

## BrokerCheck Report

**TREVOR WILLIAM WILDE**

CRD# 4238789

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



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
- 48 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA CETERA ADVISORS LLC**  
CRD# 10299  
GREENWOOD VILLAGE, IL  
05/2007 - 03/2024
- IA WACHOVIA SECURITIES FINANCIAL NETWORK, LLC**  
CRD# 11025  
ST. LOUIS, MO  
04/2003 - 05/2007
- B WACHOVIA SECURITIES FINANCIAL NETWORK, LLC**  
CRD# 11025  
SCOTTSDALE, AZ  
04/2003 - 05/2007

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	2

TREVOR W. WILDE

CRD# 4238789

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

- B CETERA ADVISORS LLC**  
7025 N SCOTTSDALE RD STE 115 & 110  
SCOTTSDALE, AZ 85253  
CRD# 10299  
Registered with this firm since: 04/30/2007
- IA CETERA INVESTMENT ADVISERS LLC**  
13985 W GRAND AVE SUITE 100  
SURPRISE, AZ 85374  
CRD# 105644  
Registered with this firm since: 03/21/2024



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 48 U.S. states and territories through his or her employer.**

Employment 1 of 2

Firm Name: CETERA ADVISORS LLC  
Main Office Address: 5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111  
Firm CRD#: 10299

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/30/2007
B	FINRA	General Securities Sales Supervisor	Approved	04/30/2007

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	01/07/2016
B	Alaska	Agent	Approved	12/10/2018
B	Arizona	Agent	Approved	04/30/2007
B	Arkansas	Agent	Approved	01/02/2014
B	California	Agent	Approved	04/30/2007
B	Colorado	Agent	Approved	04/30/2007
B	Connecticut	Agent	Approved	04/30/2007
B	Delaware	Agent	Approved	01/11/2016
B	District of Columbia	Agent	Approved	08/08/2019
B	Florida	Agent	Approved	04/30/2007
B	Georgia	Agent	Approved	04/30/2007

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	01/03/2008
B	Idaho	Agent	Approved	02/04/2010
B	Illinois	Agent	Approved	04/30/2007
B	Indiana	Agent	Approved	09/11/2009
B	Iowa	Agent	Approved	01/05/2010
B	Kansas	Agent	Approved	03/11/2009
B	Louisiana	Agent	Approved	10/26/2020
B	Maine	Agent	Approved	12/21/2015
B	Maryland	Agent	Approved	01/20/2015
B	Massachusetts	Agent	Approved	04/30/2007
B	Michigan	Agent	Approved	04/30/2007
B	Minnesota	Agent	Approved	04/30/2007
B	Mississippi	Agent	Approved	02/25/2020
B	Missouri	Agent	Approved	05/14/2015
B	Montana	Agent	Approved	10/27/2008
B	Nebraska	Agent	Approved	06/26/2015
B	Nevada	Agent	Approved	04/30/2007
B	New Hampshire	Agent	Approved	01/07/2013
B	New Jersey	Agent	Approved	10/11/2011
B	New Mexico	Agent	Approved	04/30/2007
B	New York	Agent	Approved	04/30/2007

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	04/30/2007
B	North Dakota	Agent	Approved	06/10/2015
B	Ohio	Agent	Approved	04/30/2007
B	Oklahoma	Agent	Approved	10/01/2018
B	Oregon	Agent	Approved	01/03/2011
B	Pennsylvania	Agent	Approved	01/03/2008
B	South Carolina	Agent	Approved	06/10/2015
B	South Dakota	Agent	Approved	06/30/2015
B	Tennessee	Agent	Approved	01/12/2015
B	Texas	Agent	Approved	04/30/2007
B	Utah	Agent	Approved	04/30/2007
B	Virgin Islands	Agent	Approved	11/16/2016
B	Virginia	Agent	Approved	01/03/2008
B	Washington	Agent	Approved	04/30/2007
B	Wisconsin	Agent	Approved	09/26/2008
B	Wyoming	Agent	Approved	08/28/2014

