

BrokerCheck Report

ALAN HAROLD NEW

CRD# 2892508

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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.

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)

ALAN H. NEW

CRD# 2892508

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):

NYLIFE SECURITIES LLC

CRD# 5167
FORT WAYNE, IN
06/2004 - 08/2016

NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

CRD# 2881
MILWAUKEE, WI
09/1999 - 05/2004

ROBERT W. BAIRD & CO. INCORPORATED

CRD# 8158
MILWAUKEE, WI
09/1999 - 01/2002

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
Civil Event	1
Customer Dispute	13

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
Securities Industry Essentials Examination	SIE	08/30/2016
Investment Company Products/Variable Contracts Representative Examination	Series 6	09/13/1999

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	09/01/2005
Uniform Securities Agent State Law Examination	Series 63	09/14/1999

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
06/2004 - 08/2016	NYLIFE SECURITIES LLC	5167	FORT WAYNE, IN
09/1999 - 05/2004	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	MILWAUKEE, WI
09/1999 - 01/2002	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI

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
08/2016 - Present	Synergy Investment Services LLC	FORT WAYNE, IN
01/2015 - Present	Synergy Financial Group, Inc.	Fort Wayne, IN
09/2005 - 08/2016	Eagle Strategies LLC	Fort Wayne, IN
06/2004 - 08/2016	NEW YORK LIFE INSURANCE COMPANY	CARMEL, IN
06/2004 - 08/2016	NYLIFE SECURITIES	FORT WAYNE, IN
02/2009 - 01/2015	LIGHTHOUSE WEALTH MANAGEMENT GROUP, INC.	FORT WAYNE, IN

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.

[K&N REALTY LLC. 10343 DAWSON CREEK BLVD SUITE A. FORT WAYNE IN, 46825; OWNER JANUARY 2005. ESTABLISHED FOR SOLE PURPOSE OF OWNING OWN THE OFFICE BUILDING. THIS COMPANY WILL BE RENTING TO OWN DBA]

[9326 COLDWATER RD., LLC; THE LLC IS THE OWNER OF THE OFFICE BUILDING THAT WE WILL RUN OUR NEW BUSINESS SYNERGY FINANCIAL GROUP, INC. OUT OF STARTING JANUARY 1, 2015.; 9326 COLDWATER RD.,



Registration and Employment History

Other Business Activities, continued

FORT WAYNE, IN 46825; START DATE 01/2015; ROLE/TITLE: OWNER; INVESTMENT RELATED; 1 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[SYNERGY FINANCIAL GROUP, INC.; SELLING PROPERTY, CASUALTY, COMMERCIAL, BROKERAGE, INSURANCE, AND ANNUITIES.; 9326 COLDWATER RD., FORT WAYNE, IN 46825; START DATE 01/2015; ROLE/TITLE: OWNER; INVESTMENT RELATED; 5 HOURS PER MONTH; 0 HOURS PER MONTH DURING SECURITIES TRADING HOURS]

[AMERICAN ALTERNATIVE INVESTMENTS;SELLING & REFERRING PRIVATE PLACEMENTS IN LIFE SETTLEMENTS AND ENERGY SECTOR, MERCHANT CASH ADVANCE BUSINESS; 432 S. EMERSON AVE. STE 300, GREENWOOD, IN 46143; START DATE: 05/2017; ROLE/TITLE: SALES AGENT; INVESTMENT RELATED; 80 HR/MO; 40 HR/MO DURING TRADING HOURS]



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
Civil Event	1	0	0



Customer Dispute	13	0	N/A
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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.

Civil - Pending

This type of disclosure event involves a pending civil court action that seeks an injunction in connection with any investment-related activity or alleges a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Monetary Penalty other than Fines
Date Court Action Filed:	12/17/2018
Product Type:	No Product
Type of Court:	Federal Court
Name of Court:	United States District Court for the Southern District of Indiana
Location of Court:	Southern District of Indiana
Docket/Case #:	1:18-cv-03975
Employing firm when activity occurred which led to the action:	SYNERGY INVESTMENT SERVICES, LLC
Allegations:	The Securities and Exchange Commission ("Commission") alleges that from at least September 2013 through August 2017, the Defendants in this action served as unregistered brokers on behalf of Woodbridge Group of Companies LLC and its affiliates ("Woodbridge"), raising approximately \$15 million from the offer and sale of Woodbridge's unregistered securities to at least 100 retail investors located in at least nine states. The Defendants, all based in Fort Wayne, Indiana, collectively



