

BrokerCheck Report

RAYMOND ADAM MENNA

CRD# 1918097

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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.

**RAYMOND A. MENNA**

CRD# 1918097

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

IA VERITY ASSET MANAGEMENT
 3075 VETERANS MEMORIAL HWY
 STE 130
 RONKONKOMA, NY 11779
 CRD# 158667
 Registered with this firm since: 10/21/2020

B VERITY INVESTMENTS, INC.
 3075 Veterans Memorial Highway
 Suite 130
 Ronkonkoma, NY 11779
 CRD# 41527
 Registered with this firm since: 08/31/2020

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
- 11 U.S. states and territories

This broker has passed:

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

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

- IA PLANMEMBER SECURITIES CORPORATION**
 CRD# 11869
 CARPINTERIA, CA
 08/2010 - 05/2019
- B PLANMEMBER SECURITIES CORPORATION**
 CRD# 11869
 FARMINGVILLE, NY
 08/2010 - 05/2019
- IA ASSET & FINANCIAL PLANNING, LTD**
 CRD# 110709
 POUGHKEEPSIE, NY
 07/2002 - 08/2010

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
Regulatory Event	2
Customer Dispute	2



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

Employment 1 of 2

Firm Name: **VERITY ASSET MANAGEMENT**

Main Office Address: **280 S MANGUM ST
STE 550
DURHAM, NC 27701-3676**

Firm CRD#: **158667**

	U.S. State/ Territory	Category	Status	Date
IA	New York	Investment Adviser Representative	Approved	10/27/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	01/18/2025

Branch Office Locations

280 S MANGUM ST
STE 550
DURHAM, NC 27701-3676

3075 VETERANS MEMORIAL HWY
STE 130
RONKONKOMA, NY 11779-7600

Employment 2 of 2

Firm Name: **VERITY INVESTMENTS, INC.**

Main Office Address: **280 S MANGUM ST
STE 550
DURHAM, NC 27701-3683**

Firm CRD#: **41527**



Broker Qualifications

Employment 2 of 2, continued

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/31/2020
B	FINRA	General Securities Representative	Approved	08/31/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	08/31/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	08/31/2020
B	Connecticut	Agent	Approved	09/25/2020
B	Delaware	Agent	Approved	04/03/2025
B	Florida	Agent	Approved	11/05/2020
B	Massachusetts	Agent	Approved	01/14/2021
B	New Jersey	Agent	Approved	10/20/2020
B	New York	Agent	Approved	09/21/2020
B	North Carolina	Agent	Approved	11/13/2020
B	Pennsylvania	Agent	Approved	10/27/2020
B	South Carolina	Agent	Approved	02/09/2021
B	Texas	Agent	Approved	07/29/2025

Branch Office Locations

VERITY INVESTMENTS, INC.
 3075 Veterans Memorial Highway
 Suite 130
 Ronkonkoma, NY 11779



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	02/09/1996

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/02/1990
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/22/1989

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	07/02/2021
B Uniform Securities Agent State Law Examination	Series 63	07/05/1989

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



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 08/2010 - 05/2019	PLANMEMBER SECURITIES CORPORATION	11869	FARMINGVILLE, NY
B 08/2010 - 05/2019	PLANMEMBER SECURITIES CORPORATION	11869	FARMINGVILLE, NY
IA 07/2002 - 08/2010	ASSET & FINANCIAL PLANNING, LTD	110709	RONKONKOMA, NY
B 11/1990 - 08/2010	PRIME CAPITAL SERVICES, INC.	18334	RONKONKOMA, NY
B 05/2001 - 05/2005	MUTUAL CAPITAL CORP.	106813	RONKONKOMA, NY
B 10/1990 - 11/1990	PRIME CAPITAL SERVICES, INC.	18334	
B 06/1989 - 10/1990	VANTAGE FINANCIAL SERVICES, INC.	19611	

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
08/2020 - Present	Verity Asset Management	Investment Advisor Representative	Y	Durham, NC, United States
08/2020 - Present	Verity Investments, Inc.	Registered Representative	Y	Durham, NC, United States
05/2019 - 08/2020	Unemployed	Unemployed	N	Mt. Sinai, NY, United States
08/2010 - 05/2019	PLANMEMBER SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	CARPINTERIA, CA, United States
01/1997 - 09/2018	MUTUAL, INC. / US Retirement Partners	PRESIDENT/Partner	Y	FARMINGVILLE, NY, United States



Registration and Employment History

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) Verity Asset Management, Inc.; Investment-related; Durham NC; Registered Investment Adviser; Contractor; Investment advisor representative; 08/2020; 160 hours per month; 160 during market hours; Investment advisory services.

2) Menna Wealth Planning Group, Inc.; Investment-related; Mt. Sinai, NY; Financial services; President; CEO; 09/2020; 160 hours per month; 160 during market hours; Manage operations.

3) Verity Financial Group, Inc.; Not investment-related; Durham, NC; Insurance agency; Agent; Independent Contractor; 08/2020; 1 hours per month; 1 during market hours; Insurance and annuity products.

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
Regulatory Event	0	2	0
Customer Dispute	0	2	N/A



Disclosure Event Details

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

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

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Massachusetts Securities Division
Sanction(s) Sought:	Other: Consent Order
Date Initiated:	01/14/2021
Docket/Case Number:	R-2020-0085
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Planmember Securities Corporation
Product Type:	No Product
Allegations:	On or about August 22, 2018, Menna entered into a Letter of Acceptance, Waiver, and Consent ("AWC") with FINRA regarding actions alleged in a November 17, 2017 customer complaint reported on his CRD. The AWC provided for a 45 day suspension and a \$5,000 fine.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/14/2021

Sanctions Ordered: Other: For a period of three years, Menna will be subject to heightened supervision, which, in part, provides that all sales of securities to Menna's Massachusetts customers will be reviewed for suitability and approved by a supervisor prior to execution, and requires a quarterly written statement from Menna to his supervisor indicating Menna has not shared in any profits or losses in a customer's account, has not provided funds to any customer or customer accounts, and has provided accurate answers to any compliance questionnaires.

