BrokerCheck Report

RONALD G SORRELL

CRD# 430882

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6

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

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.

RONALD G. SORRELL

CRD# 430882

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:

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

Registration History

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

B **LIFEUSA SECURITIES, INC.**
CRD# 40875
MINNEAPOLIS, MN
09/1997 - 12/2000

B **WMA SECURITIES, INC.**
CRD# 32625
DULUTH, GA
05/1996 - 10/1997

B **MONY SECURITIES CORP.**
CRD# 4386
NEW YORK, NY
09/1993 - 04/1996

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	02/02/1985
B	General Securities Principal Examination	Series 00	01/05/1973

General Industry/Product Exams

Exam		Category	Date
B	Registered Representative Examination	Series 1	06/21/1960

State Securities Law Exams

Exam		Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	05/03/1988

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/.

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	09/1997 - 12/2000	LIFEUSA SECURITIES, INC.	40875	MINNEAPOLIS, MN
B	05/1996 - 10/1997	WMA SECURITIES, INC.	32625	DULUTH, GA
B	09/1993 - 04/1996	MONY SECURITIES CORP.	4386	NEW YORK, NY
B	01/1992 - 06/1992	ARMSTRONG, MCKINLEY & COMPANY, INC.	23368	
B	09/1989 - 09/1990	TITAN/VALUE EQUITIES GROUP, INC.	6359	
B	07/1984 - 09/1990	TITAN/VALUE EQUITIES GROUP, INC.	6359	IRVINE, CA
B	05/1988 - 06/1989	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	03/1978 - 07/1984	AMERICAN PACIFIC SECURITIES CORPORATION	5003	
B	06/1976 - 05/1978	CHRISTIAN FINANCIAL PLANNING CO.	5820	
B	02/1970 - 09/1977	INTERNATIONAL SECURITIES CORP.	430	

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
08/1997 - Present	LIFEUSA SECURITIES, INC.	NOT PROVIDED	Y	HONOLULU, HI, United States
05/1993 - Present	MUTUAL OF NEW YORK	OTHER - FIELD UNDERWRITER	N	HONOLULU, HI, United States
08/1992 - Present	DOHMAN CAPITAL	OTHER - SENIOR ADVISOR	N	HONOLULU, HI, United States

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/17/1978
Docket/Case Number:	CA-734
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	06/24/1982
Sanctions Ordered:	Censure Monetary/Fine $6,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	EXAMINATION PRIOR TO REINSTATEMENT AS A PRINCIPAL, AND ASSESSED COSTS OF $219.27 AND ASSESSED COSTS OF THE APPEAL IN THE AMOUNT

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

OF $25. 06-16-80 TO BE FINAL 05-27-80 APPEALED TO SEC. 05/21/81-ND81-98,REL. 34-17794:05/21/81 - COMMISSION REDUCED 1 YEAR SUSPENSION FROM ASSOCIATION WITH ANY NASD MEMBER AS A PRINCIPAL TO EIGHT MONTHS. COMMISSION RETAINED REQUIREMENT THAT
RESP REQUALIFY BY EXAM AND CENSURE AND $6000 FINE. WAITING FOR NASD MEMO FROM SUSPENSION DATE. SUSPENDED 6-29-81 THRU 2-28-81

Reporting Source:	Broker
Regulatory Action Initiated By:	ED COCHRANE, PRES. E.C. COCHRANE
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/17/1978
Docket/Case Number:	CA-734
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	COCHRANE CLAIMED I FAILED TO RECEIVE PERMISSION TO SELL A LMT P.S.
Current Status:	Final
Resolution:	Decision
Resolution Date:	06/24/1982
Sanctions Ordered:	Censure Monetary/Fine $6,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	SUSPENDED AS PRINCIPAL FOR 8 MONTHS.
Broker Statement	Not Provided

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/20/1977
Docket/Case Number:	CA-644
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision
Resolution Date:	07/05/1978
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	6-20-77 #CA-644 FILED DIST. #2N: 12-02-77 CENSURED FINED $500 J & S. ASSESSED COSTS OF $601.98 ON AN EQUAL SHARE BASIS 01-15-78 TO BE FINAL 12-07-77 APPEALED TO THE BOARD OF GOVERNORS. 06-06-78 B/G DECISION RENDERED, WHEREIN FINDINGS MADE AND THE PENALITIES IMPOSED BY THE DBCC ARE AFFIRMED. CENSURED FINED $500 J & S. ASSESSED COSTS OF $601.98 ON AN EQUAL SHARE BASIS. 07-05-78 TO BE FINAL 07-0 5-78 FINAL FINES & COSTS FC# 7107 PD 7-31-78 FC# 7105 PD. 9-12-78

Reporting Source:	Broker
Regulatory Action Initiated	CUSTOMER MRS. STUBBLEFIELD

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

By:	
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	06/20/1977
Docket/Case Number:	CA-644
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	CUSTOMER CLAIMED MY ASST MGR. INTRODUCED HER TO A B.D. THAT DEALT IN OPTIONS.
Current Status:	Final
Resolution:	Decision
Resolution Date:	07/05/1978
Sanctions Ordered:	Censure Monetary/Fine $500.00
Other Sanctions Ordered:	
Sanction Details:	FINED $500.
Broker Statement	Not Provided

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.

End of Report

This page is intentionally left blank.

©2022 FINRA. All rights reserved. Report about RONALD G. SORRELL.