

BrokerCheck Report

DONALD JOSEPH MAGDON JR

CRD# 1833740

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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.

**DONALD J. MAGDON JR**

CRD# 1833740

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

IA LPL FINANCIAL LLC
PHOENIX, AZ
CRD# 6413
Registered with this firm since: 02/06/2024

B LPL FINANCIAL LLC
PHOENIX, AZ
CRD# 6413
Registered with this firm since: 02/06/2024

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
- 20 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA LINCOLN FINANCIAL ADVISORS CORPORATION**
CRD# 3978
FORT WAYNE, IN
04/2015 - 02/2024
- B LINCOLN FINANCIAL ADVISORS CORPORATION**
CRD# 3978
PHOENIX, AZ
04/2015 - 02/2024
- IA PRINCOR FINANCIAL SERVICES CORPORATION**
CRD# 1137
DES MOINES, IA
02/2009 - 04/2015

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	3
Customer Dispute	3



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 20 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	02/06/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	02/06/2024
IA	Arizona	Investment Adviser Representative	Approved	02/07/2024
B	California	Agent	Approved	02/06/2024
B	Colorado	Agent	Approved	02/06/2024
B	Florida	Agent	Approved	02/06/2024
B	Hawaii	Agent	Approved	02/06/2024
B	Idaho	Agent	Approved	02/06/2024
B	Illinois	Agent	Approved	02/06/2024
B	Iowa	Agent	Approved	03/08/2024
B	Montana	Agent	Approved	02/06/2024
B	Nebraska	Agent	Approved	02/06/2024
B	Nevada	Agent	Approved	02/06/2024



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	New Jersey	Agent	Approved	02/06/2024
B	New Mexico	Agent	Approved	02/06/2024
B	Oklahoma	Agent	Approved	11/18/2025
B	Oregon	Agent	Approved	02/06/2024
B	Pennsylvania	Agent	Approved	02/06/2024
B	Texas	Agent	Approved	02/06/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	02/06/2024
B	Utah	Agent	Approved	02/06/2024
B	Virginia	Agent	Approved	02/06/2024
B	Washington	Agent	Approved	02/06/2024

Branch Office Locations

LPL FINANCIAL LLC
PHOENIX, AZ



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

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 Investment Company Products/Variable Contracts Representative Examination	Series 6	06/17/1988

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	02/14/1989

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 **1** professional designation(s).

Certified Financial Planner

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



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	04/2015 - 02/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	PHOENIX, AZ
B	04/2015 - 02/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	PHOENIX, AZ
IA	02/2009 - 04/2015	PRINCOR FINANCIAL SERVICES CORPORATION	1137	TEMPE, AZ
B	12/2008 - 04/2015	PRINCOR FINANCIAL SERVICES CORPORATION	1137	TEMPE, AZ
B	10/2006 - 01/2009	METLIFE SECURITIES INC.	14251	TEMPE, AZ
B	10/2006 - 07/2007	METROPOLITAN LIFE INSURANCE COMPANY	4095	MESA, AZ
B	02/2005 - 10/2006	MML INVESTORS SERVICES, INC.	10409	PHOENIX, AZ
B	10/2001 - 02/2005	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B	01/1995 - 11/2001	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN
B	06/1988 - 12/1994	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B	06/1988 - 12/1994	METROPOLITAN LIFE INSURANCE COMPANY	4095	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
02/2024 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	PHOENIX, AZ, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2015 - 01/2024	LINCOLN FINANCIAL ADVISORS CORPORATION	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, 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) 11/2023 - FIXED INSURANCE - Non-Variable Insurance - Inv. Related - Phoenix, AZ - Agent Selling Insurance- Start Date 11/13/2023 - 40hrs/month - 20% time spent
- 2) 11/2023 - PROPERTY & CASUALTY - Non-Variable Insurance - Inv. Related - Phoenix, AZ - Agent Selling Insurance- Start Date 01/01/1990 - 0hrs/month - 0% time spent

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	3	0
Customer Dispute	0	3	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

