

BrokerCheck Report

HOLLY MARIE MAURER

CRD# 2764991

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4
Disclosure Events	5

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.

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

**HOLLY M. MAURER**

CRD# 2764991

Currently employed by and registered with the following Firm(s):**CORECAP INVESTMENTS, INC.**

27777 FRANKLIN ROAD
SUITE 700
SOUTHFIELD, MI 48034
CRD# 37068

Registered with this firm since: 10/18/2012

CORECAP INVESTMENTS, INC.

12900 HALL ROAD
SUITE 280
STERLING HEIGHTS, MI 48313
CRD# 37068

Registered with this firm since: 10/18/2012

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
- 2 U.S. states and territories

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****L.M. KOHN & COMPANY**

CRD# 27913
STERLING HEIGHTS, MI
07/2012 - 10/2012

LEONARD & COMPANY

CRD# 36527
STERLING HEIGHTS, MI
12/2005 - 07/2012

COMERICA SECURITIES

CRD# 17079
WARREN, MI
01/1999 - 12/2005

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



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

Employment 1 of 1

Firm Name: **CORECAP INVESTMENTS, INC.**
 Main Office Address: **27777 FRANKLIN ROAD
 SUITE 700
 SOUTHFIELD, MI 48034**
 Firm CRD#: **37068**

SRO	Category	Status	Date
FINRA	General Securities Representative	APPROVED	10/18/2012

U.S. State/ Territory	Category	Status	Date
Florida	Agent	APPROVED	09/06/2013
Michigan	Agent	APPROVED	10/19/2012

Branch Office Locations

CORECAP INVESTMENTS, INC.
 12900 HALL ROAD
 SUITE 280
 STERLING HEIGHTS, MI 48313



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, 3 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	09/21/1998
Investment Company Products/Variable Contracts Representative Examination	Series 6	07/17/1997

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/06/1997

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
07/2012 - 10/2012	L.M. KOHN & COMPANY	27913	STERLING HEIGHTS, MI
12/2005 - 07/2012	LEONARD & COMPANY	36527	STERLING HEIGHTS, MI
01/1999 - 12/2005	COMERICA SECURITIES	17079	WARREN, MI
07/1998 - 02/1999	NATCITY INVESTMENTS, INC.	17490	CLEVELAND, OH
11/1997 - 02/1999	FIRST OF AMERICA BROKERAGE SERVICE, INC.	16989	CLEVELAND, OH

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
10/2012 - Present	WINDSOR SHEFFIELD	SOUTHFIELD, MI
07/2012 - Present	L.M. KOHN & COMPANY	CINCINNATI, OH
12/2005 - 07/2012	LEONARD & COMPANY	TROY, MI

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.

REGISTRANT IS ALSO AN EMPLOYEE OF AN AFFILIATE COMPANY OF CORPCAP INVESTMENTS, M&O MARKETING. THIS DUAL EMPLOYMENT RELATIONSHIP IS FOR THE SOLE PURPOSE OF PAYROLL ADMINISTRATION AND INVOLVES NO ADDITIONAL DUTIES OR TIME COMMITMENT.



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	0	5	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 - 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 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CoreCap Investments, Inc.
Allegations:	Complainant alleges that RR Ernest Romer stole money from her and alleges that Maurer knew of or participated in theft
Product Type:	No Product
Alleged Damages:	\$222,000.00
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 Dispute Resolution
Docket/Case #:	18-00859
Filing date of arbitration/CFTC reparation or civil litigation:	02/18/2018

Customer Complaint Information



Date Complaint Received:	03/15/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/16/2018
Settlement Amount:	
Individual Contribution Amount:	
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Dispute Resolution
Docket/Case #:	18-00859
Date Notice/Process Served:	03/16/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/09/2018
Monetary Compensation Amount:	\$110,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Firm solely to avoid the risks and costs of litigation settled the case; RR was not asked to contribute to the settlement.

