIGENT SUPERVISION, BREACH OF CONTRACT, CHURNING, SECTION 20 VIOLATIONS AND RESPONDEANT SUPERIOR IN THE SALE OF BEHRINGER HARVARD REIT I, CORE SERIES 2008, CORE SERIES 2007, BEHRINGER HARVARD MULTIFAMILY REIT, BEHRINGER HARVARD OPPORTUNITY REIT AND CORNERSTONE CORE PROPERTIES REIT.
Product Type:	Real Estate Security
Alleged Damages:	$700,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-02476
Date Notice/Process Served:	09/03/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/20/2016

Monetary Compensation Amount:	$340,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC; CENTAURUS FINANCIAL, INC; QUESTAR CAPITAL CORPORATION; AND US ALLIANZ SECURITIES, INC.
Allegations:	ALLEGATIONS INCLUDE NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY AND BREACH OF THE COVENANTS OF GOOD FAITH AND FAIR DEALING, AND BREACH OF CONTRACT WITH RESPECT TO THE REAL ESTATE INVESTMENTS PURCHASED.
Product Type:	Real Estate Security
Alleged Damages:	$700,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-02476
Date Notice/Process Served:	09/03/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/05/2015
Monetary Compensation Amount:	$340,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.; CENTAURUS FINANCIAL, INC; QUESTAR CAPITAL CORPORATION; AND US ALLIANZ SECURITIES, INC.

Allegations: CLAIMANTS ALLEGE THAT THEIR ADVISOR MADE FALSE AND MISLEADING STATEMENTS AND OMITTED MATERIAL INFORMATION REGARDING PRIVATE REITS SOLD TO THEM. CLAIMANTS CLAIM THAT HE SOLD THESE PRODUCTS FOR HIS FINANCIAL BENEFIT. THE REITS AT ISSUE WERE SOLD TO CLAIMANTS WHILE HE WAS AT PREVIOUS BROKERAGE FIRMS. CLAIMANTS REQUEST DAMAGES OF NO LESS THAN $700,000 REPRESENTING THEIR OUT-OF-POCKET LOSSES ON THE REITS AT ISSUE

Product Type: Real Estate Security

Alleged Damages: $700,000.00

Arbitration Information

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

Docket/Case #: 13-02476

Date Notice/Process Served: 09/03/2013

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/05/2015

Monetary Compensation Amount: $340,000.00

Individual Contribution Amount: $0.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: CUSTOMER PURCHASED INVESTMENTS IN 2008 AND 2009. IN 2012, UNFORESEEN EVENTS LED CUSTOMER TO NEED LIQUIDITY. CUSTOMER ALLEGED SHE DIDN'T REALIZE THE INVESTMENTS WERE ILLIQUID. CENTAURUS MET CUSTOMER'S NEED FOR LIQUIDITY BY PURCHASING CERTAIN INVESTMENTS DIRECTLY.

Product Type: Real Estate Security

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER DID NOT ALLEGE A COMPENSATORY DAMAGE AMOUNT. CUSTOMER EXPRESSED A NEED FOR LIQUIDITY AND CENTAURUS AGREED TO MEET HER NEED FOR LIQUIDITY BY PURCHASING CERTAIN INVESTMENTS.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/07/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/30/2013
Settlement Amount:	$66,408.98
Individual Contribution Amount:	$0.00
Firm Statement	THE FIRM MADE A SECOND SETTLEMENT WITH THE CUSTOMER FOR $49,020 ON JULY 16, 2013.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CUSTOMER PURCHASED INVESTMENTS IN 2008 AND 2009. IN 2012, UNFORESEEN EVENTS LED CUSTOMER TO NEED LIQUIDITY. CUSTOMER ALLEGED SHE DIDN'T REALIZE THE INVESTMENTS WERE ILLIQUID. CENTAURUS MET CUSTOMER'S NEED FOR LIQUIDITY BY PURCHASING CERTAIN INVESTMENTS DIRECTLY.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	CUSTOMER DID NOT ALLEGE A COMPENSATORY DAMAGE AMOUNT. CUSTOMER EXPRESSED A NEED FOR LIQUIDITY AND CENTAURUS AGREED TO MEET HER NEED FOR LIQUIDITY BY PURCHASING CERTAIN INVESTMENTS.

Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/07/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/30/2013
Settlement Amount:	$17,388.98
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE UNSUITABLE INVESTMENTS OF CLAIMANT'S RETIREMENT SAVINGS, FRAUD, MISREPRESENTATION, NEGLIGENCE AND VIOLATION OF MARYLAND SECURITIES ACT FOR TRANSACTIONS EFFECTED IN 2008.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES WERE NOT SPECIFIED.

Arbitration Information

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

Docket/Case #:	13-00530
Date Notice/Process Served:	03/07/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/12/2014
Monetary Compensation Amount:	$36,750.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS INCLUDE UNSUITABLE INVESTMENTS OF CLAIMANT'S RETIREMENT SAVINGS, FRAUD, MISREPRESENTATION, NEGLIGENCE AND VIOLATION OF MARYLAND SECURITIES ACT FOR TRANSACTIONS EFFECTED IN 2008.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES WERE NOT SPECIFIED.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-00530
Date Notice/Process Served:	03/07/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/12/2014

Monetary Compensation Amount:	$36,750.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF MISREPRESENTATION, UNSUITABLE RECOMMENDATIONS, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND FRAUD WERE CITED BY THE CLAIMANTS FOR THE INVESTMENTS PURCHASED IN 2007.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$140,005.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-02854
Filing date of arbitration/CFTC reparation or civil litigation:	08/03/2012

Customer Complaint Information

Date Complaint Received:	08/21/2012
Complaint Pending?	No
Status:	Settled
Status Date:	11/01/2013
Settlement Amount:	$45,000.00

Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF MISREPRESENTATION, UNSUITABLE RECOMMENDATIONS, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND FRAUD WERE CITED BY THE CLAIMANTS FOR THE INVESTMENTS PURCHASED IN 2007.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$140,005.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-02854
Filing date of arbitration/CFTC reparation or civil litigation:	08/03/2012

Customer Complaint Information

Date Complaint Received:	08/21/2012
Complaint Pending?	No
Status:	Settled
Status Date:	11/01/2013
Settlement Amount:	$45,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL, INC.
Allegations:	THE COMPLAINT ALLEGES THAT THE REITS PURCHASED BETWEEN DECEMBER 2006 AND NOVEMBER 2008 WERE NOT SUITABLE. THE CLAIM ALLEGES FRAUD, MISREPRESENTATION, NEGLIGENCE AND NEGLIGENT SUPERVISION.
Product Type:	Real Estate Security
Alleged Damages:	$300,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02318
Date Notice/Process Served:	07/16/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/22/2013
Monetary Compensation Amount:	$32,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL, INC.
Allegations:	THE COMPLAINT ALLEGES THAT THE REITS PURCHASED BETWEEN DECEMBER 2006 AND NOVEMBER 2008 WERE NOT SUITABLE. THE CLAIM ALLEGES FRAUD, MISREPRESENTATION, NEGLIGENCE AND NEGLIGENT SUPERVISION.
Product Type:	Real Estate Security

Alleged Damages:	$300,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02318
Date Notice/Process Served:	07/16/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/22/2013
Monetary Compensation Amount:	$32,500.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF VIOLATIONS OF FEDERAL SECURITIES LAWS AND MARYLAND SECURITIES ACT, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN THE SALE OF REAL ESTATE INVESTMENT TRUSTS AND EQUIPMENT LEASING LIMITED PARTNERSHIPS PURCHASED IN 2007 AND 2008.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$410,015.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-01544
Filing date of arbitration/CFTC reparation or civil litigation:	04/25/2012

Customer Complaint Information

Date Complaint Received:	05/14/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/24/2013
Settlement Amount:	$73,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF VIOLATIONS OF FEDERAL SECURITIES LAWS AND MARYLAND SECURITIES ACT, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN THE SALE OF REAL ESTATE INVESTMENT TRUSTS AND EQUIPMENT LEASING LIMITED PARTNERSHIPS PURCHASED IN 2007 AND 2008.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$410,015.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA

