

BrokerCheck Report

ALAN JOSEPH THOMILSON

CRD# 1855542

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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.

ALAN J. THOMILSON

CRD# 1855542

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
- 2 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, INC.**
CRD# 6363
Clayton, MO
11/2017 - 08/2018
- B LINCOLN FINANCIAL SECURITIES CORPORATION**
CRD# 3870
EDWARDSVILLE, IL
08/2011 - 12/2017
- B ONEAMERICA SECURITIES, INC.**
CRD# 4173
EDWARDSVILLE, IL
08/2005 - 08/2011

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	7

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, 2 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	08/17/2018
B General Securities Representative Examination	Series 7	07/16/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/06/2005
B Uniform Securities Agent State Law Examination	Series 63	08/02/1988

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 11/2017 - 08/2018	AMERIPRISE FINANCIAL SERVICES, INC.	6363	Clayton, MO
B 08/2011 - 12/2017	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	EDWARDSVILLE, IL
B 08/2005 - 08/2011	ONEAMERICA SECURITIES, INC.	4173	EDWARDSVILLE, IL
B 05/2005 - 06/2005	NFP SECURITIES, INC.	42046	AUSTIN, TX
B 02/1989 - 05/2005	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 02/1989 - 05/2005	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 07/1988 - 08/1988	HIBBARD BROWN & CO., INC.	18246	

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
08/2018 - Present	Cornerstone Securities	IAR	Y	Overland Park, KS, United States
11/2017 - 08/2018	Ameriprise Financial Services Inc	REGISTERED REP	Y	Clayton, MO, United States
08/2011 - 11/2017	LINCOLN FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	EDWARDSVILLE, IL, 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.

Real Estate Ownership; Single Family; Edwardsville il 62025; Investment Related; July 2016.

Registration and Employment History



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	7	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.

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:	CIRCUIT COURT ST LOUIS COUNTY MISSOURI. CASE NUMBER: 04CR-843
Charge Date:	12/23/2003
Charge Details:	COUNT 1: FELONY- CLASS C POSSESSION OF A CONTROLLED SUBSTANCE. GUILTY COUNT 2: MISDEMEANOR POSSESSION OF A CONTROLLED SUBSTANCE. GUILTY
Felony?	Yes
Current Status:	Final
Status Date:	07/09/2004
Disposition Details:	COUNT 1: IMPOSITION OF ANY SENTENCE WAS SUSPENDED. PLACED ON BENCH PROBATION FOR 3 YEARS. AFTER SUCESSFUL COMPLETION OF PROBATION, RECORD WILL BE SEALED. COUNT 2: IMPOSITION OF ANY SENTENCE WAS SUSPENDED. PLACED ON BENCH PROBATION FOR 2 YEARS TO RUN CONCURRENTLY WITH COUNT 1.



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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, LLC
Allegations:	Claimants allege, during the time period November 2017-August 2018, their former Ameriprise advisor recommended they liquidate their positions in 3 variable annuities, which caused them to incur surrender charges, in order to invest in a fixed-indexed annuity.
Product Type:	Annuity-Variable
Alleged Damages:	\$250,000.00
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:	12/28/2020
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	01/25/2021
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-00710
Date Notice/Process Served:	03/18/2021



Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/20/2023
Monetary Compensation Amount:	\$21,500.00
Individual Contribution Amount:	\$0.00
Firm Statement	The customer complaint was denied on 1/25/21 and Ameriprise received a statement of claim on 3/18/21. Ameriprise settled the matter to avoid the cost of FINRA Arbitration. As of the date of settlement, the case remains pending against Alan Thomilson.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Lincoln Financial Securities
Allegations:	Claimants allege RR made material misrepresentations and omissions to them regarding investments made in the brokerage accounts, including the purchase of certain variable annuities.
Product Type:	Annuity-Variable
Alleged Damages:	\$250,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-00710
Date Notice/Process Served:	03/22/2021
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/26/2021
Monetary Compensation Amount:	\$15,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: OneAmerica Securities, Inc.

Allegations: Between November 2010 and August 2011, clients allege representative recommended an unsuitable annuity as well as "reverse churned" their brokerage accounts.

Product Type: Annuity-Fixed
Equity Listed (Common & Preferred Stock)
Mutual Fund

Alleged Damages: \$250,000.00

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 #: 21-00710

Filing date of arbitration/CFTC reparation or civil litigation: 03/18/2021

Customer Complaint Information

Date Complaint Received: 03/29/2021

Complaint Pending? No

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

Status Date: 03/18/2021

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-00710
Date Notice/Process Served:	03/29/2021
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/20/2021
Monetary Compensation Amount:	\$14,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES
Allegations:	CLAIMANT ALLEGES THE RR MISREPRESENTED AND MISSTATED FACTS MATERIAL TO HIS RECOMMENDATION IN JANUARY 2012 TO REPLACE AN EXISTING VARIABLE ANNUITY WITH AN INDEXED ANNUITY AND THE RECOMMENDATION WAS NOT SUITABLE.
Product Type:	Annuity-Fixed
Alleged Damages:	\$125,000.00
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 #:	15-00572



Filing date of arbitration/CFTC reparation or civil litigation: 03/06/2015

Customer Complaint Information

Date Complaint Received: 03/19/2015
Complaint Pending? No
Status: Settled
Status Date: 10/24/2016
Settlement Amount: \$75,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL SECURITIES CORPORATION

Allegations: THE CLIENT ALLEGES THE INDEXED ANNUITIES THAT WERE PURCHASED IN JANUARY AND JUNE OF 2012 WITH SECURITIES-RELATED ASSETS WERE UNSUITABLE RECOMMENDATIONS.