### Branch Office Locations

**CETERA ADVISORS LLC**  
 7025 N SCOTTSDALE RD STE 115 & 110  
 SCOTTSDALE, AZ 85253

**CETERA ADVISORS LLC**  
 19420 N 59TH AVE BLDG C STE 261



Broker Qualifications

Employment 1 of 2, continued

GLENDALÉ, AZ 85308

**CETERA ADVISORS LLC**  
950 W ELLIOT RD, SUITE 126  
TEMPE, AZ 85284

**CETERA ADVISORS LLC**  
1610 E RIVER RD #116  
TUCSON, AZ 85718

**CETERA ADVISORS LLC**  
6486 HIGHWAY 179 STE. 111  
SEDONA, AZ 86351

**CETERA ADVISORS LLC**  
405 S Beeline Highway  
Suite E  
PAYSON, AZ 85541

**CETERA ADVISORS LLC**  
13985 W GRAND AVE SUITE 100  
SURPRISE, AZ 85374

Employment 2 of 2

Firm Name: CETERA INVESTMENT ADVISERS LLC

Main Office Address: 1450 AMERICAN LANE  
6TH FLOOR, SUITE 650  
SCHAUMBURG, IL 60173-2096

Firm CRD#: 105644

U.S. State/ Territory	Category	Status	Date
IA Arizona	Investment Adviser Representative	Approved	03/21/2024
IA New Mexico	Investment Adviser Representative	Approved	03/21/2024
IA Texas	Investment Adviser Representative	Restricted Approval	03/21/2024

Branch Office Locations

## Broker Qualifications



### Employment 2 of 2, continued

This individual does not have any registered Branch Office where the individual is located.

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## 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 2 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	09/09/2003
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	05/19/2003

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/14/2001

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	04/13/2001

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/](http://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
IA	05/2007 - 03/2024	CETERA ADVISORS LLC	10299	MESA, AZ
IA	04/2003 - 05/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ
B	04/2003 - 05/2007	WACHOVIA SECURITIES FINANCIAL NETWORK, LLC	11025	SCOTTSDALE, AZ
IA	12/2002 - 04/2003	RBC DAIN RAUSCHER INC.	31194	SCOTTSDALE, AZ
B	08/2001 - 04/2003	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY
B	02/2001 - 09/2001	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT

### 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
03/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
05/2023 - Present	PINNACLE WEALTH ADVISORS, LLC	PART OWNER	N	SCOTTSDALE, AZ, United States
05/2023 - Present	T WILDE PINNACLE HOLDINGS INC.	OWNER	N	SCOTTSDALE, AZ, United States
01/2013 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States



## Registration and Employment History

### 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) WILDE WEALTH MANAGEMENT, SAME AS OFFICE ADDRESS, FIXED INSURANCE AND FINANCIAL SERVICES, 40HR+/WK, COMMISSIONS.
- 2) WILDE WEALTH MANAGEMENT DBA RISE- UP WEALTH MANAGEMENT;  
INVESTMENT RELATED:NO;  
NATURE OF BUSINESS: S-CORP FOR FLOW THROUGH INCOME PURPOSES;  
START:4/2015;  
POSITION:SECRETARY/VP;  
DUTIES:FLOW THROUGH FOR INCOME PURPOSES;
- 3) PAC MULE LLC/TAQ INC, START 04/01/05, HOLDING COMPANY OF 1 ACRE OF RAW LAND IN AZ, PART OWNER.
- 4) PINNACLE WEALTH ADVISORS, LLC;  
INVESTMENT RELATED: NO;  
ADDRESS: SAME AS REGISTERED LOCATION;  
NATURE OF BUSINESS: HOLDING LLC;  
START: 5/2023;  
TITLE: PART OWNER/PARTNER;  
APX # OF HRS/WK & DUR TRD HRS: 0;  
DUTIES: HOLDING COMPANY/NONE;
- 5) REFERRALS TO HEALTH INSURANCE AGENTS, INVESTMENT RELATED, REFERRALS, START APRIL 2014, 1-2 HRS/WK - VARIES DURING TRADING HOURS.
- 6) PINNACLE ADVISORS, LLC-DBA FOR OSJ COMPANY,  
INVESTMENT RELATED,  
FINANCIAL SERVICES,  
START MAY 2014,  
CO-OWNER.  
APX 5 HRS/WK,  
DUTIES INCLUDE REVIEW OF REPS ACTIVITIES VIA OSJ
- 7) PINNACLE P&C LLC,-DBA FOR INS, INVESTMENT RELATED IN SVCS, START MAY 2014, NO TIME SPENT ON THIS ACTIVITY, DORMANT LLC, OWNER.
- 8) N/A, NOT INVESTMENT RELATED, SAME AS RESIDENTIAL LOCATION, TRUST ADMINISTRATION, NOT ACTIVE, SUCCESSOR TTEE FOR PARENTS AND MOTHER IN LAW.
- 9) WILDE WEALTH MANAGEMENT GROUP - SEMINARS;  
INVESTMENT RELATED: YES;  
NATURE OF BUSINESS: SEMINARS;  
START: 7/2016;  
DUTIES: SEMINARS TO ED CLIENTS AND THE PUBLIC.
- 10) FIXED INS WITH VARIOUS COMPANIES  
INVESTMENT RELATED: YES;  
START: 6/2017;  
APX # OF HRS/WK: 2;



