

BrokerCheck Report

JARED BRYCE ROSKELLEY

CRD# 3139812

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 8
Disclosure Events	9



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.



JARED B. ROSKELLEY

CRD# 3139812

Currently employed by and registered with the following Firm(s):

IA LPL FINANCIAL LLC
9590 E IRONWOOD SQ DR STE110
SCOTTSDALE, AZ 85258
CRD# 6413
Registered with this firm since: 01/27/2025

B LPL FINANCIAL LLC
9590 E IRONWOOD SQ DR STE110
SCOTTSDALE, AZ 85258
CRD# 6413
Registered with this firm since: 01/27/2025

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
- 25 U.S. states and territories

This broker has passed:

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

Registration History

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

B AMERIPRISE FINANCIAL SERVICES, LLC
CRD# 6363
SCOTTSDALE, AZ
10/2023 - 01/2025

IA AMERIPRISE FINANCIAL SERVICES, LLC
CRD# 6363
MINNEAPOLIS, MN
10/2023 - 01/2025

IA RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC
CRD# 149018
SAINT PETERSBURG, FL
05/2016 - 10/2023

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	1
Customer Dispute	4
Termination	1



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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/27/2025
B	FINRA	General Securities Representative	Approved	01/27/2025

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	01/27/2025
IA	Arizona	Investment Adviser Representative	Approved	01/27/2025
B	California	Agent	Approved	01/27/2025
B	Colorado	Agent	Approved	01/27/2025
B	District of Columbia	Agent	Approved	01/27/2025
B	Florida	Agent	Approved	01/28/2025
B	Georgia	Agent	Approved	01/27/2025
B	Idaho	Agent	Approved	01/28/2025
B	Michigan	Agent	Approved	01/27/2025
B	Minnesota	Agent	Approved	01/29/2025
B	Missouri	Agent	Approved	01/27/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nebraska	Agent	Approved	01/27/2025
B	Nevada	Agent	Approved	01/27/2025
B	New Jersey	Agent	Approved	01/27/2025
B	New York	Agent	Approved	01/27/2025
B	North Carolina	Agent	Approved	01/27/2025
B	Oregon	Agent	Approved	01/27/2025
B	Pennsylvania	Agent	Approved	01/27/2025
B	South Carolina	Agent	Approved	01/27/2025
B	Tennessee	Agent	Approved	01/28/2025
B	Texas	Agent	Approved	01/27/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	01/27/2025
B	Utah	Agent	Approved	01/27/2025
B	Vermont	Agent	Approved	01/27/2025
B	Virginia	Agent	Approved	01/27/2025
B	Washington	Agent	Approved	01/29/2025
B	Wisconsin	Agent	Approved	01/27/2025

Branch Office Locations

LPL FINANCIAL LLC
 9590 E IRONWOOD SQ DR STE110
 SCOTTSDALE, AZ 85258



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/03/2009

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/28/1998

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/12/2001
B Uniform Securities Agent State Law Examination	Series 63	07/14/1999

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/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2023 - 01/2025	AMERIPRISE FINANCIAL SERVICES, LLC	6363	SCOTTSDALE, AZ
IA 10/2023 - 01/2025	AMERIPRISE FINANCIAL SERVICES, LLC	6363	SCOTTSDALE, AZ
IA 05/2016 - 10/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	SCOTTSDALE, AZ
B 04/2016 - 10/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	SCOTTSDALE, AZ
IA 03/2007 - 05/2020	JACKSON ROSKELLEY WEALTH ADVISORS, INC.	116530	SCOTTSDALE, AZ
IA 01/2007 - 04/2016	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	SCOTTSDALE, AZ
B 10/2006 - 04/2016	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	SCOTTSDALE, AZ
IA 08/2005 - 11/2005	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	MESA, AZ
B 06/2005 - 11/2005	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FAIRFIELD, IA
IA 07/2003 - 11/2004	DEGREEN FINANCIAL, INC.	107582	SCOTTSDALE, AZ
B 12/1998 - 11/2004	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
IA 11/2001 - 06/2003	CORNERSTONE FINANCIAL PLANNING, INC.	114859	TEMPE, AZ