Disclosure 2 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CoreCap Investments, Inc.
Allegations:	Claimants loaned money to a since terminated RR which he did not pay back. They allege fraud, embezzlement and violation of the securities laws against the firm, the offending RR and against the RR's supervisor and this registrant.
Product Type:	No Product
Alleged Damages:	\$250,000.00



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 Dispute Resolution
Docket/Case #: 18-00198
Filing date of arbitration/CFTC reparation or civil litigation: 01/26/2018

Customer Complaint Information

Date Complaint Received: 01/26/2018
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 01/26/2018
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Dispute Resolution
Docket/Case #: [18-00198](#)
Date Notice/Process Served: 01/26/2018
Arbitration Pending? No
Disposition: Settled
Disposition Date: 08/09/2018
Monetary Compensation Amount: \$150,000.00
Individual Contribution Amount: \$0.00

**Broker Statement**

Firm solely to avoid the risks and costs of litigation settled the case; RR was not asked to contribute to the settlement.

Disclosure 3 of 5**Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

CoreCap Investments, Inc., Leonard & Co., Inc., L.M. Kohn Inc.

Allegations:

Client alleges that another representative with whom Ms. Maurer worked stole monies from her and alleges that Ms. Maurer "materially aided" the other representative's conduct.

Product Type:

No Product

Alleged Damages:

\$250,000.00

Is this an oral complaint?

No

Is this a written complaint?**Is this an arbitration/CFTC reparation or civil litigation?**

Yes

Arbitration/Reparation forum or court name and location:

FINRA Office of Dispute Resolution

Docket/Case #:

17-02794

Filing date of arbitration/CFTC reparation or civil litigation:

10/19/2017

Customer Complaint Information**Date Complaint Received:**

10/23/2017

Complaint Pending?

No

Status:

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

Status Date:

10/19/2017

Settlement Amount:**Individual Contribution Amount:****Arbitration Information**



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Office of Dispute Resolution
Docket/Case #:	17-02794
Date Notice/Process Served:	10/23/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/09/2018
Monetary Compensation Amount:	\$115,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Firm solely to avoid the risks and costs of litigation settled the case; RR was not asked to contribute to the settlement.

Disclosure 4 of 5

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CoreCap Investments, Inc.
Allegations:	Claimant alleges that Maurer participated in and profited from Ernest Romer's alleged theft of his funds.
Product Type:	No Product
Alleged Damages:	\$115,000.00
Is this an oral complaint?	
Is this a written complaint?	
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute Resolution
Docket/Case #:	17-02412



Filing date of arbitration/CFTC reparation or civil litigation: 09/11/2017

Customer Complaint Information

Date Complaint Received: 09/14/2017

Complaint Pending? No

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

Status Date: 09/14/2017

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA Office of Dispute Resolution

Docket/Case #: 17-02412

Date Notice/Process Served: 09/14/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/09/2018

Monetary Compensation Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Broker Statement Firm solely to avoid the risks and costs of litigation settled the case; RR was not asked to contribute to the settlement.

Disclosure 5 of 5

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CoreCap Investments, Inc.



Allegations:	Clients allege that representative acted as their representative when their prior rep was suspended and for breach of fiduciary duty in the handling of their account
Product Type:	Annuity-Variable
Alleged Damages:	\$110,000.00
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:	Michigan Circuit Court, Macomb County
Docket/Case #:	2017-002873-CZ
Filing date of arbitration/CFTC reparation or civil litigation:	08/04/2017

Customer Complaint Information

Date Complaint Received:	08/15/2017
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	08/15/2017

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Michigan Circuit Court, Macomb County
Location of Court:	Macomb County Michigan
Docket/Case #:	2017-002873-CZ
Date Notice/Process Served:	08/15/2017
Litigation Pending?	No
Disposition:	Settled



Disposition Date: 08/09/2018

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement Firm solely to avoid the risks and costs of litigation settled the case; RR was not asked to contribute to the settlement.

End of Report



This page is intentionally left blank.