## Registration and Employment History

### Other Business Activities, continued

POSITION: INSURANCE AGENT;  
 DUTIES: SELLS PROPERTY AND CASUALTY INS;  
 11) WILDE FOR AZ COMM OUTREACH PROG  
 INVESTMENT RELATED: NO  
 NATURE OF BUSINESS: TRADE NAME FOR CHARITABLE ORGANIZATION  
 START: 1/2018  
 POSITION: VOLUNTEER  
 DUTIES: HELP DETERMINE EVENTS & CAUSES TO SUPPORT, PROVIDE ORGANIZING ASSISTANCE;  
 12) TAQ;  
 INVESTMENT RELATED: NO  
 1195 N HAZELDINE, CASA GRANDE, AZ 85194  
 START: 2/2006;  
 POSITION: OWNER/MANAGER/MEMBER;  
 DUTIES: REAL ESTATE HOLDING COMPANY. MANAGE REAL ESTATE;  
 13) WILDE & MILANO; NO; 1195 N HAZELDINE, CASA GRANDE, AZ 85194; 7/2005; OWNER/MEMBER;  
 REAL ESTATE HOLDING COMPANY;  
 14) WILDE WEALTH INSURANCE LLC ; NO; 5/2017; OWNER/MANAGER/MEMBER; DBA FOR INS PURPOSES;  
 15) WILDE FOR AZ; NO; 1/2020; BOARD MEMBER/TREASURER;  
 PARTICIPATE IN BOARD MEETINGS. ACT AS TREASURER FOR FDS;  
 16) JR ACHIEVEMENT OF AZ; NO; 636 W SOUTHERN AVE TEMPE AZ 85252; 6/2020; BOARD OF DIR AT LARGE; BOARD OF DIR;  
 17) WILDE WEALTH MANAGEMENT ; YES; FINANCIAL SERVICES; 11/2020; OWNER/CEO; 40; DBA FOR FINANCIAL SERVICES;  
 18) HEARTLAND PAYROLL SERVICES; YES; 11/2020; REFERRER; 1; REFERRER FOR PAYROLL SERVICES TO CLIENTS;  
 19) CHILD CRISIS ARIZONA; NO; 817 N COUNTRY CLUB DR MESA AZ 85201; 4/2020; BOARD OF DIRECTOR AT LARGE; BOARD OF DIRECTORS;  
 20) WILDE WEALTH ESTATE PLANNING LLC; YES; SAME AS REGISTERED LOCATION;  
 ESTATE PLANNING PRACTICE; 10/2022 ; MANAGER; 1-2; 1-2;  
 CLIENT ESTATE PLANNING BUSINESS;  
 21) T WILDE PINNACLE HOLDINGS INC.;  
 INVESTMENT RELATED: NO;  
 ADDRESS: SAME AS REGISTERED LOCATION;  
 NATURE OF BUSINESS: HOLDING LLC;  
 START: 5/2023;  
 TITLE: PART OWNER/PARTNER;  
 APX # OF HRS/WK & DUR TRD HRS: 0;  
 DUTIES: HOLDING COMPANY FOR SHARES OF PINNACLE WEALTH ADVISORS LLC;  
 22) NOTRE DAME PREP HIGH SCHOOL;  
 INV RELATED: NO;  
 ADDRESS: 9701 E. BELL ROAD SCOTTSDALE, AZ 85260;  
 NATURE: BOARD;  
 START: 09/2023;  
 POSITION: BOARD MEMBER AT LARGE;  
 APX # OF HRS PER WK: 1- 2;  
 APX # OF HRS DURI TRADING HRS: 0;

