

## BrokerCheck Report

**ALONZO RUSSELL**

CRD# 1993366

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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](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).

**ALONZO RUSSELL**

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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:**

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

**Registration History**

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

- B UNION CAPITAL COMPANY**  
CRD# 110301  
TUCSON, AZ  
05/2006 - 05/2006
- B GENEOS WEALTH MANAGEMENT, INC.**  
CRD# 120894  
GILBERT, AZ  
05/2006 - 05/2006
- B AIG FINANCIAL ADVISORS, INC.**  
CRD# 133763  
SCOTTSDALE, AZ  
10/2005 - 04/2006

**Disclosure Events**

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Regulatory Event	2

**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), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/23/1998

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	12/26/1997
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	10/26/1989

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	06/10/2000
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/26/1989

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/](http://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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 05/2006 - 05/2006	UNION CAPITAL COMPANY	110301	TUCSON, AZ
<b>B</b> 05/2006 - 05/2006	GENEOS WEALTH MANAGEMENT, INC.	120894	GILBERT, AZ
<b>B</b> 10/2005 - 04/2006	AIG FINANCIAL ADVISORS, INC.	133763	SCOTTSDALE, AZ
<b>B</b> 09/2001 - 10/2005	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
<b>B</b> 02/2000 - 09/2001	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
<b>B</b> 05/1999 - 02/2000	NYLIFE SECURITIES INC.	5167	NEW YORK, NY
<b>B</b> 10/1989 - 04/1999	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
<b>B</b> 10/1989 - 04/1999	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

### 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
05/2006 - Present	A. L. RUSSELL & ASSOCIATES LLC	OWNER	Y	GILBERT, AZ, United States
05/2006 - Present	UNION CAPITAL COMPANY	FINANCIAL CONSULTANT	Y	TUCSON, AZ, United States

# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0





## Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	ARIZONA CORPORATION COMMISSION, SECURITIES DIVISION
<b>Sanction(s) Sought:</b>	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Restitution Revocation
<b>Date Initiated:</b>	03/13/2007
<b>Docket/Case Number:</b>	S-20518A-07-0146
<b>URL for Regulatory Action:</b>	<a href="http://edocket.azcc.gov/Docket/DocketDetailSearch?docketId=13902">http://edocket.azcc.gov/Docket/DocketDetailSearch?docketId=13902</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	AIG FINANCIAL ADVISORS
<b>Product Type:</b>	Investment Contract
<b>Allegations:</b>	RUSSELL RECOMMENDED CUSTOMER SELL \$50,000 IN MUTUAL FUND SHARES TO INVEST IN PURPORTED EQUIPMENT FUND INVESTMENT AND MISAPPROPRIATED THE FUNDS. Alonzo Russell's conduct subjects him to an order of revocation of his securities salesman registration pursuant to A.R.S. 44-1962(A)(2), [by violating A.R.S.44-1991] and A.R.S. 44-1962(A)(10), [by making unauthorized use of customer's securities or funds or converting customer's securities or funds for personal benefit]. Respondent spent the customer's funds at clothing stores, restaurants and golf courses. Russell's conduct subjects him to an order of revocation of his investment adviser representative license pursuant to A.R.S. 44-3241
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?**

Yes

**Resolution Date:**

07/18/2007

**Sanctions Ordered:**

Cease and Desist  
Civil and Administrative Penalty(ies)/Fine(s)  
Restitution  
Revocation

#### **Monetary Sanction 1 of 2**

**Monetary Related Sanction:**

Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:**

\$20,000.00

**Portion Levied against individual:**

\$20,000.00

**Payment Plan:**

Due upon payment or default of restitution

**Is Payment Plan Current:**

No

**Date Paid by individual:**

**Was any portion of penalty waived?**

No

**Amount Waived:**

#### **Monetary Sanction 2 of 2**

**Monetary Related Sanction:**

Restitution

**Total Amount:**

\$70,314.67

**Portion Levied against individual:**

\$70,314.67

**Payment Plan:**

Restituion of \$50,000 + \$27,083.33 pre-order interest - \$6786.66 offsets

**Is Payment Plan Current:**

No

**Date Paid by individual:**

**Was any portion of penalty waived?**

No

**Amount Waived:****Regulator Statement**

Alonzo Russell consented to the entry of Decision 69076 and the revocation of his securities salesman registration and investment adviser representative licensure in Arizona without admitting or denying the Findings of Fact and Conclusions of Law contained in the order.

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/23/2007

**Docket/Case Number:** [2006005133901](#)

**Employing firm when activity occurred which led to the regulatory action:** AIG FINANCIAL ADVISORS, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULES 2110 AND 8210 - RUSSELL FAILED TO RESPOND TO AN NASD REQUEST FOR DOCUMENTS AND INFORMATION.

**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:** 02/23/2007

**Sanctions Ordered:** Bar

**Other Sanctions Ordered:**



**Sanction Details:**

WITHOUT ADMITTING OR DENYING THE FINDINGS, RUSSELL CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY.

## End of Report



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