

## BrokerCheck Report

**ANOPUT PHIMMASONE**

CRD# 1837043

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



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

Please contact FINRA with any concerns.

## About BrokerCheck®

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

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

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

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

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

- **How current is this information?**

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

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

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

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

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

**Thank you for using FINRA BrokerCheck.**



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



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



## ANOPUT PHIMMASONE

CRD# 1837043

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

**IA OSAIC WEALTH, INC.**  
10701 PARKRIDGE BLVD.  
SUITE 130  
RESTON, VA 20191  
CRD# 23131  
Registered with this firm since: 01/19/2024

**B OSAIC WEALTH, INC.**  
10701 PARKRIDGE BLVD.  
SUITE 130  
RESTON, VA 20191  
CRD# 23131  
Registered with this firm since: 01/19/2024

## 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
- 18 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- B WOODBURY FINANCIAL SERVICES, INC.**  
CRD# 421  
RESTON, VA  
07/2018 - 01/2024
- IA WOODBURY FINANCIAL SERVICES, INC.**  
CRD# 421  
OAKDALE, MN  
07/2018 - 01/2024
- IA CAPITAL ONE ADVISORS, LLC**  
CRD# 136865  
MCLEAN, VA  
01/2015 - 07/2018

### 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	6
Termination	1



## 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 18 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD  
SUITE 255  
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/19/2024
B	FINRA	General Securities Representative	Approved	01/19/2024

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/07/2025
B	California	Agent	Approved	01/19/2024
B	Connecticut	Agent	Approved	01/19/2024
B	Delaware	Agent	Approved	01/19/2024
B	District of Columbia	Agent	Approved	01/19/2024
IA	District of Columbia	Investment Adviser Representative	Approved	01/19/2024
B	Florida	Agent	Approved	01/19/2024
IA	Florida	Investment Adviser Representative	Approved	01/19/2024
B	Georgia	Agent	Approved	01/19/2024
B	Hawaii	Agent	Approved	01/19/2024
B	Illinois	Agent	Approved	01/19/2024

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	01/19/2024
IA	Maryland	Investment Adviser Representative	Approved	01/19/2024
B	New Jersey	Agent	Approved	01/19/2024
IA	New Jersey	Investment Adviser Representative	Approved	01/19/2024
B	New York	Agent	Approved	01/19/2024
B	Ohio	Agent	Approved	01/19/2024
B	Pennsylvania	Agent	Approved	01/19/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	01/19/2024
B	South Carolina	Agent	Approved	01/08/2025
B	Texas	Agent	Approved	01/19/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/10/2024
B	Virginia	Agent	Approved	01/19/2024
IA	Virginia	Investment Adviser Representative	Approved	01/19/2024
B	Washington	Agent	Approved	01/19/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 10701 PARKRIDGE BLVD.  
 SUITE 130  
 RESTON, VA 20191



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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/05/2000

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	06/18/1988

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/05/2005
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	07/06/1988

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **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>B</b> 07/2018 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	RESTON, VA
<b>IA</b> 07/2018 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	RESTON, VA
<b>IA</b> 01/2015 - 07/2018	CAPITAL ONE ADVISORS, LLC	136865	Washington, DC
<b>B</b> 01/2015 - 07/2018	CAPITAL ONE INVESTING, LLC	45744	McLean, VA
<b>IA</b> 01/2013 - 01/2015	CAPITAL ONE FINANCIAL ADVISORS LLC	127236	MELVILLE, NY
<b>B</b> 01/2013 - 01/2015	CAPITAL ONE INVESTMENT SERVICES LLC	25658	MCLEAN, VA
<b>B</b> 02/2012 - 01/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	MANASSAS, VA
<b>IA</b> 02/2012 - 01/2013	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	MANASSAS, VA
<b>B</b> 04/2010 - 02/2012	INFINEX INVESTMENTS, INC.	35371	ARLINGTON, VA
<b>IA</b> 04/2010 - 02/2012	INFINEX INVESTMENTS, INC.	35371	ARLINGTON, VA
<b>B</b> 03/2009 - 04/2010	RBC CAPITAL MARKETS CORPORATION	31194	MCLEAN, VA
<b>IA</b> 03/2009 - 04/2010	RBC CAPITAL MARKETS CORPORATION	31194	MCLEAN, VA
<b>IA</b> 02/2008 - 03/2009	FERRIS, BAKER WATTS, LLC	285	MCLEAN, VA
<b>B</b> 02/2008 - 03/2009	FERRIS, BAKER WATTS, LLC	285	MCLEAN, VA
<b>IA</b> 02/2005 - 02/2008	WACHOVIA SECURITIES, LLC	19616	WASHINGTON, DC
<b>B</b> 10/2000 - 02/2008	WACHOVIA SECURITIES, LLC	19616	WASHINGTON, DC
<b>B</b> 08/1997 - 10/2000	FIRST UNION BROKERAGE SERVICES, INC.	8112	CHARLOTTE, NC
<b>B</b> 07/1995 - 07/1997	WHEAT, FIRST SECURITIES, INC.	6124	CHARLOTTE, NC
<b>B</b> 05/1993 - 07/1995	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 04/1992 - 06/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
<b>B</b> 03/1989 - 04/1992	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY





## Registration and Employment History

### Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 06/1988 - 03/1989	F.N. WOLF & CO., INC.	13051	

### 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
01/2024 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	RESTON, VA, United States
07/2018 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	REGISTERED REP	Y	McLean, VA, United States
01/2015 - 07/2018	CAPITAL ONE ADVISORS, LLC	Financial Advisor III	Y	Washington, DC, United States
01/2015 - 07/2018	Capital One Investing, LLC	Financial Advisor III	Y	Washington, DC, 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. P.I.M. CAPITAL, LLC

POSITION: Managing partner/ Chief Investment Officer, Portfolio Manager NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 100 START DATE: 07/16/2018  
 ADDRESS: 10701 Parkridge Blvd, Suite 130, Reston VA 20191, United States  
 DESCRIPTION: Investment related, market research, portfolio management.

#### 2. RIDE TECHNOLOGY US PATENT #7677208

POSITION: Investor NATURE: Patent INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 10/04/2021  
 ADDRESS: 4713 Kimmeridge Drive, Moseley VA 23120, United States  
 DESCRIPTION: Ownership of 10% of the Patent



# Registration and Employment History

## Other Business Activities, continued

3. RADFORD UNIVERSITY FOUNDATION, INC  
POSITION: Board Member/Investement committee NATURE: University Foundation INVESTMENT RELATED: No NUMBER OF HOURS: 1  
SECURITIES TRADING HOURS: 1 START DATE: 06/30/2025  
ADDRESS: 905 Tyler Ave., Radford VA 24141, United States  
DESCRIPTION: Support strategic initiatives, help drive the foundation mission, ensuring fiscal responsibility.

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## Disclosure Events



### What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
    - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
    - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	6	N/A
Termination	N/A	1	N/A



## Disclosure Event Details

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

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

### Customer Dispute - Settled

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

#### Disclosure 1 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WACHOVIA SECURITIES, LLC
<b>Allegations:</b>	MD RESIDENT WRITES THAT FA DID NOT DISCLOSE A SALES CHARGE OF APPROXIMATELY \$6,000 ON A UIT HE PURCHASED ON 5/4/07. CLIENT BOUGHT A FIRST TRUST NASDAQ 100 UIT IN THE PRINCIPAL AMOUNT OF \$174,997.45.
<b>Product Type:</b>	Unit Investment Trust(s)
<b>Alleged Damages:</b>	\$6,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	05/15/2007
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	06/01/2007
<b>Settlement Amount:</b>	\$5,687.41
<b>Individual Contribution Amount:</b>	\$2,104.34
<b>Broker Statement</b>	IN THE INTERESTS OF CLIENT RELATIONS AND WITHOUT ADMITTING LIABILITY, CANCELED TRADE AT NO COST TO CLIENT AND FA FORFEITS COMMISSION.