Docket/Case #:	12-01544
Filing date of arbitration/CFTC reparation or civil litigation:	04/25/2012

Customer Complaint Information

Date Complaint Received:	05/14/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/24/2013
Settlement Amount:	$73,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC., QUESTAR CAPITAL CORPORATION, USALLIANZ SECURITIES, INC.
Allegations:	ALLEGATIONS OF FRAUD, MISREPRESENTATION, NEGLIGENCE AND NEGLIGENT SUPERVISION WHEN THE INVESTMENTS WERE PURCHASED BETWEEN 2006 AND 2008.
Product Type:	Real Estate Security
Alleged Damages:	$595,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION
Docket/Case #:	12-00140
Date Notice/Process Served:	01/27/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/02/2013

Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$0.00
Firm Statement	CENTAURUS FINANCIAL, INC. SETTLED FOR $200,000 ON APRIL 29, 2013. REPRESENTATIVE DID NOT CONTRIBUTE TO THIS SETTLEMENT.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	USALLIANZ SECURITIES INC, QUESTAR CAPITAL CORPORATION, CENTAURUS FINANCIAL
Allegations:	CLIENT ALLEGED FRAUD, MISREPRESENTATION, NEGLIGENCE, NEGLIGENT SUPERVISION AND VIOLATION OF THE MARYLAND SECURITIES ACT IN THE SALE OF VARIOUS REITS BETWEEN 01/18/2006 AND 11/03/2008.
Product Type:	Real Estate Security
Alleged Damages:	$595,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00140
Date Notice/Process Served:	01/27/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/02/2013
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when	US ALLIANZ SECURITIES INC, QUESTAR CAPITAL CORPORATION,

activities occurred which led to the complaint:	CENTAURUS FINANCIAL
Allegations:	CLIENT ALLEGED FRAUD, MISREPRESENTATION, NEGLIGENCE, NEGLIGENT SUPERVISION AND VIOLATION OF THE MARYLAND SECURITIES ACT IN THE SALE OF VARIOUS REITS BETWEEN 01/18/2006 AND 11/03/2008.
Product Type:	Real Estate Security
Alleged Damages:	$595,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-00140
Date Notice/Process Served:	01/27/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/02/2013
Monetary Compensation Amount:	$40,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION
Allegations:	ALLEGED SALE OF UNREGISTERED SECURITIES, FRAUD, UNSUITABLE RECOMMENDATION, MISREPRESENTATION AND OMISSION OF MATERIAL INFORMATION, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN THE SALE OF FOUR REAL ESTATE INVESTMENT TRUSTS BETWEEN 7/4/2006 AND 4/30/2007.
Product Type:	Real Estate Security
Alleged Damages:	$255,000.00

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 #:	11-04444
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2011

Customer Complaint Information

Date Complaint Received:	12/13/2011
Complaint Pending?	No
Status:	Settled
Status Date:	03/13/2013
Settlement Amount:	$72,500.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION
Allegations:	ALLEGED SALE OF UNREGISTERED SECURITIES, FRAUD, UNSUITABLE RECOMMENDATION, MISREPRESENTATION AND OMISSION OF MATERIAL INFORMATION, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE IN THE SALE OF FOUR REAL ESTATE INVESTMENT TRUSTS BETWEEN 7/4/2006 AND 4/30/2007.
Product Type:	Real Estate Security
Alleged Damages:	$255,000.00
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 #:	11-04444
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2011

Customer Complaint Information

Date Complaint Received:	12/13/2011
Complaint Pending?	No
Status:	Settled
Status Date:	03/13/2013
Settlement Amount:	$72,500.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF VIOLATIONS OF FEDERAL SECURITIES LAWS AND STATE OF MARYLAND'S LAWS,BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND COMMON LAW FRAUD WHEN THE CLAIMANTS PURCHASED INVESTMENTS IN 2007 AND 2008 FROM THE REPRESENTATIVE.
Product Type:	Real Estate Security
Alleged Damages:	$450,015.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes

Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION
Docket/Case #:	11-04445
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2011

