

BrokerCheck Report
STEVEN HARRIS
CRD# 2440292

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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



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

STEVEN HARRIS

CRD# 2440292

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** **TRANSAMERICA FINANCIAL ADVISORS, INC**
CRD# 16164
BURR RIDGE, IL
08/2018 - 05/2019
- B** **MML INVESTORS SERVICES, LLC**
CRD# 10409
CHICAGO, IL
03/2017 - 04/2017
- B** **MSI FINANCIAL SERVICES, INC.**
CRD# 14251
CHICAGO, IL
03/2016 - 03/2017

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 | 1 |
| Termination | 1 |

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.

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 | 10/01/2018 |
| B Investment Company Products/Variable Contracts Representative Examination | Series 6 | 05/11/2005 |

State Securities Law Exams

| Exam | Category | Date |
|---|-----------|------------|
| IA Uniform Investment Adviser Law Examination | Series 65 | 03/02/2009 |
| B Uniform Securities Agent State Law Examination | Series 63 | 05/24/2005 |

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 08/2018 - 05/2019 | TRANSAMERICA FINANCIAL ADVISORS, INC | 16164 | BURR RIDGE, IL |
| B 03/2017 - 04/2017 | MML INVESTORS SERVICES, LLC | 10409 | CHICAGO, IL |
| B 03/2016 - 03/2017 | MSI FINANCIAL SERVICES, INC. | 14251 | CHICAGO, IL |
| B 01/2014 - 05/2014 | INNOVATION PARTNERS LLC | 146344 | CHARLOTTE, NC |
| B 07/2011 - 03/2013 | P.J. ROBB VARIABLE CORPORATION | 38339 | MEMPHIS, TN |
| B 09/2008 - 05/2011 | WADDELL & REED, INC. | 866 | EVERGREEN PARK, IL |
| B 07/2005 - 09/2006 | CHASE INVESTMENT SERVICES CORP. | 25574 | CHICAGO, IL |
| B 05/2005 - 07/2005 | BANC ONE SECURITIES CORPORATION | 16999 | CHICAGO, IL |

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 |
|-------------------|--|------------------------------|--------------------|-------------------------------------|
| 11/2018 - Present | STEVEN HARRIS | CONSULTANT BROKER | N | CHICAGO, IL, United States |
| 08/2018 - Present | TRANSAMERICA FINANCIAL ADVISORS | REGISTERED REPRESENTATIVE | Y | CHICAGO, IL, United States |
| 03/2018 - Present | TRANSAMERICA AGENCY NETWORK | AGENT | N | ST PETERSBURG, FL, United States |
| 03/2018 - Present | UNITED FINANCIAL SERVICES | AGENT | N | ST PETERSBURG, FL, United States |
| 01/2000 - 05/2018 | HARRIS INVESTMENT SERVICES CORPORATION - Transamerica Agency Net | INSURANCE PRODUCER | N | CHICAGO, IL, United States |



Registration and Employment History

Employment History, continued

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|--|---------------------------|--------------------|----------------------------|
| 03/2017 - 03/2017 | MML INVESTORS SERVICES, LLC (CRD#:10409) | RR amp; IAR | Y | CHICAGO, IL, United States |
| 03/2016 - 03/2017 | MSI FINANCIAL SERVICES, INC. (CRD#:14251) | RR amp; IAR | Y | CHICAGO, IL, United States |
| 05/2013 - 03/2016 | HARRIS INVESTMENT SERVICES CORPORATION | OWNER/PRESIDENT | Y | CHICAGO, IL, United States |
| 01/2014 - 05/2014 | INNOVATION PARTNERS LLC (CRD#:146344) | RR amp; IAR | Y | CHICAGO, IL, United States |
| 07/2011 - 03/2013 | PJ ROBB VARIABLE CORP. | INDEPENDENT CONTRACTOR | Y | CHICAGO, IL, United States |
| 06/2011 - 10/2011 | CLEAR CHANNELL | SALES REP. | N | CHICAGO, 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.

STEVEN HARRIS; 800 S. Wells Street, Chicago, IL 60607; not investment related; consultant broker as of 11/01/2018.