### Disclosure 2 of 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST UNION SECURITIES, INC.
<b>Allegations:</b>	ATTORNEY FOR CLIENTS CLAIM THAT MR. PHIMMASONE MISREPRESENT S IN CAI WIRELESS AND PHP AND THAT INVESTMENTS WERE NOT DIVERSIFIED AND UNSUITABLE. THAT MR. PHIMMASONE MISREPRESENTED THE CLIENT'S FINANCIAL PROFILE ON THEIR NEW ACCOUNT DOCUMENTS.
<b>Product Type:</b>	Equity - OTC
<b>Alleged Damages:</b>	\$16,700.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/02/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/11/1999
<b>Settlement Amount:</b>	\$9,900.00
<b>Individual Contribution Amount:</b>	\$0.00
<b>Firm Statement</b>	SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID LITIGATION IN THE AMOUNT OF \$9900.00. WE WILL SEEK 100% CONTRIBUTION FROM MR. PHIMMASONE.

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WHEAT FIRST UNION
<b>Allegations:</b>	ATTORNEY FOR VIRGINIA RESIDENTS CLAIMS THAT (1) MISREPRESENTATIONS WERE MADE IN INVESTMENTS IN CAI WIRELESS AND PHP HEALTHCARE, (2) THAT INVESTMENTS IN THOSE STOCKS WERE UNSUITABLE, AND (3) CUSTOMER'S INVESTMENT OBJECTIVE WAS WRONG ON NEW ACCOUNT DOCUMENT.



**Product Type:** Equity Listed (Common & Preferred Stock)

**Alleged Damages:** \$16,700.00

### Customer Complaint Information

**Date Complaint Received:** 08/02/1999

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/01/1999

**Settlement Amount:** \$9,500.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** WHEAT FIRST SECURITIES, INC.

**Allegations:** CLIENT COMPLAINS OF HANDLING OF (2) EQUITIES-PPH AND CAWS-AND CLAIMS THAT THE FA WAS TOLD TO HOLD STOCKS BECAUSE THEY WOULD APPRECIATE IN VALUE. ALSO COMPLAINS THAT HE WAS NEVER TOLD THAT FIRM HAD DOWNGRADED OPINION OF THESE STOCKS. CLAIMS LOSSES OF \$20,000+. FIRST UNION CAPITAL MARKETS CORP. IS THE EMPLOYING FIRM.

**Product Type:**

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 09/11/1998

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/10/1999

**Settlement Amount:** \$7,500.00

**Individual Contribution Amount:****Firm Statement**

FOR BUSINESS PURPOSES AND WITHOUT ADMITTING LIABILITY ON THE PART OF THE FIRM, THE MATTER WAS SETTLED IN THE AMOUNT OF \$7,500.  
NOT PROVIDED

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**Reporting Source:**

Broker

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

WHEAT FIRST SECURITIES, INC.

**Allegations:**

THE CUSTOMER WROTE A LETTER TO MR. PHIMMASONE'S FORMER FIRM, WHEAT FIRST SECURITIES, INC., CLAIMING THAT MR. PHIMMASONE TOLD THE CUSTOMER TO HOLD STOCKS BECAUSE THEY WOULD APPRECIATE IN VALUE. HE ALSO CLAIMS THAT HE WAS NEVER TOLD THAT WHEAT FIRST HAD DOWNGRADED ITS OPINION IN THESE STOCKS. CLAIMS LOSSES OF \$20,000+

**Product Type:**

Equity Listed (Common & Preferred Stock)

**Alleged Damages:**

\$20,000.00

**Customer Complaint Information****Date Complaint Received:**

09/11/1998

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

06/10/1999

**Settlement Amount:**

\$7,500.00

**Individual Contribution Amount:**

\$0.00



## 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 3

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	Wells Fargo Advisors Financial Network, LLC
<b>Allegations:</b>	Client alleges that he was unaware of facts regarding the annuity prior to purchase. (10/29/2012)
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client alleges unspecified damages, good faith determination indicates damages greater than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/21/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/15/2016
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