Customer Complaint Information

Date Complaint Received:	12/12/2011
Complaint Pending?	No
Status:	Settled
Status Date:	11/09/2012
Settlement Amount:	$25,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	ALLEGATIONS OF VIOLATIONS OF FEDERAL SECURITIES LAWS AND STATE OF MARYLAND'S LAWS,BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, NEGLIGENCE AND COMMON LAW FRAUD WHEN THE CLAIMANTS PURCHASED INVESTMENTS IN 2007 AND 2008 FROM THE REPRESENTATIVE.
Product Type:	Real Estate Security
Alleged Damages:	$450,015.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA DISPUTE RESOLUTION

Docket/Case #: 11-04445

Filing date of arbitration/CFTC reparation or civil litigation: 11/22/2011

Customer Complaint Information

Date Complaint Received: 12/12/2011

Complaint Pending? No

Status: Settled

Status Date: 11/09/2012

Settlement Amount: $25,000.00

Individual Contribution Amount: $0.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC. QUESTAR CAPITAL CORPORATION

Allegations: THE COMPLAINT ALLEGES THAT THE REITS PURCHASED BETWEEN DECEMBER, 2006 AND NOVEMBER, 2008 WERE NOT SUITABLE. THE CLAIM ALLEGES FRAUD, MISREPRESENATION, NEGLIGENCE AND NEGLIGENT SUPERVISION.

Product Type: Real Estate Security

Alleged Damages: $300,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 12-02318

Filing date of arbitration/CFTC reparation or civil litigation: 06/19/2012

Customer Complaint Information

Date Complaint Received: 07/16/2012

Complaint Pending? No

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

Status Date: 08/13/2012

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 12-02318

Date Notice/Process Served: 08/13/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/18/2013

Monetary Compensation Amount: $14,720.98

Individual Contribution Amount: $0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: QUESTAR CAPITAL CORPORATION AND CENTAURUS FINANCIAL INC

Allegations: CLIENT ALLEGED THE SALE OF FOUR REIT'S FROM 12/22/2006 THROUGH 11/10/2008 WERE UNSUITABLE.

Product Type: Real Estate Security

Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC DOLLAR AMOUNT OF DAMAGES ALLEGED HOWEVER CLIENT IS SEEKING RESCISSION ON TOTAL INVESTMENT OF $165,000
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:	07/14/2011
Complaint Pending?	No
Status:	Denied
Status Date:	08/17/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC. QUESTAR CAPITAL CORPORATION
Allegations:	THE COMPLAINT ALLEGES THAT THE REITS PURCHASED BETWEEN DECEMBER, 2006 AND NOVEMBER, 2008 WERE NOT SUITABLE. THE CLAIM ALLEGES FRAUD, MISREPRESENTATION, NEGLIGENCE AND NEGLIGENT SUPERVISION.
Product Type:	Real Estate Security
Alleged Damages:	$300,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum	FINRA

or court name and location:

Docket/Case #:	12-02318
Filing date of arbitration/CFTC reparation or civil litigation:	06/19/2012

Customer Complaint Information

Date Complaint Received:	07/16/2012
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	08/13/2012
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02318
Date Notice/Process Served:	08/13/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/18/2013
Monetary Compensation Amount:	$14,720.98
Individual Contribution Amount:	$0.00

Disclosure 19 of 21

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION AND CENTAURUS FINANCIAL

Allegations:	CLIENT ALLEGES THE SALE OF A CORPORATE NOTE AND A REAL ESTATE INVESTMENT TRUST WERE UNSUITABLE BECAUSE OF A RESULTING OVER-CONCENTRATION IN ILLIQUID REAL ESTATE RELATED INVESTMENTS.
Product Type:	Debt-Corporate Real Estate Security
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:	12/16/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/22/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00645
Date Notice/Process Served:	02/22/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/15/2011
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL AND QUESTAR CAPITAL CORPORATION
Allegations:	CLIENT ALLEGES THE SALE OF A CORPORATE NOTE AND A REAL ESTATE INVESTMENT TRUST WERE UNSUITABLE BECAUSE OF A RESULTING OVER-CONCENRATION IN ILLIQUID REAL ESTATE RELATED INVESTMENTS.
Product Type:	Debt-Corporate Real Estate Security
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:	12/16/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/09/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-00645
Date Notice/Process Served:	02/17/2010
Arbitration Pending?	No
Disposition:	Settled