Employment History



Registration and Employment History

Employment History, continued

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
01/2025 - Present	LPL Financial	Registered Representative	Y	Scottsdale, AZ, United States
10/2023 - 01/2025	AMERIPRISE FINANCIAL SERVICES, LLC	Registered Rep	Y	Scottsdale, AZ, United States
01/2023 - 10/2023	Summit Path Insights, Inc	Owner/Proprietor	Y	Scottsdale, AZ, United States
03/2019 - 10/2023	ORANGE HOUSE RENTAL	PROPRIETOR/OWNER	Y	MESA, AZ, United States
11/2018 - 10/2023	Greenbrier Investments, LLC	Partner	Y	Scottsdale, AZ, United States
05/2016 - 10/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	SCOTTSDALE, AZ, United States
04/2016 - 10/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, United States
02/2007 - 10/2023	JACKSON ROSKELLEY WEALTH ADVISORS, INC.	Other, Officer - CEO, Officer - President	N	SCOTTSDALE, AZ, United States
01/2010 - 04/2018	CONTINUITY PARTNERS GROUP, LLC	MINORITY MEMBER OF LLC	N	SCOTTSDALE, AZ, United States
01/2007 - 04/2016	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC	IA REP	Y	FAIRFIELD, IA, United States
10/2006 - 04/2016	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, 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.

1 - 11/2024 - Non-Variable Insurance Trails Only - Inv Related - 1 Hour/Month - AZ 85258 - OBA Start Date: 01/01/2000.

2 - 11/2024 - Real Estate Rental - Inv Related - AZ 85210 - OBA Start Date: 08/01/2018.

3 - 11/2024 - Greenbrier Investments, LLC - Real Estate Rental - Inv Related - 4 Hours/Month - 1 Hour During Trading - AZ 85258 - OBA Start Date: 01/01/2005.

4 - 11/2024 - Jackson Roskelley Wealth Advisors - DBA for LPL Business (entity for LPL business) - At reported business location(s).

Registration and Employment History



Other Business Activities, continued

5 - 11/2024 - Summit Path Insights, Inc. - Business Entity For Tax/Investment Purposes Only - Not Inv Related - 4 Hours/Month - 1 Hour During Trading - AZ 85258 - OBA Start Date: 01/01/2023.

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.
 -
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	1	0
Customer Dispute	0	4	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Date Initiated:	12/01/2005
Docket/Case Number:	E3A2004033701
Employing firm when activity occurred which led to the regulatory action:	SUNAMERICA SECURITIES, INC., AND DEGREEN FINANCIAL, INC.
Product Type:	
Allegations:	NASD RULES 2110, 3040 - RESPONDENT PARTICIPATED IN A PRIVATE SECURITIES TRANSACTION WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO HIS MEMBER FIRM DESCRIBING IN DETAIL THE PROPOSED TRANSACTION AND HIS PROPOSED ROLE THEREIN AND STATING WHETHER HE HAD RECEIVED OR MIGHT RECEIVE SELLING COMPENSATION IN CONNECTION WITH THE TRANSACTION.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 12/01/2005

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, ROSKELLEY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR EIGHT MONTHS AND FINED \$22,713, WHICH INCLUDES DISGORGEMENT OF \$17,713 OF COMMISSIONS RECEIVED. THE FINE SHALL BE DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION, OR PRIOR TO ANY APPLICATION OR REREQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. SUSPENSION EFFECTIVE AT OPENING OF BUSINESS JANUARY 3, 2006, AND CONCLUDE SEPTEMBER 2, 2006. FINES PAID ON OCTOBER 2, 2006.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: DISGORGEMENT OF FEES AND FINE OF \$5,000

Date Initiated: 01/01/2006

Docket/Case Number: E3A2004033701

Employing firm when activity occurred which led to the regulatory action: SUNAMERICA SECURITIES/DEGREEN FINANCIAL

Product Type: Other

Other Product Type(s): 1031 EXCHANGE PROPERTY.

Allegations: IN JANUARY 2006 I ENTERED INTO AN AWC ARRANGEMENT WITH THE



NASD FOR FAILURE TO RECEIVE PRIOR AUTHORIZATION BEFORE RECOMMENDING TO MY CLIENT A 1031 REPLACEMENT PROPERTY. BY PARTICIPATING IN A PRIVATE SECURITIES TRANSACTION, WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO THE MEMBER WITH WHICH HE WAS ASSOCIATED, I VIOLATED CONDUCT RULE 3040 AND ALSO ENGAGED IN CONDUCT INCONSISTENT WITH HIGH STANDARDS OF COMMERCIAL HONOR AND JUST AND EQUITABLE PRINCIPLES OF TRADE IN VIOLATION OF NASD CONDUCT RULE 2110.

Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/03/2006
Sanctions Ordered:	Disgorgement/Restitution Monetary/Fine \$22,713.00 Suspension
Other Sanctions Ordered:	DISGORGEMENT OF \$17,713 OF COMMISSIONS RECEIVED AND \$5,000 FINE.
Sanction Details:	AGREED TO 8 MONTH SUSPENSION. NO REQUALIFICATION REQUIRED. DISGORGEMENT AND FINE TO BE PAID UPON RELICENSING.
Broker Statement	AFTER REALIZING THAT I MAY HAVE RECOMMENDED TO A CLIENT A PRODUCT FOR WHICH I HAD NOT RECEIVED PRIOR APPROVAL, I VOLUNTARILY SUBMITTED INFORMATION REGARDING THE TRANSACTION TO MY SUPERVISOR. THIS LEAD TO THE 8 MONTH SUSPENSION AND DISGORGEMENT OF FEES. FINES HAVE BEEN PAID 10/1/06 IN THE AMOUNT OF \$22713.00



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 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	SUNAMERICA SECURITIES, INC. A/K/A SAGEPOINT FINANCIAL, INC.,
Allegations:	NEGLIGENCE; BREACH OF CONTRACT; BREACH OF FIDUCIARY DUTY; FRAUD; AND NEGLIGENT MISREPRESENTATION.
Product Type:	Other: IRS CODE 1031 EXCHANGE VEHICLE AND ALLEGED PONZI SCHEME
Alleged Damages:	\$1,100,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #10-01800
Date Notice/Process Served:	04/09/2010
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/18/2010
Disposition Detail:	ON OR ABOUT OCTOBER 18, 2010, CLAIMANTS NOTIFIED FINRA THAT CLAIMANTS SETTLED ALL CLAIMS AGAINST THE RESPONDENT. ON DECEMBER 1, 2010, THE PANEL ORDERED THE PARTIES TO CONFIRM THE OUTSTANDING ISSUES OF THE CASE. IN RESPONSE TO THE PANEL'S ORDER, THE PARTIES CONFIRMED THAT ALL ISSUES HAD BEEN RESOLVED BY SETTLEMENT.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	SUNAMERICA SECURITIES, INC.
Allegations:	NEGLIGENCE, NEGLIGENT SUPERVISION, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD MISREPRESENTATION
Product Type:	Direct Investment-DPP & LP Interests



Alleged Damages: \$1,100,000.00

Arbitration Information

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

Docket/Case #: 10-01800

Date Notice/Process Served: 06/21/2010

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: NEGLIGENCE, NEGLIGENT SUPERVISION, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, FRAUD MISREPRESENTATION

Product Type: Real Estate Security

Alleged Damages: \$1,100,000.00

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: 06/16/2010

Complaint Pending? No

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

Status Date: 06/16/2010

Settlement Amount:

Individual Contribution Amount:

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA DISPUTE RESOLUTION / PHEONIX, ARIZONA

Docket/Case #: 10-01800

Date Notice/Process Served: 06/16/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/29/2010

Monetary Compensation Amount: \$240,000.00

Individual Contribution Amount: \$25,000.00

Broker Statement RR RECEIVED NOTICE OF PENDING ARBITRATION ORIGINATING FROM A TRANSACTION IN '04. AT TIME OF TRANSACTION, RR BELIEVED CLIENT MET SUITABILITY STANDARDS AS AN ACCREDITED INVESTOR, HAD OVER 30 YEARS OF EXPERIENCE WITH REAL ESTATE INVESTMENTS AND CLIENT VOLUNTARILY PROCEEDED WITH INVESTMENT AFTER PERSONALLY INSPECTING PROPERTIES. FROM '04-08, INVESTMENT PERFORMED AS EXPECTED. ONLY FOLLOWING COLLAPSE IN REAL ESTATE MARKETS DID CLIENT FILE FOR ARBITRATION.

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: SUNAMERICA SECURITIES, INC.

Allegations: ALLEGE THAT THEY SHOULD NOT HAVE HAD TO PAY MANAGEMENT FEES SINCE NO RECOMMENDATIONS OR CHANGES WERE MADE TO THEIR ACCOUNT(S).

Product Type: No Product

Alleged Damages: \$9,601.03

Customer Complaint Information

Date Complaint Received: 03/11/2005

Complaint Pending? No



Status: Settled

Status Date: 03/11/2005

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$5,000.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DEGREEN FINANCIAL AND SUNAMERICA SECURITIES

Allegations: THE LUNDS ALLEGE THAT ASSET MANAGEMENT FEES WERE INAPPROPRIATELY CHARGED ON A VARIABLE ANNUITY THAT THEY HAD PURCHASED FROM AN INVESTMENT ADVISOR PRIOR TO BECOMING MY CLIENT. THEY SENT A LETTER REQUESTING A REFUND OF THEIR FEES ON FEBRUARY 1, 2005 AFTER HAVING PAID FEES ON THE ACCOUNT SINCE MAY OF 2003. THE LETTER WAS SENT TO MY FORMER EMPLOYER, DEGREEN FINANCIAL 5 MONTHS AFTER I HAD LEFT THE FIRM. AS I WAS INITIALLY THEIR REP, MY U-5 WAS UPDATED TO INCLUDE THE REQUEST FOR REFUND.