UNITED FINANCIAL SERVICES; ST. PETERSBURGH, FL; NOT INVESTMENT RELATED; AGENT AS OF 03/2018



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 |
|------------------|---------|-------|-----------|
| Regulatory Event | 0 | 2 | 0 |
| Customer Dispute | 0 | 1 | N/A |
| Termination | N/A | 1 | 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: | FINRA |
| Sanction(s) Sought: | Other: N/A |
| Date Initiated: | 03/31/2020 |
| Docket/Case Number: | 2019062092401 |
| Employing firm when activity occurred which led to the regulatory action: | Transamerica Financial Advisors, Inc. |
| Product Type: | No Product |
| Allegations: | Harris was named a respondent in a FINRA complaint alleging that he manufactured faked documents that he then provided to FINRA in response to its requests during an investigation of his undisclosed outside business activity. The complaint alleges that FINRA requested that Harris provide certain financial information and bank statements and in response Harris provided false and incomplete information to it. Harris failed to disclose the accounts he actually held and provide the requested statements for those accounts. Instead, Harris created fake bank statements for other accounts he purported to hold and provided the manufactured documents to FINRA. The complaint also alleges that Harris repeatedly lied about his actions during on-the-record testimony, falsely claiming that he did not alter any of the records that he produced to FINRA. The complaint |



further alleges that Harris engaged in an undisclosed outside business activity for compensation. The outside business activity involved securities investment research and advice for which he was paid \$750.

| | |
|---|--|
| Current Status: | Final |
| Resolution: | Decision |
| 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: | 08/21/2020 |
| Sanctions Ordered: | Bar (Permanent) Other: A suspension and fine are not imposed given the bar. |
| 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: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 08/21/2020

End Date:



Regulator Statement

Default decision rendered July 24, 2020. A suspension and fine are not imposed given the bar. The sanction was based on the findings that Harris provided false and incomplete documents and false testimony to FINRA during an investigation into his undisclosed outside business activity. The findings stated that in three instances, FINRA requested that Harris provide financial information and bank statements for all bank accounts that Harris owned or controlled. Harris never listed two of the bank accounts that he owned or controlled in response to the FINRA requests sent. In addition, Harris never provided copies of statements for the bank accounts. Instead, Harris provided fake account summaries that he had created. The findings also stated that Harris falsely claimed that he did not alter any of the bank records or account summaries that he had provided to FINRA. The findings also included that Harris failed to disclose his outside business activity to his member firm. Harris sought approval from his firm to conduct the outside business activity through his company. The firm did not approve Harris' outside business activity. On the contrary, the firm asked Harris to confirm that he had dissolved his company and was no longer conducting business through it. So, Harris represented to his firm that he had dissolved the company and did not conduct business through it. This representation was false. Harris received \$750 in compensation from a customer for providing her with investment advice outside the scope of his relationship with his firm. The decision became final on August 21, 2020.

Disclosure 2 of 2

| | |
|--|---|
| Reporting Source: | Regulator |
| Regulatory Action Initiated By: | FINRA |
| Sanction(s) Sought: | Suspension |
| Date Initiated: | 09/07/2017 |
| Docket/Case Number: | 2017053990001 |
| Employing firm when activity occurred which led to the regulatory action: | N/A |
| Product Type: | No Product |
| Allegations: | Respondent Harris failed to respond to FINRA request for information. |
| Current Status: | Final |
| Resolution: | Letter |



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: 10/02/2017

Sanctions Ordered: 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: | N/A |
| Start Date: | 10/02/2017 |
| End Date: | 10/31/2017 |



Regulator Statement

Pursuant to FINRA Rule 9552 and in accordance with FINRA's Notice of Suspension letter dated September 7, 2017, Harris is suspended on October 2, 2017 from associating with any FINRA member firm in all capacities. If Harris fails to request termination of the suspension within three months of the date of the Notice of Suspension, he will automatically be barred on December 11, 2017 from association with any FINRA member in all capacities pursuant to FINRA Rule 9552(h).

Suspension lifted on October 31, 2017.

| | |
|---|--|
| Reporting Source: | Broker |
| Regulatory Action Initiated By: | FINRA |
| Sanction(s) Sought: | Suspension |
| Date Initiated: | 09/07/2017 |
| Docket/Case Number: | 2017053990001 |
| Employing firm when activity occurred which led to the regulatory action: | N/A |
| Product Type: | No Product |
| Allegations: | Failed to respond to FINRA request for information |
| Current Status: | Final |
| Resolution: | Letter |
| 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: | 10/02/2017 |
| Sanctions Ordered: | Suspension Other: none |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |



Capacities Affected: All Capacities

Duration: N/A

Start Date: 10/02/2017

End Date: 10/31/2017

Broker Statement

Finra tried to contact me (using inaccurate postal address) in order to ask questions about OBA and OBA website. I answered the questions to the satisfaction of finra and I was then quickly reinstated.