Disposition Date:	03/15/2011
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$0.00
Firm Statement	CLIENTS WERE COMPLETELY INFORMED OF ALL RISKS AND REWARDS POTENTIATAE IN A FAIR AND BALANCED MANNER PRIOR TO ANY TRANSACTIONS OCCURING.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL AND QUESTAR CAPITAL CORPORATION
Allegations:	CLIENT ALLEGES THE SALE OF A CORPORATE NOTE AND A REAL ESTATE INVESTMENT TRUST WERE UNSUITABLE BECAUSE OF A RESULTING OVER-CONCENRATION IN ILLIQUID REAL ESTATE RELATED INVESTMENTS.
Product Type:	Debt-Corporate Real Estate Security
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:	12/16/2009
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	02/09/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation	FINRA

claim filed with (FINRA, AAA, CFTC, etc.):	
Docket/Case #:	10-00645
Date Notice/Process Served:	02/17/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/15/2011
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$0.00
Broker Statement	CLIENTS WERE COMPLETELY INFORMED OF ALL RISKS AND REWARDS POTENTIATAE IN A FAIR AND BALANCED MANNER PRIOR TO ANY TRANSACTIONS OCCURING.

Disclosure 20 of 21

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	
Allegations:	FRAUD, BREACH OF FIDUCIARY DUTY ALLEGED DAMAGES - UNSPECIFIED
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Litigation
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Court Details: VIGO SUPERIOR; IN; 84-D01-0107-CT-968

Date Notice/Process Served: 07/15/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/01/1995

Monetary Compensation Amount: $176,500.00

Individual Contribution Amount:

Firm Statement THE CLAIMS WERE SETTLED FOR $176,500 WITH NO ADMISSION OF LIABILITY
NO COMMODITIES INVOLVED ONLY STOCKS AND COVERED CALLS.
CONTACT: SUSAN E. HARKINS (212) 816-8006

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SHEARSON LEHMAN BROTHERS AND AMERICAN EXPRESS

Allegations: FRAUD-BREACH OF FIDUCIARY DUTY
CIVIL LITIGATION ALLEGING FRAUD BREACH OF FIDUCIARY DUTY CLIENT ALLEGED SHE DID NOT UNDERSTAND RISKS OF COVERED CALL WRITING. SHE HAD PRIFITED FROM PRIOR TRANSACTIONS AND HAD NET WORTH EXCEEDING OF $1,500,000.00. SHE HAD BEEN FULLY INFORMED OF ALL RISKS SIGNED OPTIONS AGREEMENT AND WAS REGULARRLY COMMUNICATED WITH CLEARLY UNDERSTANDING.
NO DAMAGE AMOUNT SPECIFIED

Product Type: Options

Other Product Type(s): COVERED CALL WRITING-UNITED AIRLINES

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/15/1991

Complaint Pending? No

Status:	Litigation
Status Date:	04/07/1995
Settlement Amount:	$176,500.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	VIGO SUPERIOR COURT STATE OF INDIANA; IN; 84-D01-0107-CT-968
Date Notice/Process Served:	07/15/1991
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	04/07/1995
Monetary Compensation Amount:	$176,500.00
Individual Contribution Amount:	$0.00

Broker Statement

SHEARSON AND AMERICAN EXPRESS WERE DISMISSED ON
APRIL 7, 1995. HOWEVER SHEARSON`S DISMISSAL WAS A RESULT OF A
SETTLEMENT AGREEMENT OF $176,500.00
CLIENT ALLEGED SHE DID NOT UNDERSTAND RISKS OF
COVERED CALL WRITING, SHE HAD PROFITED FROM PRIOR
TRANSACTIONS
AND HAD A NET WORTH EXCEEDING $1,500,000.00. SHE HAD BEEN
FULLY INFORMED OF ALL RISKS, AND SIGNED AN OPTION AGREEMENT.
SHE WAS REGULARLY AND FREQUENTLY COMMUNICATED WITH DURING
HER
EXPOSURE AND CLEARLY UNDERSTOOD HER LOSSES AS WELL AS HER
FORMER GAINS. AFTER FOUR YEARS OF WAITING I NEVER GOT A
CHANCE
TO PRESENT THE FACTS TO A JUDGE & JURY. I WAS RELEASED PRIOR
TO SHEARSON AGREEING TO A SETTLEMENT.