earned more than \$1.5 million in transaction-based sales commissions. The Defendants pitched investors, both pre-existing customers and newly found, via telephone, e-mail and at in-person meetings providing them Woodbridge's sales materials touting Woodbridge's securities as "safe and secure." Unbeknownst to the Defendants' customers, many of whom had invested their retirement savings in response to the Defendants' sales pitches, Woodbridge was actually operating a massive Ponzi scheme, raising more than \$1.2 billion before collapsing in December 2017 and filing for bankruptcy. Once Woodbridge filed for bankruptcy, investors stopped receiving their monthly interest payments, and have not received a return of their investment principal. At all relevant times, the Defendants sold Woodbridge's securities without being registered with the Commission to do so, nor were they associated with a registered broker-dealer who was selling Woodbridge's securities. Further, Woodbridge's securities were not registered with the Commission nor did they qualify for an exemption from registration. Defendants were thus not permitted to sell Woodbridge's securities. By engaging in this conduct the Defendants each violated Sections 5(a) and 5(c) of the Securities Act of 1933 ("Securities Act") and Section 15(a)(1) of the Securities Exchange Act of 1934.

Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	n/a



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Claimants allege that in November 2014, January 2015, August 2016 , September 2015, December 2016 and March 2017 they were advised to purchase and subsequently roll over unregistered, nonexempt securities in the form of Woodbridge Promissory Notes. Claimants allege that the Promissory Notes along with an investment in 1 Global Capital LLC in September 2017 were misrepresented as safe and that their Woodbridge investments gave them ownership in certain parcels of property throughout the United States. Claimants seek judgment for all incidental losses, damages for breach of fiduciary duty, disgorgement of commissions, fees and other compensation, rescission of all existing investments and punitive damages.
Product Type:	Promissory Note Other: LLC
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants seek judgment for all incidental losses, damages for breach of fiduciary duty, disgorgement of commissions, fees and other compensation, rescission of all existing investments and punitive damages.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Allen Superior Court
Location of Court:	Fort Wayne, Indiana
Docket/Case #:	02D03-1812-PL-000447
Date Notice/Process Served:	12/17/2018
Litigation Pending?	Yes

Disclosure 2 of 13



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Claimants allege that in April 2015, February 2016 and September 2016 they were sold unregistered, nonexempt securities in the form of Woodbridge Promissory Notes. Claimants allege that the Promissory Notes along with an investment in FIP, LLC in February 2015 were unsuitable and inappropriate and that the risks were not disclosed. Claimants further allege that the products were sold away from the broker-dealer and seek \$168,308.58 plus interest, cost and fees.
Product Type:	Promissory Note Other: LLC
Alleged Damages:	\$168,308.58
Alleged Damages Amount Explanation (if amount not exact):	Plus interest, cost and fees.
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-03318
Date Notice/Process Served:	10/01/2018
Arbitration Pending?	Yes

Disclosure 3 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Claimants allege that they were sold unregistered and fraudulent investments in Woodbridge Mortgage Investment Funds in January, March and July 2015. Claimants further allege that the investments were falsely represented as safe, secure and low risk and seek recovery of damages in the amount of \$125,000 plus costs, interest, fees and punitive damages.
Product Type:	Other: LLC



Alleged Damages: \$125,000.00

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

Docket/Case #: 18-02454

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 07/05/2018

Customer Complaint Information

Date Complaint Received: 09/19/2018

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Firm Statement Arbitration Statement of Claim has been amended to add a third plaintiff.

Disclosure 4 of 13

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** NYLIFE SECURITIES LLC

Allegations: Claimants, who are not customers of the Firm, allege that the were sold unregistered and fraudulent investments in Woodbridge Mortgage Investment Funds in February and October 2015 and February 2016. Claimants further allege that the investments were falsely represented as safe, secure and low risk and seek recovery of damages in the amount of \$325,000 plus costs, interest, fees and punitive damages.

Product Type: Other: LLC

Alleged Damages: \$325,000.00



Alleged Damages Amount Explanation (if amount not exact): Plus costs, interest, fees and punitive damages.

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

Docket/Case #: 18-01864

Filing date of arbitration/CFTC reparation or civil litigation: 05/15/2018

Customer Complaint Information

Date Complaint Received: 08/06/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Customer alleges that he was misled regarding an unregistered investment in Woodbridge Mortgage Investment Fund purchased in August 2014. Customer is seeking the return of his investment (\$65,000)

Product Type: Other: LLC

Alleged Damages: \$65,000.00

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: 06/26/2018

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Disclosure 6 of 13

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** NYLIFE SECURITIES LLC

Allegations: Claimant alleges that material facts and the risks associated with an unregistered investment in Woodbridge Mortgage Investment Fund purchased in April 2014 and October 2015 were not disclosed. Claimant is seeking recovery of damages in the amount of \$350,000 as well as costs, interest and attorney's fees.

Product Type: Other: LLC

Alleged Damages: \$350,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Plus costs, interest and attorney's fees.

