BrokerCheck Report

DAVID PATRICK LUETKEMEYER

CRD# 1854563

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.

DAVID P. LUETKEMEYER

CRD# 1854563

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

IA **AMERIPRISE FINANCIAL SERVICES, LLC**
2870 S Ingram Mill Rd
Ste D1
Springfield, MO 65804
CRD# 6363
Registered with this firm since: 05/06/2022

B **AMERIPRISE FINANCIAL SERVICES, LLC**
2870 S Ingram Mill Rd
Ste D1
Springfield, MO 65804
CRD# 6363
Registered with this firm since: 05/06/2022

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
- 12 U.S. states and territories

This broker has passed:

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

Registration History

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

B **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
SPRINGFIELD, MO
05/2010 - 05/2022

IA **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
ST. LOUIS, MO
05/2010 - 05/2022

B **MORGAN STANLEY SMITH BARNEY**
CRD# 149777
SPRINGFIELD, MO
06/2009 - 05/2010

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
Criminal	1
Customer Dispute	4

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

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH**
MINNEAPOLIS, MN 55402

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/06/2022

	U.S. State/ Territory	Category	Status	Date
B	Alaska	Agent	Approved	06/03/2022
B	Arkansas	Agent	Approved	05/06/2022
B	California	Agent	Approved	05/09/2022
B	Florida	Agent	Approved	05/09/2022
B	Georgia	Agent	Approved	05/09/2022
B	Illinois	Agent	Approved	05/13/2022
B	Kansas	Agent	Approved	05/06/2022
B	Missouri	Agent	Approved	06/03/2022
IA	Missouri	Investment Adviser Representative	Approved	06/03/2022
B	Montana	Agent	Approved	01/16/2024
B	Nevada	Agent	Approved	05/06/2022
B	Texas	Agent	Approved	05/06/2022

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	05/06/2022
B	Virginia	Agent	Approved	03/27/2023

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
2870 S Ingram Mill Rd
Ste D1
Springfield, MO 65804

AMERIPRISE FINANCIAL SERVICES, LLC
Springfield, MO

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, 3 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	Futures Managed Funds Examination	Series 31	05/17/2007
B	General Securities Representative Examination	Series 7	09/17/1988

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	03/08/2002
B	Uniform Securities Agent State Law Examination	Series 63	09/23/1988

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/.

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	05/2010 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	SPRINGFIELD, MO
IA	05/2010 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	19616	SPRINGFIELD, MO
B	06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY	149777	SPRINGFIELD, MO
IA	06/2009 - 05/2010	MORGAN STANLEY SMITH BARNEY LLC	149777	SPRINGFIELD, MO
B	04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	SPRINGFIELD, MO
IA	04/2007 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	SPRINGFIELD, MO
IA	11/2006 - 04/2007	MORGAN STANLEY	7556	SPRINGFIELD, MO
B	11/2006 - 04/2007	MORGAN STANLEY DW INC.	7556	SPRINGFIELD, MO
IA	11/1999 - 11/2006	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	SPRINGFIELD, MO
B	10/1999 - 11/2006	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	SPRINGFIELD, MO
B	07/1995 - 09/1999	EDWARD D. JONES & CO., L.P.	250	ST. LOUIS, MO
B	08/1991 - 07/1995	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
B	09/1988 - 08/1991	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B	09/1988 - 08/1991	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

Employment History

Registration and Employment History

Employment History, continued

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

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

Employment	Employer Name	Position	Investment Related	Employer Location
05/2022 - Present	Ameriprise Financial Services, LLC	Registered Representative	Y	Springfield, MO, United States
11/2016 - 05/2022	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SPRINGFIELD, MO, United States
05/2010 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SPRINGFIELD, MO, 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
Criminal	0	1	0
Customer Dispute	0	4	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	CAMDEN COUNTY COURT, CAMDENTON, MISSOURI
Charge Date:	03/29/1989
Charge Details:	CLASS D FELONY (BAD CHECK CHARGE) 1 COUNT, NOT GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	10/25/1989
Disposition Details:	DISMISSED THE CHARGES. WE DID SO BY MEANS OF "NOLLE PROSEQUI" - - THE WAY CRIMINAL CHARGES ARE DISMISSED IN MISSOURI.
Broker Statement	AS THE RESULT OF A CHAPTER 11 FILING, THE BUSINESS WAS CLOSED. ONE CHECK DID NOT CLEAR. I CONTACTED THE COMPANY AND MADE PAYMENT AS DISCUSSED. PROSECUTING ATTORNEY FILED CHARGES EVEN THOUGH CHECK WAS PAID. EXPLAINED TO JUDGE AND DISMISSED.