Disclosure 21 of 21

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	

Allegations: FRAUD, BREACH OF FIDUCIARY DUTY
FRAUD IN FACTUM
ALLEGED DAMAGES - UNSPECIFIED

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: VIGO SUPERIOR; 84-D01-9108-CT-1134

Date Notice/Process Served: 08/08/1991

Litigation Pending? No

Disposition: Settled

Disposition Date: 01/01/1995

Monetary Compensation Amount: $138,500.00

Individual Contribution Amount:

Firm Statement THE CLAIMS WERE SETTLED FOR $138,500 WITH NO ADMISSION OF LIABILITY.
NO COMMODITIES INVOLVED ONLY STOCKS AND COVERED CALLS.
CONTACT: SUSAN E. HARKINS (212) 816-8006

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint:	SHEARSON LEHMAN BROTHERS INC AND AMERICAN EXPRESS
Allegations:	FRAUD-BREACH OF FIDUCIARY DUTY-FRAUD IN THE FACTUM CIVIL LITIGATION ALLEGING FRAUD BREACH OF FIDUCIARY DUTY-FRAUD IN THE FACTUM CLIENT ALLEGED SHE DID NOT UNDERSTAND RISKS OF COVERED CALL WRITING. SHE HAD PROFITIED FROM PRIOR TRANSACTIONS AND WAS AA PRACTICING ACCOUNTANT. SHE HAD BEEN FULLY INFORMED OF ALL RISKS AND HAD SIGNED AN OPTIONS AGREEMENT.
Product Type:	Options
Other Product Type(s):	COVERED CALLWRITING-UNITED AIRLINES
Alleged Damages:	$143,000.00

Customer Complaint Information

Date Complaint Received:	08/07/1991
Complaint Pending?	No
Status:	Litigation
Status Date:	04/07/1995
Settlement Amount:	$138,500.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	VIGO SUPERIOR COURT STATE OF INDIANA; CAUSE #84-D01-9108-CT-1134
Date Notice/Process Served:	08/08/1991
Litigation Pending?	No
Disposition:	Dismissed
Disposition Date:	04/07/1995
Monetary Compensation Amount:	$138,500.00
Individual Contribution Amount:	$0.00
Broker Statement	SHEARSON AND AMERICAN EXPRESS WERE DISMISSED ON

APRIL 7, 1995, HOWEVER SHEARSON`S DISMISSAL WAS A RESULT OF A SETTLEMENT AGREEMENT OF $138,500.00
CLIENT ALLEGED SHE DID NOT UNDERSTAND RISK OF
COVERED CALL WRITING, SHE HAD PROFITED FROM PRIOR TRANSACTIONS
AND WAS A PRACTICING ACCOUNTANT. SHE HAD BEEN FULLY INFORMED OF ALL RISKS AND HAD SIGNED AN OPTION AGREEMENT. AFTER FOUR YEARS OF WAITING I NEVER GOT A CHANCE TO PRESENT THE FACTS TO A JUDGE OR JURY. I WAS RELEASED PRIOR TO SHEARSON AGREEING TO A SETTLEMENT.
I WAS DISMISSED ON 4/7/1995 AFTER PLANTIFFS COUNCIL FILED STIPULATION FOR MY DISMISSAL ON 3/28/1995.
I DID NO WRONG. AFTER FOUR YEARS OF WAITING I NEVER GOT A CHANCE TO PRESENT MY FACTS TO A JUDGE OR JURY. LATER SHEARSON AND AMERICAN EXPRESS AGREED TO A SETTLEMENT AND THE CASE WAS DISMISSED.