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

Docket/Case #: 18-02180

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/11/2018



Customer Complaint Information

Date Complaint Received: 07/13/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Claimants allege that material facts and the risks associated with an unregistered investment in Woodbridge Mortgage Investment Fund purchased in September 2013, January 2014 and July 2016 were not disclosed. Claimants also allege that material facts involving Future Income Payments, LLC, another unregistered investment, purchased in October 2014 were also not disclosed. Plaintiff is seeking recovery of damages in the amount of \$900,000 as well as costs, interest and attorney's fees.

Product Type: Other: LLC

Alleged Damages: \$900,000.00

Alleged Damages Amount Explanation (if amount not exact): Plus interest and fees.

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

Docket/Case #: 18-02125

Filing date of arbitration/CFTC reparation or civil litigation: 06/06/2018



Customer Complaint Information

Date Complaint Received: 07/10/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 8 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Claimant alleges that in February 2015 and November 2015 she was sold unregistered and misrepresented investments. Claimant further alleges that in September and December 2016, she was advised to roll over the investments and that they are now worthless. Claimant seeks to recover damages of at least \$170,000 in lost principal as well as lost interest, reasonable costs and attorneys' fees.

Product Type: Other: LLC

Alleged Damages: \$170,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant seeks to recover damages of at least \$170,000 in lost principal as well as lost interest, reasonable costs and attorneys' fees

Civil Litigation Information

Type of Court: State Court

Name of Court: INDIANA COMMERCIAL COURT

Location of Court: ALLEN, INDIANA

Docket/Case #: 02D01-1806-PL-000199

Date Notice/Process Served: 06/19/2018

Litigation Pending? Yes

Disclosure 9 of 13



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Plaintiff alleges that material facts and the risks associated with an unregistered investment in Woodbridge Mortgage Investment Fund purchased in April 2017 were not disclosed. Plaintiff is seeking the return of his investment (\$65,000) less any income received, plus 8% interest, costs and attorney's fees.
Product Type:	Other: LLC
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	While plaintiff has not claimed a specific amount, the Firm has made a good faith determination that damages would exceed \$5,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Allen Superior Court
Location of Court:	Allen, Indiana
Docket/Case #:	02D01-1804-PL-000120
Date Notice/Process Served:	04/17/2018
Litigation Pending?	Yes

Disclosure 10 of 13

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NYLIFE SECURITIES LLC
Allegations:	Plaintiff alleges that material facts and the risks associated with an unregistered investment purchased in Woodbridge Mortgage Investment Fund in December 2013 were not disclosed. Claimant seeks recovery of damages in the amount of at least \$400,000.00
Product Type:	Other: LLC
Alleged Damages:	\$400,000.00



Alleged Damages Amount Explanation (if amount not exact): Plus interest and costs.

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

Docket/Case #: 18-00788

Filing date of arbitration/CFTC reparation or civil litigation: 02/26/2018

Customer Complaint Information

Date Complaint Received: 04/17/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 11 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Claimant alleges that in July 2015, April 2016 and December 2016 he was sold unregistered and fraudulent investments in Woodbridge Mortgage Investment Fund . Claimant seeks to recover damages of at least \$550,500 and lost opportunity costs, punitive damages, costs and interest.

Product Type: Other: LLCs

Alleged Damages: \$550,500.00

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

Docket/Case #: 18-00518

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 02/07/2018

Customer Complaint Information

Date Complaint Received: 03/14/2018

Complaint Pending? No

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

Status Date: 03/14/2018

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

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

Docket/Case #: 18-00518

Date Notice/Process Served: 03/14/2018

Arbitration Pending? Yes

Firm Statement This DRP is being amended because the RR is not the subject of but was named in the arbitration. This DRP is being amended because Claimant's counsel has amended to Statement of Claim to add [REDACTED].

Disclosure 12 of 13

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** NYLIFE SECURITIES LLC



Allegations: Claimants allege that in April 2014, June 2015 and February 2016 they were sold unregistered and fraudulent investments in Woodbridge Mortgage Investment Fund. Claimants seek to recover damages of at least \$319,000 and lost opportunity costs, punitive damages, costs and interest.

Product Type: Other: LLCs

Alleged Damages: \$319,000.00

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

Docket/Case #: 18-00991

Filing date of arbitration/CFTC reparation or civil litigation: 03/09/2018

Customer Complaint Information

Date Complaint Received: 04/03/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 13 of 13

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: Claimants allege that in November 2013 and July 2014 they were sold unregistered and fraudulent investments in Woodbridge Mortgage Investment Fund. Claimants seek to recover damages of at least \$100,001 and lost opportunity costs, punitive damages, costs and interest.

Product Type: Other: LLCs



Alleged Damages: \$100,001.00

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 Office of Dispute Resolution

Docket/Case #: 18-00161

Filing date of arbitration/CFTC reparation or civil litigation: 01/09/2018

Customer Complaint Information

Date Complaint Received: 01/23/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

End of Report



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