

BrokerCheck Report

RORIC EUGENE GRIFFITH

CRD# 2783261

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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.

RORIC E. GRIFFITH

CRD# 2783261

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B** **PRINCIPAL SECURITIES, INC.**
CRD# 1137
WAUWATOSA, WI
05/2005 - 11/2019
- B** **THE O.N. EQUITY SALES COMPANY**
CRD# 2936
CINCINNATI, OH
03/2005 - 05/2005
- B** **METLIFE SECURITIES INC.**
CRD# 14251
SPRINGFIELD, MA
10/1997 - 03/2005

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
Regulatory Event	2
Customer Dispute	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) 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. 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 0 principal/supervisory exams, 3 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 General Securities Representative Examination	Series 7	07/21/2003
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/30/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/20/2002
B Uniform Securities Agent State Law Examination	Series 63	10/17/1997

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/.

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 05/2005 - 11/2019	PRINCIPAL SECURITIES, INC.	1137	WAUWATOSA, WI
B 03/2005 - 05/2005	THE O.N. EQUITY SALES COMPANY	2936	CINCINNATI, OH
B 10/1997 - 03/2005	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 10/1997 - 03/2005	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY
B 07/1997 - 08/1997	LUTHERAN BROTHERHOOD SECURITIES CORP.	4205	MINNEAPOLIS, MN

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
02/2009 - Present	RG INVESTMENT STRATEGIES	FINANCIAL REPRESENTATIVE	Y	MILWAUKEE, WI, United States
03/2016 - 11/2019	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	WAUWATOSA, WI, United States
05/2005 - 11/2019	PRINCIPAL LIFE INSURANCE	AGENT	Y	MILWAUKEE, WI, United States
05/2005 - 03/2016	PRINCOR FINANCIAL SERVICES	REG REP	Y	MILWAUKEE, WI, 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.

*OUTSIDE INSURANCE. SELLING TERM INSURANCE, FIXED ANNUITIES, P&C, LTC, HEALTH INSURANCE AND EMPLOYEE BENEFITS.

Registration and Employment History



Other Business Activities, continued

EFFECTIVE 9/15/11

*RENTAL PROPERTY; OWNER; 08/01/2016

*CASHEL ACADEMY OF IRISH DANCE, NO, 9205 W CENTER ST WAUWATOSA, WI 53222. CO-PRESIDENT, 2HR/MO, ASSIST IN ORGANIZING EVENTS, 11/2022

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:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/26/2013
Docket/Case Number:	2010025350001
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORPORATION
Product Type:	Mutual Fund Other: DIVIDEND FUNDS; CLOSED END FUNDS
Allegations:	FINRA RULE 2010, NASD RULE 2510: GRIFFITH, WITH THE LACK OF WRITTEN AUTHORIZATION FROM A CUSTOMER AND THE PROHIBITION IN HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES, IMPROPERLY EXERCISED TIME AND PRICE DISCRETION IN THE PURCHASE OF DIVIDEND FUNDS AND DIVIDEND-GENERATING MUTUAL AND CLOSED END FUNDS, IN THE CUSTOMER'S INDIVIDUAL RETIREMENT ACCOUNT (IRA). GRIFFITH ENGAGED IN UNAUTHORIZED TRANSACTIONS IN THE CUSTOMER'S ACCOUNT, AN IRA, WHEN HE PURCHASED 7,145 SHARES OF A DEBT FUND FOR THE CUSTOMER'S ACCOUNT. AT NO TIME DID THE CUSTOMER AUTHORIZE GRIFFITH TO PURCHASE ANY SHARES OF THE DEBT FUND



FOR HIS ACCOUNT.

Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	07/11/2014
Appeal Limitation Details:	
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:	01/25/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
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?