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 3

Reporting Source:	Broker
Regulatory Action Initiated By:	STATE OF WISCONSIN/OFFICE OF THE COMMISSIONER OF INSURANCE
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	05/15/2002
Docket/Case Number:	CASE NO. 02-C27614
Employing firm when activity occurred which led to the regulatory action:	NEW ENGLAND SECURITIES
Product Type:	Insurance
Other Product Type(s):	
Allegations:	MAGDON INADVERTANTLY DID NOT DISCLOSE THAT CALIFORNIA DENIED HIM AN UNRESTRICTED LICENSE AND ISSUED HIM A RESTRICTED LICNESE. CASE #SAC-9759-A
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/15/2002



Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	ORDER OF DENIAL OF AN INTERMEDIARY LICENSE FOR 31 DAYS TO ACT AS A LIFE INSURANCE AGENT IN WISCONSIN. CONDITION HAS BEEN SATISFIED AS JUNE 15, 2002. NO MONETARY PENALTY WAS INVOLVED.
Broker Statement	AS OF JUNE 15, 2002, THE STATE OF WISCONSIN STATES MAGDON'S LICENSURE APPLICATION WILL BE PROCESSED AND MAGDON WILL HAVE AUTHORITY TO SELL INSURANCE.

Disclosure 2 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Denial
Other Sanction(s) Sought:	
Date Initiated:	02/09/2000
Docket/Case Number:	SAC 9759-A
Employing firm when activity occurred which led to the regulatory action:	MINNESOTA LIFE INSURANCE COMPANY
Product Type:	Insurance
Other Product Type(s):	
Allegations:	MAGDON APPLIED FOR AN INSURANCE LICENSE IN CALIFORNIA. CALIFORNIA REQUESTED TO REVIEW THE LEGAL DOCUMENTS FROM THE ARIZONA DEPARTMENT OF INSURANCE INVESTIGATION OF A CLIENT COMPLAINT (CASE# 97A-177).
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	10/10/2000
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	ORDER OF DENIAL OF UNRESTRICTED LICENSE AND ISSUANCE OF



RESTRICTED LICENSE TO ACT AS A LIFE INSURANCE AGENT IN CALIFORNIA. RESTRICTED CALIFORNIA INSURANCE LICENSE WILL REMAIN IN EFFECT UNTIL 10/10/2002.

Broker Statement

UPON REVIEW OF THE ARIZONA DOI INVESTIGATION, THE CALIFORNIA DOI DEEMED THAT THE ARIZONA COMPLAINT WARRANTED ISSUANCE OF A RESTRICTED INSURANCE LICENSE IN CALIFORNIA.

Disclosure 3 of 3

Reporting Source:	Broker
Regulatory Action Initiated By:	ARIZONA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Restitution
Other Sanction(s) Sought:	
Date Initiated:	12/05/1997
Docket/Case Number:	97A-177
Employing firm when activity occurred which led to the regulatory action:	MET LIFE
Product Type:	Annuity(ies) - Fixed
Other Product Type(s):	
Allegations:	CLIENT ALLEGED THAT MAGDON GAVE INCORRECT ADVICE PERTAINING TO 10% IRA PREMATURE DISTRIBUTION PENALTY.
Current Status:	Final
Resolution:	Order
Resolution Date:	12/05/1997
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine \$1,000.00
Other Sanctions Ordered:	FINE = \$1000.00 RESTITUTION = \$3322.12
Sanction Details:	FINE PAID UPON ENTRY OF ORDER. RESTITUTION PAID IN 3 INSTALLMENTS - JANUARY/FEBRUARY/MARCH 1998.
Broker Statement	CLIENT ALLEGED THAT MAGDON GAVE INCORRECT INFORMATION ABOUT TAX STATUS OF IRA. MR. MAGDON THROUGH THE ADVICE OF HIS



ATTORNEY SETTLED THE CASE BECAUSE IT WOULD BE MORE EXPENSIVE
TO FIGHT THE ALLEGATIONS.



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, INC.

Allegations: ALLEGE THAT THE REPRESENTATIVE DID NOT TELL THEM THERE WOULD BE SURRENDER PENALTIES WHEN THEY SURRENDERED THEIR OLD POLICIES; ALLEGE THEY NEVER GOT THEIR NEW POLICIES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$11,000.00

Customer Complaint Information

Date Complaint Received: 12/07/2006

Complaint Pending? No

Status: Settled

Status Date: 02/08/2007

Settlement Amount: \$1,903.60

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, INC.

