

**BrokerCheck Report**

**SCOTT EUGENE SHOUP**

CRD# 1874559

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## 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:

- o 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
- o 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.



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)

**Thank you for using FINRA BrokerCheck.**



## SCOTT E. SHOUP

CRD# 1874559

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

#### CETERA ADVISOR NETWORKS LLC

2591 WEXFORD-BAYNE RD STE 202

SEWICKLEY, PA 15143

CRD# 13572

Registered with this firm since: 09/03/2013

## 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
- 14 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):

#### WALNUT STREET SECURITIES, INC.

CRD# 15840

SEWICKLEY, PA

12/2003 - 09/2013

#### FINANCIAL INVESTMENT ANALYSTS, INC.

CRD# 16010

PITTSBURGH, PA

10/1988 - 01/2004

### 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 | 5     |

### 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 individual is currently registered with 1 SRO and is licensed in 14 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **CETERA ADVISOR NETWORKS LLC**  
 Main Office Address: **200 N PACIFIC COAST HWY  
 STE 1300  
 EL SEGUNDO, CA 90245-5672**  
 Firm CRD#: **13572**

| SRO   | Category                          | Status   | Date       |
|-------|-----------------------------------|----------|------------|
| FINRA | General Securities Representative | APPROVED | 09/03/2013 |

| U.S. State/<br>Territory | Category | Status   | Date       | U.S. State/<br>Territory | Category | Status   | Date       |
|--------------------------|----------|----------|------------|--------------------------|----------|----------|------------|
| Florida                  | Agent    | APPROVED | 09/03/2013 | West Virginia            | Agent    | APPROVED | 09/03/2013 |
| Illinois                 | Agent    | APPROVED | 01/11/2016 |                          |          |          |            |
| Maryland                 | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| Massachusetts            | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| New York                 | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| North Carolina           | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| Ohio                     | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| Oklahoma                 | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| Pennsylvania             | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| South Carolina           | Agent    | APPROVED | 10/12/2017 |                          |          |          |            |
| Texas                    | Agent    | APPROVED | 09/23/2019 |                          |          |          |            |
| Virginia                 | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |
| Washington               | Agent    | APPROVED | 09/03/2013 |                          |          |          |            |

## Broker Qualifications



### Employment 1 of 1, continued

#### Branch Office Locations

**CETERA ADVISOR NETWORKS LLC**  
2591 WEXFORD-BAYNE RD STE 202  
SEWICKLEY, PA 15143

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## 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.

**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       |
|---|----------|------------|
| Securities Industry Essentials Examination    | SIE      | 10/01/2018 |
| General Securities Representative Examination | Series 7 | 10/15/1988 |

### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination | Series 63 | 09/28/1988 |

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/).



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name                           | CRD#  | Branch Location |
|--------------------|-------------------------------------|-------|-----------------|
| 12/2003 - 09/2013  | WALNUT STREET SECURITIES, INC.      | 15840 | SEWICKLEY, PA   |
| 10/1988 - 01/2004  | FINANCIAL INVESTMENT ANALYSTS, INC. | 16010 | PITTSBURGH, PA  |

### 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 Dates  | Employer Name  | Employer Location |
|-------------------|--|-------------------|
| 09/2013 - Present | CETERA ADVISOR NETWORKS LLC                          | EL SEGUNDO, CA    |
| 12/2003 - Present | VICUS CAPITAL, INC. (FORMERLY PFG FINANCIAL ADVISOR) | STATE COLLEGE, PA |
| 12/2003 - 08/2013 | WALNUT STREET  | CANONSBURG, PA    |

### 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. INDEPENDENT INSURANCE AGENT,  
MGA/PFG,  
LIFE/ACCIDENT/HEALTH, LTC,  
BEGAN 11/2004,  
1HR/WKDY ONLY;

2. VICUS CAPITAL, INC.,  
INVESTMENT RELATED,  
SAME AS REGISTERED ADDRESS,  
OUTSIDE RIA - ADVISORY BUSINESS,  
START 12/2003,  
12HRS/WK (10 TRADING HOURS),  
INVESTMENT ADVISOR REPRESENTATIVE;



## Registration and Employment History

### Other Business Activities, continued

3 .NAME OF OTHER BUSINESS: PENNSYLVANIA FINANCIAL GROUP (PFG),  
INVESTMENT RELATED: YES,  
ADDRESS: SAME AS REGISTERED ADDRESS,  
NATURE OF BUSINESS: FINANCIAL INVESTMENTS,  
START DATE: 11/2003,  
POSITION/TITLE/RELATIONSHIP: REPRESENTATIVE,  
APX NUMBER OF HOURS PER WEEK: 40,  
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,  
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