Product Type: Other: EQUITY INDEX ANNUITY

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00.

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: 01/09/2013
Complaint Pending? No



Status:	Settled
Status Date:	05/30/2013
Settlement Amount:	\$189,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	REGISTERED REPRESENTATIVE DID NOT CONTRIBUTE TO THE RESOLUTION.

Disclosure 4 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ONEAMERICA SECURITIES, INC.
Allegations:	<p>THE COMPLAINANT COMPLETED AN ANNUITY REALLOCATION FORM AND SENT IT TO THE REPRESENTATIVE ON 9/26/2008. UPON RECEIPT OF THE COMPLETED FORM, THE REPRESENTATIVE REALLOCATED THE COMPLAINANT'S ANNUITY PER THE FORM'S INSTRUCTIONS. ON 11/6/2008, VARIOUS STOCK POSITIONS IN THE COMPLAINANT'S BROKERAGE ACCOUNT WERE SOLD. IN HER COMPLAINT, DATED 12/12/2008, THE COMPLAINANT ALLEGED THAT SHE INSTRUCTED THE REPRESENTATIVE TO SELL HER STOCK ON 9/26/2008, BUT THAT THE STOCK WAS NOT SOLD UNTIL AFTER SHE FOLLOWED UP WITH HIM ON 11/6/2008. REPRESENTATIVE CONTENDS HE DID NOT RECEIVE THE SELL INSTRUCTIONS UNTIL 11/6/2008. BASED ON CONVERSATIONS WITH THE COMPLAINANT, SHE APPEARS TO CONTEND THAT HER ANNUITY REALLOCATION FORM WAS THE INSTRUCTIONS FOR BOTH SELLING THE STOCK IN HER BROKERAGE ACCOUNT AND FOR REALLOCATING HER SUBACCOUNTS IN THE ANNUITY. THIS MISUNDERSTANDING APPEARS TO BE THE ROOT OF OF HER ALLEGATIONS THAT THE REPRESENTATIVE FAILED TO FOLLOW INSTRUCTIONS. THE COMPLAINANT DEMANDED THAT SHE RECEIVE THE STOCKS' PRICE ON 9/26/2008 VERSUS THE PRICES SHE RECEIVED ON 11/6/2008, AN AGGREGATE DIFFERENCE OF \$6,938. THE MATTER WAS RESOLVED FOR THE REQUESTED AMOUNT.</p>
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$6,932.00
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: 11/23/2009

Complaint Pending? No

Status: Settled

Status Date: 02/26/2010

Settlement Amount: \$6,938.00

**Individual Contribution
Amount:** \$6,938.00



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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY PURCHASED IN FEBRUARY 1997. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
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:	12/12/2012
Complaint Pending?	No
Status:	Denied
Status Date:	12/20/2012
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	METLIFE SECURITIES
Allegations:	CUSTOMER ALLEGED THAT THE REPRESENTATIVE MISREPRESENTED THE VARIABLE LIFE INSURANCE POLICY PURCHASED IN FEBRUARY 1997. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	IT IS BELIEVED POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.
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:	12/12/2012
Complaint Pending?	No
Status:	Denied
Status Date:	12/20/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DO NOT RECALL THIS CLIENT; I DO NOT HAVE ANYTHING TO DO WITH THIS CLIENT.

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	METLIFE
Allegations:	CUSTOMER ALLEGES THAT WHEN HE PURCHASED A VARIABLE LIFE INSURANCE POLICY IN JULY 1995 HE WAS NOT ADVISED THE PREMIUM



WOULD INCREASE. NO COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/07/2008

Complaint Pending? No

Status: Denied

Status Date: 01/29/2008

Settlement Amount:

**Individual Contribution
Amount:**

Reporting Source: Broker

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

Allegations: CUSTOMER ALLEGES THAT WHEN HE PURCHASED A VARIABLE LIFE INSURANCE POLICY IN JULY 1995 HE WAS NOT ADVISED THE PREMIUM WOULD INCREASE. NO COMPENSATORY DAMAGES WERE ALLEGED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 01/07/2008

Complaint Pending? No

Status: Denied

Status Date: 01/29/2008

Settlement Amount:

**Individual Contribution
Amount:**



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

Allegations: CLIENT ALLEGES THAT AT NO TIME DID MR. THOMILSON SAY ANYTHING ABOUT A PENALTY AT ANY WITHDRAWAL TIME REGARDING HIS VARIABLE ANNUITY CONTRACT THAT WAS PURCHASED IN MAY OF 2003.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,069.38

Customer Complaint Information

Date Complaint Received: 01/17/2006

Complaint Pending? No

Status: Denied

Status Date: 03/03/2006

Settlement Amount:

Individual Contribution Amount:

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

Allegations: CLIENT ALLEGES THAT AT NO TIME DID MR THOMILSON SAY ANYTHING ABOUT A PENALTY AT ANY WITHDRAWAL TIME REGARDING HIS VARIABLE ANNUITY CONTRACT THAT WAS PURCHASED IN MAY 2003.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,069.38

Customer Complaint Information

Date Complaint Received: 01/17/2006

Complaint Pending? No

Status: Denied

Status Date: 03/03/2006



Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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