Monetary Sanction 1 of 2

Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$2,685.77
Portion Levied against individual:	\$2,685.77

Payment Plan:

**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Monetary Sanction 2 of 2****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$10,000.00**Portion Levied against individual:** \$10,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

HEARING PANEL DECISION RENDERED JUNE 13, 2014 WHEREIN GRIFFITH IS FINED A TOTAL OF \$10,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSIONS SHALL RUN CONCURRENTLY. THE SANCTIONS WERE BASED ON FINDINGS THAT GRIFFITH EXERCISED DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT HAVING THE CUSTOMER'S WRITTEN AUTHORIZATION AND HIS MEMBER FIRM'S ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY. THE FINDINGS STATED THAT GRIFFITH'S FIRM PROHIBITED THE EXERCISE OF DISCRETION BY ITS REGISTERED REPRESENTATIVES. GRIFFITH NEVERTHELESS EXERCISED DISCRETION OVER WHEN, AND AT WHAT PRICE, TO PURCHASE SECURITIES FOR THE CUSTOMER'S ACCOUNT. THE FINDINGS ALSO STATED THAT GRIFFITH PURCHASED SHARES FOR THE CUSTOMER'S ACCOUNT WITHOUT AUTHORIZATION FROM THE CUSTOMER. ON JULY 11, 2014, GRIFFITH APPEALED THE DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING THE APPEAL. NAC decision rendered December 22, 2015 wherein the findings made are affirmed and the sanctions imposed by the Hearing Panel are modified. The NAC found that a suspension, in this case, will not protect the public or ensure that Griffith will not make an unauthorized trade again. The NAC fined



Griffith \$5,000 for making discretionary trades without written authority, an additional \$5,000 for his unauthorized trading and affirmed the Hearing Panel's order to pay \$2,685.77 in costs. Decision is final on January 25, 2016.

Reporting Source:	Broker
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	06/26/2013
Docket/Case Number:	2010025350001
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORPORATION
Product Type:	Other: MUTUAL AND CLOSED END FUNDS
Allegations:	FINRA RULE 2010, NASD RULE 2510: GRIFFITH, WITH THE LACK OF WRITTEN AUTHORIZATION FROM A CUSTOMER AND THE PROHIBITION IN HIS MEMBER FIRM'S WRITTEN SUPERVISORY PROCEDURES, IMPROPERLY EXERCISED TIME AND PRICE DISCRETION IN THE PURCHASE OF DIVIDEND FUNDS, DIVIDEND-GENERATING MUTUAL AND CLOSED END FUNDS, IN THE CUSTOMER'S IRA. GRIFFITH ENGAGED IN UNAUTHORIZED TRANSACTION FOR THE CUSTOMER'S ACCOUNT, AN IRA, WHEN HE PURCHASED 7,145 SHARES OF A DEBT FUND FOR THE CUSTOMER'S ACCOUNT. AT NO TIME DID THE CUSTOMER AUTHORIZE GRIFFITH TO PURCHASE ANY SHARES OF THE DEBT FUND FOR HIS ACCOUNT.
Current Status:	Final
Action Appealed To:	SRO
Date Appeal filed:	07/11/2014
Appeal Limitation Details:	
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: 01/25/2016

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Monetary Penalty other than Fines

Monetary Sanction 1 of 2

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$2,685.77

Portion Levied against individual: \$2,685.77

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Monetary Sanction 2 of 2

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement HEARING PANEL DECISION RENDERED JUNE 13,2014 WHEREIN GRIFFITH IS FINED A TOTAL OF\$10,000,SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 20 BUSINESS DAYS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR TWO MONTHS. THE SUSPENSIONS SHALL RUN CONCURRENTLY.THE SANCTIONS WERE BASED ON FINDINGS THAT GRIFFITH EXERCISED



DISCRETION IN A CUSTOMER'S ACCOUNT WITHOUT HAVING THE CUSTOMER'S WRITTEN AUTHORIZATION AND HIS MEMBER FIRM'S ACCEPTANCE OF THE ACCOUNT AS DISCRETIONARY. THE FINDINGS STATED THAT GRIFFITH'S FIRM PROHIBITED THE EXERCISE OF DISCRETION BY ITS REGISTERED REPRESENTATIVES. GRIFFITH NEVERTHELESS EXERCISED DISCRETION OVER WHEN, AND AT WHAT PRICE, TO PURCHASE SECURITIES FOR THE CUSTOMER'S ACCOUNT. THE FINDINGS ALSO STATED THAT GRIFFITH PURCHASED SHARES FOR THE CUSTOMER'S ACCOUNT WITHOUT AUTHORIZATION FROM THE CUSTOMER. ON JULY 11, 2014, GRIFFITH APPEALED HIS DECISION TO THE NATIONAL ADJUDICATORY COUNCIL (NAC). THE SANCTIONS ARE NOT IN EFFECT PENDING THE APPEAL. NAC decision rendered December 22, 2015 wherein the findings made are affirmed and the sanctions imposed by the Hearing Panel are modified. The NAC found that a suspension, in this case, will not protect the public or ensure that Griffith will not make an unauthorized trade again. The NAC fined Griffith \$5,000 for making discretionary trades without written authority, an additional \$5,000 for his unauthorized trading and affirmed the Hearing Panel's order to pay \$2,685.77 in costs. Decision is final on January 25, 2016.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	WISCONSIN
Sanction(s) Sought:	Revocation
Date Initiated:	10/22/2009
Docket/Case Number:	NONE
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	PRINCOR FINANCIAL SERVICES CORP
Product Type:	No Product
Allegations:	DELINQUENT FOR WI STATE TAXES
Current Status:	Final
Resolution:	NOTICE OF REVOCATION