Allegations: ALLEGE THAT THE REPRESENTATIVE DID NOT TELL THEM THERE WOULD BE SURRENDER PENALTIES WHEN THEY SURRENDERED THEIR OLD POLICIES; ALLEGE THEY NEVER GOT THEIR NEW POLICIES.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$11,000.00

Customer Complaint Information



Date Complaint Received:	12/07/2006
Complaint Pending?	No
Status:	Settled
Status Date:	02/08/2007
Settlement Amount:	\$1,903.60
Individual Contribution Amount:	\$0.00
Broker Statement	SURRENDER CHARGES WERE DISCUSSED ON A NUMBER OF OCCASIONS AND THE CLIENT NOT ONLY WANTED TO PAY THEM, BUT ALSO INITIATED THE TRANSACTION. MASS MUTUAL ELECTED TO SETTLE WITHOUT MY AGREEMENT



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORP
Allegations:	CLIENT HAD COMMUNICATED TO REGISTERED REPRESENTATIVE THAT HE WAS INTERESTED IN SAVING THE MONTHLY PREMIUM HE WAS PAYING ON HIS \$100,000 LIFE INSURANCE POLICY AS HE WAS LOOKING FOR MORE GROWTH ON HIS INVESTMENT. CLIENT ELECTED TO DO A 1035 EXCHANGE IN SEPTEMBER 2012 OF THE LIFE INSURANCE INTO A VARIABLE ANNUITY AS HE INDICATED HE DIDN'T NEED THE LIFE INSURANCE COVERAGE. NOW THE CLIENT IS UPSET BECAUSE OF THE FEES ASSOCIATED WITH THE VARIABLE ANNUITY AND FEELS THE EXCHANGE WAS NOT BENEFICIAL BECAUSE OF THE FEES HE'S PAYING.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGES ALLEGED
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/29/2013
Complaint Pending?	No
Status:	Denied
Status Date:	05/08/2013
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

CLIENT ASKED FOR ME TO EXECUTE A 1035 EXCHANGE OF HIS LIFE INSURANCE INTO AN ANNUITY BECAUSE HE NO LONGER NEEDED THE COVERAGE. SIX MONTHS LATER HE CHANGED HIS MIND AND FILED A COMPLIANT BECUASE WE WOULD NOT REVERSE WHAT HE WANTED.

Disclosure 2 of 2

Reporting Source:

Firm

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

METLIFE SECURITIES

Allegations:

CUSTOMER ALLEGED THE REPRESENTATIVE MISREPRESENTED THE NEED FOR ADDITIONAL PREMIUM PAYMENTS ON THE VARIABLE LIFE INSURANCE POLICY PURCHASED IN MAY 2008. CUSTOMER HAS ALLEGED DAMAGES FOR THE RETURN OR PREMIUMS PAID AS NOTED BELOW.

Product Type:

Insurance

Alleged Damages:

\$24,000.00

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:

12/22/2009

Complaint Pending?

No

Status:

Denied

Status Date:

02/09/2010

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source:

Broker



Employing firm when activities occurred which led to the complaint:

METLIFE SECURITIES

Allegations:

CLIENT CLAIMS THAT A VARIABLE LIFE POLICY WAS NEVER DELIVERED TO HER AND THAT SHE HAD NO IDEA PREMIUMS WERE DUE. I FLEW TO VIRGINIA TO DELIVER HER POLICY ON 6/17/08 AND I HAVE A SIGNED RECEIPT AS WELL AS A SIGNED ILLUSTRATION INDICATING THE PREMIUMS NEEDED TO CARRY THE INSURANCE.

Product Type:

Insurance

Alleged Damages:

\$24,000.00

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:

12/22/2009

Complaint Pending?

No

Status:

Denied

Status Date:

02/09/2010

Settlement Amount:

\$0.00

Individual Contribution Amount:

\$0.00

Broker Statement

CLIENTS CLAIMS ARE FALSE. I PERSONALLY DELIVERED HER POLICY, THOROUGHLY EXPLAINED THE PREMIUM SCHEDULE, AS WELL AS OTHER OPTIONS, AND HAVE SIGNED DELIVERY RECEIPTS SO THAT SHE COULD ACHIEVE HER STATED OBJECTIVES AND GOALS TO LEAVE TAX-FREE FUNDS TO HER SON.

End of Report



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