4. NAME OF OTHER BUSINESS: SHANNOPIN COUNTRY CLUB  
INVESTMENT RELATED: NO  
ADDRESS: 1 WINDIMERE RD PITTSBURGH PA 15202  
NATURE OF BUSINESS: GOLF & COUNTRY CLUB  
START DATE: 1/2017  
APX NUMBER OF HOURS PER WEEK: 1  
APX NUMBER OF HOURS DURING TRADING HOURS: 1  
POSITION/TITLE/RELATIONSHIP: BOARD MEMBER  
BRIEF DESCRIPTION OF DUTIES: MEMBER OF THE BOARD OF DIRECTOR

5. NAME OF OTHER BUSINESS: PFG PGH, LLC  
INVESTMENT RELATED: YES  
ADDRESS: SAME AS REGISTERED LOCATION  
NATURE OF BUSINESS: FINANCIAL SERVICES  
START DATE: 01/2018  
POSITION/TITLE/RELATIONSHIP: REGISTERED REPRESENTATIVE  
APX NUMBER OF HOURS PER WEEK: 5  
APX NUMBER OF HOURS DURING TRADING HOURS: 5  
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES

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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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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 | 1       | 4     | 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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Regulator  |
| <b>Employing firm when activities occurred which led to the complaint:</b> | FINANCIAL INVESTMENT ANALYSTS, INC.  |
| <b>Allegations:</b>  | BREACH OF CONTRACT, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, NON-DISCLOSURES, UNAUTHORIZED TRADING, OMISSION OF FACTS, SUITABILITY |
| <b>Product Type:</b>   | Mutual Fund(s)   |
| <b>Other Product Type(s):</b>  | ANNUITIES  |
| <b>Alleged Damages:</b>  | \$550,000.00   |

#### Arbitration Information

|   |  |
|---|--|
| <b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b> | <a href="#">NASD - CASE #04-04722</a>                |
| <b>Date Notice/Process Served:</b>                                  | 06/30/2004   |
| <b>Arbitration Pending?</b>   | No   |
| <b>Disposition:</b>   | Award  |
| <b>Disposition Date:</b>  | 10/04/2005   |
| <b>Disposition Detail:</b>  | RESPONDENT SHOUP IS LIABLE AND SHALL PAY TO CLAIMANT |



COMPENSATORY DAMAGES IN THE AMOUNT OF \$28,750.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FINANCIAL INVESTMENT ANALYSTS, INC.

**Allegations:** CLIENT ALLEGES ANNUITY AND MUTUAL FUND INVESTMENTS WERE UNSUITABLE

**Product Type:** Annuity(ies) - Variable

**Other Product Type(s):** MUTUAL FUND

**Alleged Damages:** \$2,050,000.00

### Customer Complaint Information

**Date Complaint Received:** 07/16/2004

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 07/16/2004

### Settlement Amount:

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD #04-04722](#)

**Date Notice/Process Served:** 07/16/2004

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 10/06/2005

**Monetary Compensation Amount:** \$57,500.00

**Individual Contribution Amount:** \$28,750.00

**Broker Statement** AFTER A FULL AND FAIR ARBITRATION IN THIS MATTER, CLAIMANT



ALLEGING DAMAGES IN EXCESS OF \$2,000,000.00 WAS AWARDED \$57,500  
OF WHICH MR. SHOUP WAS RESPONSIBLE FOR \$28,750.00.



## 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> | FINANCIAL INVESTMENT ANALYSIS INC.   |
| <b>Allegations:</b>  | CLIENT ALLEGE THAT MR. SHOUP RECOMMENDED UNSUITABLE INVESTMENTS AND THAT THEY SUSTAINED LOSSES DUE TO HIS MISREPRESENTATIONS, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY. |
| <b>Product Type:</b>   | Mutual Fund(s)   |
| <b>Alleged Damages:</b>  | \$244,929.88   |

### Customer Complaint Information

|                                 |                        |
|---------------------------------|------------------------|
| <b>Date Complaint Received:</b> | 05/18/2005             |
| <b>Complaint Pending?</b>       | No                     |
| <b>Status:</b>                  | Arbitration/Reparation |
| <b>Status Date:</b>             | 05/06/2005             |

### Settlement Amount:

**Individual Contribution Amount:**

### Arbitration Information

|   |                       |
|---|-----------------------|
| <b>Arbitration/Reparation Claim filed with and Docket/Case No.:</b> | NASD - CASE #05-01579 |
| <b>Date Notice/Process Served:</b>                                  | 05/06/2005            |
| <b>Arbitration Pending?</b>   | No                    |
| <b>Disposition:</b>   | Settled               |
| <b>Disposition Date:</b>  | 06/19/2006            |
| <b>Monetary Compensation Amount:</b>                                | \$24,500.00           |



**Individual Contribution Amount:** \$24,500.00

**Broker Statement** I DENY ANY WRONG DOING IN THIS CASE AND AT ALL TIMES ACTED IN A PROPER MANNER WITH RESPECT TO THE ACCOUNT OF CUSTOMERS.