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: 11/23/2009

Sanctions Ordered: Revocation

Regulator Statement WISCONSIN DEPT OF REVENUE CERTIFIED GRIFFITH AS DELINQUENT FOR STATE TAXES. STATUTE REQUIRES REVOCATION AFTER 30 DAYS NOTICE. NOTICE ISSUED 10/22/2009. GRIFFITH FAILED TO RESOLVE HIS DELINQUENCY BY THE DUE DATE OF 11/21/2009. THIS IS NOT A DISCIPLINARY EVENT FOR VIOLATIONS OF ANY SECURITIES LAW. AGENT/RA MAY REAPPLY AFTER RESOLUTION OF TAX DELINQUENCY. WI DEPT OF REVENUE ISSUED OCCUPATIONAL LICENSE CLEARANCE CERTIFICATE DTD 11/24/2009 WHICH REFLECTS AGENT HAS MADE SATISFACTORY ARRANGEMENTS WITH THE DEPT CONCERNING HIS DELINQUENT TAX ACCOUNT.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF WISCONSIN - DEPT OF REVENUE

Sanction(s) Sought: Revocation

Date Initiated: 11/23/2009

Docket/Case Number: NONE

Employing firm when activity occurred which led to the regulatory action: PRINCOR FINANCIAL SERVICES CORPORATION

Product Type: No Product

Allegations: DELINQUENT FOR WI STATE TAXES. THIS WAS ATTEMPTED TO BE RECTIFIED IN OCTOBER PRIOR TO THE ACTION BEING TAKEN.

Current Status: Final

Resolution: PAYMENT OF DELINQUENT TAXES



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:

11/24/2009

Sanctions Ordered:

Revocation

Broker Statement

I RECEIVED A NOTICE IN EARLY OCTOBER AND ATTEMPTED TO COMPLY IMMEDIATELY. I RECEIVED NO COMMUNICATION NOTING THIS WAS STILL OUTSTANDING UNTIL YESTERDAY, 11/23/09. I IMMEDIATELY CONTACTED THE STATE AND WAS COMPLIANT WITHIN 20 HOURS OF NOTIFICATION.



Customer Dispute - Settled

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	PRINCOR FINANCIAL SERVICES CORPORATION
Allegations:	INVESTMENT ALLOCATION AND STRATEGY REQUIRED FEATURES OF 401K THAT WERE NOT ALLOWED TO TAKE ADVANTAGE OF AGE 55 SEPARATION RULES. ALLOCATION NOT INVESTED WITH MARKET ORDERS. JULY 2009.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO SPECIFIC COMPENSATORY DAMAGES ALLEGED
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:	09/10/2009
Complaint Pending?	No
Status:	Settled
Status Date:	02/17/2011
Settlement Amount:	\$100,000.00
Individual Contribution Amount:	\$100,000.00



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:	METLIFE
Allegations:	CLIENT ALLEGES HER PORTFOLIO HAS BEEN SCREWED UP BY FALSE PROMISES, NEGLIGENCE AND GREED AND REQUESTS HER ACCOUNT BE MADE WHOLE.
Product Type:	Mutual Fund(s)
Alleged Damages:	\$9,000.00

Customer Complaint Information

Date Complaint Received:	07/14/2001
Complaint Pending?	No
Status:	Denied
Status Date:	08/29/2001
Settlement Amount:	
Individual Contribution Amount:	

End of Report



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