Reporting Source: Broker

Regulatory Action Initiated By: Massachusetts Securities Division

Sanction(s) Sought: Other: Consent Order

Date Initiated: 01/14/2021

Docket/Case Number: R-2020-0085

Employing firm when activity occurred which led to the regulatory action: Planmember Securities Corporation

Product Type: No Product

Allegations: On or about August 22, 2018, Menna entered into a Letter of Acceptance, Waiver, and Consent ("AWC") with FINRA regarding actions alleged in a November 17, 2017 customer complaint reported on his CRD. The AWC provided for a 45 day suspension and a \$5,000 fine.

Current Status: Final

Resolution: Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/14/2021
Sanctions Ordered:	Other: For a period of three years, Menna will be subject to heightened supervision, which, in part, provides that all sales of securities to Menna's Massachusetts customers will be reviewed for suitability and approved by a supervisor prior to execution, and requires a quarterly written statement from Menna to his supervisor indicating Menna has not shared in any profits or losses in a customer's account, has not provided funds to any customer or customer accounts, and has provided accurate answers to any compliance questionnaires.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	08/22/2018
Docket/Case Number:	2017056272101
Employing firm when activity occurred which led to the regulatory action:	Planmember Securities Corporation
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Menna consented to the sanctions and to the entry of findings that he improperly shared in the losses of a customer. The findings stated that the value of the account of one of Menna's customers declined to zero as a result of customer withdrawals and trading losses. Menna informed his customer that he would give the customer money on a monthly basis because the customer's account had declined in value to zero. Menna made monthly cash payments to the customer. In total, Menna paid the customer approximately



\$15,000. Menna did not obtain prior written authorization from his member firm or the customer to make such payments, nor had Menna or the firm financially contributed to the customer's brokerage account. The findings also stated that Menna provided misleading or inaccurate answers to his firm on compliance questionnaires. Menna electronically completed his firm's annual compliance questionnaires and on each questionnaire, he inaccurately answered that he had not shared in any profits or losses in a customer's account.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/22/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	45 days
Start Date:	09/17/2018
End Date:	10/31/2018

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 09/04/2018**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement** Fines paid in full on September 4, 2018.**Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Suspension**Date Initiated:** 08/22/2018**Docket/Case Number:** [2017056272101](#)**Employing firm when activity occurred which led to the regulatory action:** PlanMember Securities Corporation**Product Type:** No Product

Allegations: Without admitting or denying the findings, Mr. Menna consented to the sanctions and to the entry of findings that he improperly shared in the losses of a customer (Rule 2150(c)(1)(a) and that he had . The findings stated that the value of the account of one of Mr. Menna's customers declined to zero as a result of customer withdrawals and trading losses. Mr. Menna informed his customer that he would give the customer money on a monthly basis because the customer's account had declined in value to zero. Mr. Menna made monthly cash payments to the customer. In total, Mr. Menna paid the customer approximately \$15000. Mr. Menna did not obtain prior written authorization from his member firm or the customer to make such payments, nor had Mr. Menna or the firm financially contributed to the



customer's brokerage account. The findings also stated that Mr. Menna provided misleading or inaccurate answers to his firm compliance questionnaires (Rule 2010). Mr. Menna electronically completed his firm's annual compliance questionnaires and on each questionnaire, he inaccurately answered that he had not shared in any profits or losses in a customer's account.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/22/2018
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capabilities
Duration:	45 days
Start Date:	09/17/2018
End Date:	10/31/2018
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	





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:	PlanMember Securities Corporation
Allegations:	[customer]alleges that Mr. Menna engaged in practices including unauthorized trading, unsuitable investing, misrepresentation and material omissions.
Product Type:	Equity-OTC Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	The client alleged damages in excess of \$1000000 but did not define the criteria upon which the excess could be defined.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute
Docket/Case #:	17-02977
Filing date of arbitration/CFTC reparation or civil litigation:	11/08/2017

Customer Complaint Information

Date Complaint Received:	11/17/2017
Complaint Pending?	No
Status:	Settled
Status Date:	05/04/2017
Settlement Amount:	\$260,000.00



Individual Contribution Amount: \$35,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-02977

Date Notice/Process Served: 11/17/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/04/2018

Monetary Compensation Amount: \$260,000.00

Individual Contribution Amount: \$35,000.00

Broker Statement

Client, representative, and the firm reached a settlement "solely to avoid the costs, expenses, and use of business resources associated with" the proceedings. The settlement agreement stipulated that there was no admission of liability or wrongdoing by the representative or the firm and that all allegations of liability, fault, or wrongdoing were denied.



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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRIME CAPITAL SERVICES, INC.
Allegations:	CLIENT ALLEGES THAT REP FAILED TO FOLLOW HER INSTRUCTIONS IN JANUARY 2008 TO CHANGE HER PORTFOLIO TO NO-RISK INVESTMENTS.
Product Type:	Mutual Fund(s)
Other Product Type(s):	ANNUITY SUB ACCOUNTS
Alleged Damages:	\$56,754.00

Customer Complaint Information

Date Complaint Received:	12/01/2008
Complaint Pending?	No
Status:	Denied
Status Date:	12/23/2008
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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