### Disclosure 2 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FINANCIAL INVESTMENT ANALYSTS, INC.

**Allegations:** CLIENT ALLEGES MUTUAL FUNDS IN RETIREMENT ACCOUNT WERE UNSUITABLE.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$140,034.41

### Customer Complaint Information

**Date Complaint Received:** 01/12/2005

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 01/12/2006

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DISPUTE RESOLUTION ARBITRATION NUMBER 04-07837

**Date Notice/Process Served:** 01/12/2005

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/16/2006

**Monetary Compensation Amount:** \$40,000.00



**Individual Contribution Amount:** \$40,000.00

**Broker Statement** I DENY ANY WRONGDOING IN THIS CASE AND AT ALL TIMES ACTED IN A PROPER MANNER WITH RESPECT TO THE ACCOUNTS OF CUSTOMER. THIS MATTER WAS SETTLED OUTSIDE OF ARBITRATION.

### Disclosure 3 of 3

**Reporting Source:** Regulator

**Employing firm when activities occurred which led to the complaint:** FINANCIAL INVESTMENT ANALYSTS, INC.

**Allegations:** FRAUD, BREACH OF FIDUCIARY DUTY

**Product Type:** Other

**Other Product Type(s):** VARIOUS SECURITIES

**Alleged Damages:** \$200,000.00

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD - CASE #04-04239](#)

**Date Notice/Process Served:** 06/07/2004

**Arbitration Pending?** No

**Disposition:** Withdrawn

**Disposition Date:** 03/15/2006

**Disposition Detail:** ON MARCH 15, 2006, CLAIMANT WITHDREW HIS CLAIMS AGAINST RESPONDENT SHOUP WITH PREJUDICE.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** FINANCIAL INVESTMENT ANALYSTS, INC.

**Allegations:** CLIENT CLAIMS PURCHASE OF MUTUAL FUND WAS MISREPRESENTED AND UNSUITABLE.

**Product Type:** Mutual Fund(s)





**Alleged Damages:** \$200,000.00

### **Customer Complaint Information**

**Date Complaint Received:** 08/09/2004

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 08/09/2004

**Settlement Amount:**

**Individual Contribution Amount:**

### **Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD #04-04239](#)

**Date Notice/Process Served:** 08/09/2004

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/10/2006

**Monetary Compensation Amount:** \$25,000.00

**Individual Contribution Amount:** \$25,000.00

**Broker Statement**

IN OUR MEETINGS ALL SHARE CLASS OPTIONS WERE DISCUSSED AND AGREED UPON. ALL INVESTMENT VEHICLES WERE DISCUSSED AND AGREED UPON. CUSTOMER'S INCOME NEEDS (9.7% OF THE INVESTMENT PER YEAR) REQUIRED AN EQUITY-ORIENTED PORTFOLIO ALLOCATION.



## Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

### Disclosure 1 of 1

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Broker   |
| <b>Employing firm when activities occurred which led to the complaint:</b> | Cetera Advisor Networks LLC  |
| <b>Allegations:</b>  | Client alleged forgery of securities and misrepresentation or misleading information.<br>Client alleged that rep had her name removed from monthly distributions from a joint annuity and that her husband was forging her name on the checks in Feb.2015. |
| <b>Product Type:</b>   | Annuity-Variable   |
| <b>Alleged Damages:</b>  | \$500,000.00   |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | Client alleged \$500,000 in damages on a \$500,000 annuity.  |
| <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> | 10/09/2015  |
| <b>Complaint Pending?</b>       | No  |
| <b>Status:</b>                  | Evolved into Civil litigation (the individual is a named party) |
| <b>Status Date:</b>             | 11/06/2015  |
| <b>Settlement Amount:</b>       |   |

**Individual Contribution Amount:**

### Civil Litigation Information



**Type of Court:** State Court  
**Name of Court:** Court of Common Pleas  
**Location of Court:** Westmoreland County, Pennsylvania  
**Docket/Case #:** 330207  
**Date Notice/Process Served:** 12/05/2018  
**Litigation Pending?** Yes

**Broker Statement**  
I was aware that the clients were going through a divorce. Any address change requests that came through my office were communicated to both parties. I did not, and do not, have access to the checks distributed from their joint annuity. I never requested, nor did any person from my office ever request, that client's name be removed from the checks that were distributed. Furthermore, I have no authority or capability to remove a name from a joint account without both joint account owners' signatures. I did not forge any documents or make any misrepresentations to the claimant.

## End of Report



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