<b>Reporting Source:</b>	Broker
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<b>Employing firm when activities occurred which led to the complaint:</b>	Wells Fargo Advisors Financial Network, LLC
<b>Allegations:</b>	Client alleges that he was unaware of facts regarding the annuity prior to purchase (10/29/2012).
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client alleges unspecified damages, good faith determination indicates damages greater than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/21/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	03/15/2016
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	This is a baseless claim. Client was given annuity brochure, prospectus and illustration with all the facts and disclosure to review days prior to client deciding to invest. Client signed an acknowledge letter stating that he had received documents and he understood it.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	WACHOVIA SECURITIES, LLC
<b>Allegations:</b>	ATTORNEY OF WASHINGTON, DC RESIDENT WRITES THAT HIS CLIENT



WANTED AN INVESTMENT WITH THE LOWEST RISK POSSIBLE, AND AND ASSURANCE THAT THE PRINCIPAL WOULD NOT BE REDUCED. CLIENT PURCHASED \$50,000 FT SENIOR LOAN UIT IN OCTOBER 2004, AND SOLD IN AUGUST 2005 FOR \$42,324.

**Product Type:** Unit Investment Trust(s)

**Alleged Damages:** \$7,676.00

### Customer Complaint Information

**Date Complaint Received:** 12/14/2005

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/18/2006

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

INVESTMENT WAS APPROPRIATE BASED ON ACCOUNT INVESTMENT OBJECTIVE, RISK TOLERANCE AND CLIENT'S FINANCIAL PROFILE. CLIENT HAD OVER \$350,000 LIQUID ASSETS, INCLUDING \$120,000 IN MONEY MARKET ACCOUNT. LEFT \$70,000 IN MONEY MARKET FOR PRESERVATION OF PRINCIPAL AND INVESTED \$50,000 IN UIT FOR GREATER YIELD. BROKER DISCUSSED RISKS OF INVESTMENT, CLIENT HELD OTHER UITs IN BROKERAGE ACCOUNT, AND SIGNED DISCLOSURE ACKNOWLEDGING RISKS.

### Disclosure 3 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** WACHOVIA SECURITIES, LLC

**Allegations:** A PARIS, FRANCE RESIDENT COMPLAINED, STATING THAT HE HAD REVIEWED THE WRITTEN PROSPECTUS FOR HIS ING GLOBAL REAL ESTATE INCOME FUND BEFORE PURCHASING THE FUND, BUT STATED THAT HE DID NOT UNDERSTAND THE RISKS ASSOCIATED WITH THE INVESTMENT BASED UPON HIS REVIEW OF THE WRITTEN MATERIALS. THE CLIENT ALSO ALLEGED THAT THE VERBAL DISCLOSURES MADE BY HIS FINANCIAL ADVISOR DID NOT ADEQUATELY INFORM HIM OF THE INVESTMENT RISKS OF THE FUND. THE CLIENT CLAIMED DAMAGES OF



\$40,000.00.

**Product Type:** Mutual Fund(s)**Alleged Damages:** \$40,000.00**Customer Complaint Information****Date Complaint Received:** 06/15/2004**Complaint Pending?** No**Status:** Denied**Status Date:** 07/02/2004**Settlement Amount:****Individual Contribution  
Amount:****Broker Statement**

CLAIM DENIED BY THE FIRM. BASED UPON ITS REVIEW OF THE MATTER, THE FIRM CONCLUDED THAT THE RISKS ASSOCIATED WITH THE INVESTMENT WERE APPROPRIATELY DISCLOSED, BOTH VERBALLY AND IN WRITING, PRIOR TO THE CLIENT'S INVESTMENT PURCHASE.



## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	PRUDENTIAL SECURITIES
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	06/23/1995
<b>Allegations:</b>	<p>Not Provided</p> <p>I PERMITTED OTHER EMPLOYEES TO ENGAGE IN          COMMODITY TRANSACTIONS IN MY COMMODITIES ACCOUNT AND ALSO          ENGAGED IN COMMODITY TRANSACTIONS IN ANOTHER EMPLOYEES          ACCOUNT          AFTER THE CLOSURE OF THE ACCOUNT.</p>
<b>Product Type:</b>	
<b>Other Product Types:</b>	
<b>Broker Statement</b>	<p>PERMANENT TERMINATION</p> <p>SAME AS ABOVE</p>

## End of Report



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