Product Type: Other

Other Product Type(s): THE COMPLAINT IS REGARDING FEES PAID FOR ASSET MANAGEMENT, FINANCIAL PLANNING, AND ESTATE PLANNING SERVICES AND DOES NOT PERTAIN TO ANY PARTICULAR PRODUCT.

Alleged Damages: \$7,000.00

Customer Complaint Information

Date Complaint Received: 02/01/2005

Complaint Pending? No

Status: Settled

Status Date: 03/01/2005

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement CUSTOMER COMPLAINT WAS FILED AND SETTLED AFTER I WAS NO LONGER AFFILIATED WITH B/D. I WAS NOT PARTY TO ANY DETAILS OF



COMPLAINT OR SETTLEMENT AGREEMENT AND I DID NOT CONTRIBUTE
ANY MONIES TO SETTLEMENT.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cambridge Investment Research, Inc & Raymond James Financial Services, Inc
Allegations:	Statement of Claim alleges RR sold unsuitable alternative investments. Additionally, claimant alleges breach of fiduciary duty and negligence.
Product Type:	Annuity-Variable Real Estate Security
Alleged Damages:	\$500,000.00
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 #:	20-00415
Filing date of arbitration/CFTC reparation or civil litigation:	02/19/2021

Customer Complaint Information

Date Complaint Received:	02/19/2021
Complaint Pending?	No
Status:	Withdrawn
Status Date:	04/01/2022
Settlement Amount:	

Individual Contribution Amount:



Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Cambridge Investment Research, Inc & Raymond James Financial Services, Inc

Allegations: Claimant alleges that FA recommended unsuitable REIT investments and purchase of a variable annuity, and that he misrepresented that the recommended investments did not expose Claimant to substantial risk of loss or to large commissions.

Product Type: Annuity-Variable
Real Estate Security

Alleged Damages: \$500,000.00

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 #: 20-00415

Filing date of arbitration/CFTC reparation or civil litigation: 02/19/2021

Customer Complaint Information

Date Complaint Received: 02/19/2021

Complaint Pending? No

Status: Withdrawn

Status Date: 04/01/2022

Settlement Amount:

Individual Contribution Amount:

Broker Statement The claim is initiated by a party that is not my client and even noted that I am a Non-Party to the claim. The investments discussed in the complaint, namely an annuity and REIT, were recommended by a previous advisor who is now deceased



and I later assumed responsibility for the accounts. I categorically deny any wrongdoing with respect to the account at issue in the claim.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cambridge Investment Research, Inc
Allegations:	Client is upset that she is invested in the Phillips Edison REIT as it is not liquid and requested to get the full value of the investment back.
Product Type:	Real Estate Security
Alleged Damages:	\$40,000.00
Alleged Damages Amount Explanation (if amount not exact):	This is the amount of the initial investment. Cannot determine the exact amount of damages.
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:	07/28/2017
Complaint Pending?	No
Status:	Denied
Status Date:	08/22/2017
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CAMBRIDGE INVESTMENT RESEARCH, INC.



Allegations:	CLIENT IS UPSET THAT SHE IS INVESTED IN THE PHILLIPS EDISON REIT AS IT IS NOT LIQUID AND REQUESTED TO GET THE FULL VALUE OF THE INVESTMENT BACK.
Product Type:	Real Estate Security
Alleged Damages:	\$40,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS IS THE AMOUNT OF THE INITIAL INVESTMENT. CANNOT DETERMINE THE EXACT AMOUNT OF DAMAGES.
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:	07/28/2017
Complaint Pending?	No
Status:	Denied
Status Date:	08/22/2017
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Client thought she had lost money on investment, but was not reading statement correctly. Client emailed advisor questioning performance. Advisor reviewed facts with client illustrating how it had appreciated in value & provided quarterly income-consistent with investment objectives. Client was no longer upset. Due to email being "written correspondence", regulations required a formal review of facts. Cambridge reviewed facts & determined investment was suitable.



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:	Broker
Employer Name:	SUNAMERICA SECURITIES, INC
Termination Type:	Discharged
Termination Date:	10/29/2004
Allegations:	FAILURE TO RECEIVE SUPERVISORY APPROVAL BEFORE RECOMMENDING AND RECEIVING COMPENSATION FOR 1031 EXCHANGE PRODUCT.
Product Type:	Other
Other Product Types:	1031 EXCHANGE PROPERTY
Broker Statement	PREVIOUSLY DISCLOSED FOR QUESTIONS 14.D.1.B & E

End of Report



This page is intentionally left blank.