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:	Broker
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA -- HEIM & YOUNG FINANCIAL SERVICES
Allegations:	LOSS OF $12,000.00. UNSUITABILITY, FRAUD, NEGLIGENCE, BREACH OF FIDUCIARY DUTIES. EARLY 1994. [CUSTOMER'S] INVESTED SOME $80,000 IN MUTUAL FUNDS WITH A FRONT SALES CHARGE WITH MARKET DOWNTURN AND SALES CHARGE COMBINED TO SHOW A NEGATIVE RETURN OF 10% - 12% -- THEY GOT SCARED, WOULD NOT LISTEN TO REASON, PULLED OUT FOR A LOSS.
Product Type:	Mutual Fund(s)
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	07/25/1994
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/25/1994
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	AMERICAN ARBITRATION ASSOCIATION; 57 E 169 0060 95
Date Notice/Process Served:	07/25/1994
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/01/1995

Monetary Compensation Amount:	$12,000.00
Individual Contribution Amount:	$3,000.00
Broker Statement	UNDECIDED BEFORE SEEKING ARBITRATION, THE [CUSTOMERS] NOTIFIED THE COMMISSIONER OF SECURITIES, STATE OF MISSOURI, AFTER REVIEWING THE COMPLETE FILE AND A STATEMENT FROM ME THE FILE WAS OFFICIALLY CLOSED AND A LETTER MAILED TO THE [CUSTOMERS] ON OCTOBER 20, 1994.

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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	CLIENT ALLEGES MISREPRESENTATION WITH RESPECT TO PURCHASE OF EXG ON 2/22/2007
Product Type:	Other: Closed End Funds
Alleged Damages:	$11,133.00
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:	08/31/2016
Complaint Pending?	No
Status:	Denied
Status Date:	01/25/2017
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MSSB
Allegations:	CLIENT ALLEGES MISREPRESENTATION WITH RESPECT TO PURCHASE OF EXG ON 2/22/2007

Product Type:	Other: CLOSED END FUNDS
Alleged Damages:	$11,133.00
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:	08/31/2016
Complaint Pending?	No
Status:	Denied
Status Date:	01/25/2017
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CUSTOMER ALLEGES FA FAILED TO FOLLOW INSTRUCTIONS AND MISREPRESENTED FACTS ON EXCHANGING FUNDS.
Product Type:	Mutual Fund
Alleged Damages:	$6,046.66
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:	04/08/2005

Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/10/2011
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THIS MATTER ARISES OUT OF TRANSACTIONS UNDERTAKEN AT A PRIOR OR PREVIOUS FIRM. WELLS FARGO ADVISORS HAS NO RECORDS OR INFORMATION RELATING TO THE ISSUES REPRESENTED IN THIS REPORT. THE MATTER IS CONSIDERED CLOSED.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT CLAIMS HE WAS INFORMED HIS ANNUITY WOULD EARN 8% FOR ONE YEAR, GUARANTEED. CLIENT ALSO CLAIMS HE UNDERSTOOD THE RATE MIGHT REDUCE IN SUBSEQUENT YEARS BUT THE ORIGINAL $400,000 INVESTMENT WOULD NOT BE REDUCED. CLIENT STATES HE RECEIVED A CALL FROM THE NEW INVESTMENT REP INDICATING HE HAD TO DCA HIS $400,000 INTO THE VARIOUS MUTUAL FUNDS WITHIN A SIX OR TWELVE MONTH PERIOD. CLIENT STATES HE ASKED ABOUT WITHDRAWING THE MONEY AND WAS INFORMED HE WOULD INCUR A 6% PENALTY BUT THAT HE COULD WITHDRAW $57,151.09 WITHOUT PENALTIES BUT WOULD HAVE TO REPORT THE INCOME. CLIENT CLAIMS HE WAS THEN INFORMED AS A RESULT OF THE WITHDRAWALS HE WOULD INCUR A $5,715.00 PENALTY FROM THE IRS. CLIENT CLAIMS HE BELIEVES THE TERMS OF THE INVESTMENT HAVE CHANGED AND HE WAS NOT INFORMED OF IRS PENALTIES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,715.00