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: | Firm |
| Employing firm when activities occurred which led to the complaint: | P.J. ROBB VARIABLE CORPORATION |
| Allegations: | [CUSTOMER] CLAIMS THE ALLEGED ALLEGATION STARTED ON 11/19/2013. BELOW IS THE STATEMENT QUOTED FROM [CUSTOMER]: "I AM CONTACTING YOU REGARDING AN ASSOCIATE, STEVEN HARRIS. THE SHORT VERSION IS MR. HARRIS WAS GIVEN \$3000 TO INVESTMENT FOR ME PLUS AN ADDITIONAL \$800 TO TRADEMARK A COMPANY NAME AND LOGO. IN OCTOBER, I STARTED TO INVEST IN REAL ESTATE AND THE THUS NEEDED THE \$3K IMMEDIATELY. UPON MY REQUEST, MR. HARRIS DID NOT GIVE ME THE MONEY. SO THIS RAISED QUESTIONS ABOUT THE TRADEMARK FEE. SO I CHECKED AND FOUND THAT HE DID NOT FILE FOR THE TRADEMARKS. SO I ASKED HIM TO RETURN THE ENTIRE \$3800. AFTER MONTHS OF TRYING TO GET THE FUNDS, IN APRIL HE SENT ME \$500 OF \$3800 VIA FEDEX. THE FUNDS HAVE NOT BEEN DEPOSITED INTO MY ACCOUNT". |
| Product Type: | Other: FUNDS FOR TRADEMARK AND INVESTMENT |
| Alleged Damages: | \$3,800.00 |
| 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: | 06/11/2014 |
| Complaint Pending? | No |
| Status: | Closed/No Action |
| Status Date: | 07/14/2014 |
| Settlement Amount: | |



**Individual Contribution
Amount:**

Arbitration Information

Disposition: Other: CLOSED NO ACTION

Disposition Date: 07/14/2014

Civil Litigation Information

Disposition: No Action

Disposition Date: 07/14/2014

Firm Statement

MR. HARRIS DENIED THE ALLEGATIONS AND PROVIDED DOCUMENTS TO SUPPORT HIS POSITION.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: P.J. Robb Variable Corporation

Allegations: [CUSTOMER] CLAIMS THE ALLEGED ALLEGATION STARTED ON 11/19/2013. BELOW IS THE STATEMENT QUOTED FROM [CUSTOMER]: "I AM CONTACTING YOU REGARDING AN ASSOCIATE, STEVEN HARRIS. THE SHORT VERSION IS MR. HARRIS WAS GIVEN \$3000 TO INVESTMENT FOR ME PLUS AN ADDITIONAL \$800 TO TRADEMARK A COMPANY NAME AND LOGO. IN OCTOBER, I STARTED TO INVEST IN REAL ESTATE AND THE THUS NEEDED THE \$3 K IMMEDIATELY. UPON MY REQUEST, MR. HARRIS DID NOT GIVE ME THE MONEY. SO THIS RAISED QUESTIONS ABOUT THE TRADEMARK FEE. SO I CHECKED AND FOUND THAT HE DID NOT FILE FOR THE TRADEMARKS. SO I ASKED HIM TO RETURN THE ENTIRE \$3800. AFTER MONTHS OF TRYING TO GET THE FUNDS, IN APRIL HE SENT ME \$500 OF \$3800 VIA FEDEX. THE FUNDS HAVE NOT BEEN DEPOSITED INTO MY ACCOUNT".

Product Type: Other: Funds for trademark investment

Alleged Damages: \$3,800.00

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: 06/11/2014

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/14/2014

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

Disposition: Other: closed no action

Disposition Date: 07/14/2014

Civil Litigation Information

Disposition: No Action

Disposition Date: 07/14/2014

Broker Statement MR. HARRIS DENIED THE ALLEGATIONS AND PROVIDED DOCUMENTS TO SUPPORT HIS POSITION.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

| | |
|--------------------------|---|
| Reporting Source: | Firm |
| Employer Name: | Transamerica Financial Advisors, Inc. |
| Termination Type: | Discharged |
| Termination Date: | 05/21/2019 |
| Allegations: | The Representative was terminated after a complaint was received by the firm alleging that the Representative had received funds from a client in relation to an investment opportunity not approved by the firm. |
| Product Type: | Other: UNAPPROVED PRODUCTS |

End of Report



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