## Registration and Employment History



### Other Business Activities, continued

DUTIES: ADVISORY BOARD MEMBER AT LARGE;  
23) SANTE REALTY INVESTMENTS ADVISORY BOARD;  
INV RE: NO;  
4343 N. SCOTTSDALE ROAD STE 150 SCOTTSDALE, AZ 85251;  
NATURE OF BUSINESS: ADVISORY BOARD;  
START DATE: 12/2023;  
POSITION: ADVISORY BOARD MEMBER;  
APX # OF HRS PER WK: VARIES;  
APX # OF HRS DUR TRAD HRS: VARIES;  
DUTIES: ATTEND QRTLY MEETINGS, GIVE GUIDANCE TO THE LEADERSHIP TEAM, BUSINESS GOALS  
24) PINNACLE PROPERTY HOLDINGS, LLC; NO;  
SAME AS REGISTERED LOCATION;  
REAL ESTATE HOLDING COMPANY;  
01/2024;OWNER;HRS PER WK: 0;DUR TRAD HRS: 0;  
HOLD CO FOR RENTAL PROPERTY TO BE PURCHASES;

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## 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
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.

### 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MULTI FINANCIAL SECURITIES CORPORATION
<b>Allegations:</b>	CLIENT ALLEGES THREE VARIABLE ANNUITIES WERE SOLD UNDER FALSE PRETENSES AND WERE MISREPRESENTED. IN THE ARBITRATION, THE CLIENT ALLEGES 2 REITS WERE UNAUTHORIZED.
<b>Product Type:</b>	Annuity-Variable Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$475,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	ESTIMATE FROM ARBITRATION STATEMENT OF CLAIM.

### Customer Complaint Information

<b>Date Complaint Received:</b>	04/29/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/08/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	





**Arbitration Information**

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

FINRA

**Docket/Case #:**

09-00723

**Date Notice/Process Served:**

07/23/2009

**Arbitration Pending?**

No

**Disposition:**

Settled

**Disposition Date:**

10/01/2010

**Monetary Compensation Amount:**

\$82,500.00

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

OVER THE COURSE OF SIX MONTHS [CUSTOMER] AND OUR TEAM CONDUCTED MORE THAN 12 PERSONAL MEETINGS DISCUSSING THE DETAILS AND CAVEATS OF OUR PLAN. [CUSTOMER] WAS GIVEN AND SIGNED OFF ON ALL DISCLOSURE DOCUMENTATION AND WAS COMPLETELY AWARE OF THE DETAILS OF EACH INVESTMENT. HIS CLAIMS AND ACCUSATIONS ARE COMPLETELY FALSE.



## 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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MULTI-FINANCIAL SECURITIES CORPORATION
<b>Allegations:</b>	CLIENT ALLEGED THE REPRESENTATIVE PLACED THE CLIENT IN UNSUITABLE MUTUAL FUNDS AND MISREPRESENTED THE REDEMPTION SCHEDULE OF A REIT. CLIENT PURCHASED THESE PRODUCTS IN MAY AND JUNE 2008.
<b>Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	REIT
<b>Alleged Damages:</b>	\$12,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	11/10/2008
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/05/2008
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

## End of Report



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