Customer Complaint Information

Date Complaint Received: 08/14/2001

Complaint Pending? No

Status: Denied

Status Date: 10/05/2001

Settlement Amount:

Individual Contribution Amount:

Firm Statement

CLIENT PURCHASED ANNUITY WITH IR, DAVID LUETKEMEYER; THE ANNUITY WAS ESTABLISHED
AS A 101 ACCOUNT WHICH DID NOT REQUIRE THE FUNDS BE MOVED TO SUB-ACCOUNTS IN ANY
SPECIFIC TIME FRAME. THE ANNUITY PD 8.25% FOR THE FIRST YEAR AND COULD DROP AFTER
THAT. THE CLIENT TRANSFERRED ACCOUNT TO MERRILL LYNCH WHEN LUETKEMEYER WENT
THERE AFTER LEAVING EDJ, HOWEVER, THE ANNUITY COULD NOT BE MOVED; THE NEW IR,
BRAD HEEREN; STATED THE CLIENT CONTACTED HIM REQUESTING INFORMATION ON THE
VARIOUS SUB-ACCOUNTS AVAILABLE. HEEREN STATED HE OFFERED TO DISCUSS THE
OPTIONS AVAILABLE HOWEVER THE CLIENT DECLINED AND ASKED FOR THE INFO TO BE
PROVIDED. ON 4/4/00 THE CLIENT CONTACTED HEEREN AND REQUESTED $225,000 BE
ALLOCATED TO THE OPPENHEIMER CAP. APPR, GOLDMAN SACHS CAPITAL GROWTH
AND MFS EMERGING GROWTH FOR $75,000 EACH. HEEREN INFORMED THE CLIENT THESE
WERE ALL GROWTH FUNDS AND BECAUSE HE HAD TRANSFERRED HIS ACCOUNT OUT
COULD NOT DETERMINE IF THIS WOULD BE SUITABLE AND SUGGESTED A PORTFOLIO
REVIEW, HOWEVER, THE CLIENT REQUESTED THE CHANGES. IN MAY 2000 HEEREN
WAS INFORMED THE 8.25% WAS ABOUT TO CHANGE TO WHAT HE RECALLS WAS 4%,
THIS WAS CONVEYED TO THE CLIENT AS WELL AS OPTIONS AS THE RATE WAS

UNACCEPTABLE TO THE CLIENT. THE CLIENT ELECTED TO ESTABLISH A 12-MONTH
DCA WITH THE REMAINING FUNDS AND THE VANKAMPEN EMERGING GROWTH FUND
WAS SUGGESTED AND VERIFIED THE CLIENTS OBJECTIVE AS STILL BEING GROWTH
WITH THESE FUNDS; CLIENT VERIFIED THIS AND REQUESTED THE 12MO DCA BE
ESTABLISHED; THE CLIENT THEN CONTACTED HEEREN ASKING IF THESE MONIES
COULD BE WITHDRAWN WITHOUT PENALTY. HEEREN STATED HE REVIEWED THE
CDSC CHARGES AND 10% PENALTY FOR EARLY WITHDRAWAL. THE CLIENT INSTRUCTED HEEREN TO REQUEST THE DISTRIBUTION FOR THE MAXIMUM AMOUNT
HE COULD TAKE WITHOUT A CDSC CHARGE. THIS IS ALSO CONVEYED IN THE ANNUITY
CONTRACT PROVIDED TO THE CLIENT AND WHICH THE CLIENT ACKNOWLEDGES RECEIPT
OF ON 5/13/99. CLAIM DENIED

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT CLAIMS HE WAS INFORMED HIS ANNUITY WOULD EARN 8% FOR ONE YEAR, GUARANTEED. CLIENT ALSO CLAIMS HE UNDERSTOOD THE RATE MIGHT REDUCE IN SUBSEQUENT YEARS BUT THE ORIGINAL $400,000 INVESTMENT WOULD NOT BE REDUCED. CLIENT STATES HE RECEIVED A CALL FROM THE NEW INVESTMENT REP INDICATING HE HAD TO DCA HIS $400,000 INTO THE VARIOUS MUTUAL FUNDS WITHIN A SIX OR TWELVE MONTH PERIOD.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$5,715.00

Customer Complaint Information

Date Complaint Received:	08/14/2001
Complaint Pending?	No
Status:	Denied

Status Date:	10/05/2001
Settlement Amount:	
Individual Contribution Amount:	

End of Report

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