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 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENTS ALLEGE THE INVESTMENT IN TWO REITS WERE UNSUITABLE.
Product Type:	Real Estate Security
Alleged Damages:	$17,795.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENTS REQUESTED COMPENSATION ON, "...DAMAGES WE HAVE SUSTAINED," THEY FURTHER DETAIL AN UNRECONIZED LOSS OF $34000.00
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:	02/21/2017
Complaint Pending?	No
Status:	Denied
Status Date:	03/17/2017
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker

Employing firm when activities occurred which led to the complaint:	Centaurus Financial, Inc.
Allegations:	The client alleged Real Estate Investment Trusts (REITs) purchased in June 2007 and July 2008 were misrepresented.
Product Type:	Real Estate Security
Alleged Damages:	$51,795.00
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:	01/09/2017
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/20/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	QUESTAR CAPITAL CORPORATION
Allegations:	ALLEGED UNSUITABLE RECOMMENDATIONS IN THE SALE OF SEVERAL REAL ESTATE INVESTMENT TRUSTS BETWEEN 2005 AND 2007.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOT SPECIFIED BUT BELIEVED TO BE IN EXCESS OF $5000.

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:	08/29/2016
Complaint Pending?	No
Status:	Denied
Status Date:	09/02/2016
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Questar Capital Corporation
Allegations:	Alleged unsuitable recommendations in the sale of several real estate investment trusts between 2005 and 2007.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages not specified but believed to be in excess of $5,000
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:	08/29/2016
Complaint Pending?	No

Status:	Denied
Status Date:	09/02/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT CLAIMS THAT THE REPRESENTATIVE DID NOT DISCLOSE THE ILLIQUID NATURE OF THE INVESTMENTS WHEN PURCHASED IN 2008 AND 2009.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES WERE ALLEGED IN THE CUSTOMER'S LETTER.
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:	02/23/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/07/2012
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT CLAIMS THAT THE REPRESENTATIVE DID NOT DISCLOSE THE ILLIQUID NATURE OF THE INVESTMENTS WHEN PURCHASED IN 2008 AND 2009.
Product Type:	Real Estate Security
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGES WERE ALLEGED IN THE CUSTOMER'S LETTER.
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:	02/23/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/07/2012
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 6

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES, INC.
Allegations:	THE CLIENT ALLEGED HE WAS NOT INFORMED HIS REIT PURCHASES IN 2010 WERE ILLIQUID. COMPLAINT REFERRED TO ADVISOR'S PREVIOUS EMPLOYER WHERE REITS WERE PURCHASED.

Product Type:	Real Estate Security
Alleged Damages:	$150,000.00
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:	09/15/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	09/20/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED THE INVESTMENT PURCHASED IN MARCH, 2009. NO SPECIFIC DAMAGES..
Product Type:	Real Estate Security
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:	11/02/2011
Complaint Pending?	No

Status:	Closed/No Action
Status Date:	08/28/2013
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CENTAURUS FINANCIAL, INC.
Allegations:	CLIENT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED THE INVESTMENT PURCHASED IN MARCH, 2009. NO SPECIFIC DAMAGES..
Product Type:	Real Estate Security
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:	11/02/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/28/2013
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 6 of 6

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: THE INVESTMENT PRODUCT PURCHASED IN JULY, 2007 WAS NOT SUITABLE BASED ON THE CLIENT'S INVESTMENT OBJECTIVE FOR MONTHLY INCOME. THE REPRESENTATIVE FAILED TO PROCESS HER 401K ROLLOVER PROPERLY WHICH RESULTED IN TAX CONSEQUENCES.

Product Type: Real Estate Security

Alleged Damages: $17,500.00

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: 02/17/2011

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/22/2011

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CENTAURUS FINANCIAL, INC.

Allegations: THE INVESTMENT PRODUCT PURCHASED IN JULY, 2007 WAS NOT SUITABLE BASED ON THE CLIENT'S INVESTMENT OBJECTIVE FOR MONTHLY INCOME. THE REPRESENTATIVE FAILED TO PROCESS HER 401K ROLLOVER PROPERLY WHICH RESULTED IN TAX CONSEQUENCES.

Product Type: Real Estate Security

Alleged Damages: $17,500.00

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:	02/17/2011
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/22/2011
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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