

BrokerCheck Report

SEAN AARON BRADY

CRD# 4365173

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

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.



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)

Thank you for using FINRA BrokerCheck.

SEAN A. BRADY

CRD# 4365173

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
- 1 State Securities Law Exam

Registration History

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

- B FIRST ALLIED SECURITIES, INC.**
CRD# 32444
ST. LOUIS, MO
05/2008 - 11/2017
- B FFP SECURITIES, INC.**
CRD# 16337
ST. LOUIS, MO
03/2001 - 05/2008

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	9
Termination	1
Financial	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 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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	11/15/2017
B General Securities Representative Examination	Series 7	03/22/2001

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	04/02/2001

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/.



Broker Qualifications

Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 05/2008 - 11/2017	FIRST ALLIED SECURITIES, INC.	32444	ST. LOUIS, MO
B 03/2001 - 05/2008	FFP SECURITIES, INC.	16337	ST. LOUIS, MO

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
05/2008 - Present	FIRST ALLIED SECURITIES, INC.	Mass Transfer	Y	ST. LOUIS, MO, United States
09/2002 - Present	INVESTMENT CONCEPTS	D/B/A	Y	ST. LOUIS, MO, 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.) SEAN BRADY; INSURANCE; START DATE: 1/23/2008
- 2.) SEAN BRADY; NON-CPA ACCOUNTING AND/OR TAX PREPARATION; START DATE: 1/23/2008
- 3.) INNOVATIVE INVESTMENT CONCEPTS; DBA INVESTMENT CONCEPTS; START DATE: 1/23/2008
- 4.) SPORTS MEMORABILIA
OWNER
RETAIL SALES/STORE
16 HOURS PER MONTH
03/15/2015



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
Regulatory Event	0	1	0
Customer Dispute	1	8	N/A
Termination	N/A	1	N/A
Financial	0	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:	FINRA
Sanction(s) Sought:	
Date Initiated:	06/08/2018
Docket/Case Number:	2017055941601
Employing firm when activity occurred which led to the regulatory action:	First Allied Securities, Inc.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Brady consented to the sanction and to the entry of findings that he failed to provide FINRA with any of the information or documents requested during the course of an ongoing examination into possible sales practice violations committed by Brady while registered with a FINRA member firm.
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:

06/08/2018

Sanctions Ordered:

Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All capacities
Duration:	Indefinite
Start Date:	06/08/2018
End Date:	





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 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimant alleges that, from approximately 2011 to 2015, claimant's registered representative made unsuitable recommendations on the basis of false account documents. The complaint alleges fraud, negligence, breach of fiduciary duty, unsuitability, and failure to supervise.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$135,000.00
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 #:	18-02388
Filing date of arbitration/CFTC reparation or civil litigation:	06/27/2018

Customer Complaint Information

Date Complaint Received:	06/29/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/27/2018
Settlement Amount:	
Individual Contribution Amount:	



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	18-02388
Date Notice/Process Served:	06/29/2018
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/18/2019
Monetary Compensation Amount:	\$55,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Questions 7-8 entered erroneously. Please remove.

Disclosure 2 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimant alleges that, in July 2013, claimant's registered represented made an unsuitable recommendation on the basis of false account documents. The complaint alleges fraud, negligence, breach of fiduciary duty, unsuitability, and failure to supervise.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$203,000.00
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 #:	18-02319



Filing date of arbitration/CFTC reparation or civil litigation: 06/21/2018

Customer Complaint Information

Date Complaint Received: 07/02/2018

Complaint Pending? No

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

Status Date: 07/02/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 18-02319

Date Notice/Process Served: 07/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/18/2019

Monetary Compensation Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Firm Statement Questions 7 - 8 entered erroneously. Please remove.

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: First Allied Securities, Inc.

Allegations: Claimant alleges that RR misrepresented his net worth, completed paperwork on



his behalf without permission, and made misrepresentations and omissions with respect to his investments from 2012.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$1,296,000.00

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 #: 18-02313

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/20/2018

Customer Complaint Information

Date Complaint Received: 06/20/2018

Complaint Pending? No

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

Status Date: 06/20/2018

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

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

Docket/Case #: 18-02313

Date Notice/Process Served: 07/02/2018

Arbitration Pending? No

Disposition: Settled



Disposition Date:	09/13/2019
Monetary Compensation Amount:	\$321,000.00
Individual Contribution Amount:	\$0.00
Firm Statement	Questions 7 - 8 entered erroneously. Please remove.

Disclosure 4 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimant alleges that RR misrepresented her net worth, made an unsuitable recommendation, and made misrepresentations and omissions with respect to her investment from 2017.
Product Type:	Annuity-Variable
Alleged Damages:	\$265,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-03565
Filing date of arbitration/CFTC reparation or civil litigation:	10/23/2018

Customer Complaint Information

Date Complaint Received:	03/17/2018
Complaint Pending?	No
Status:	Settled
Status Date:	07/23/2019



Settlement Amount: \$37,500.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 18-03565

Date Notice/Process Served: 03/17/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/23/2019

Monetary Compensation Amount: \$37,500.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: First Allied Securities, Inc.

Allegations: Claimant alleges that RR misrepresented his net worth and completed paperwork on his behalf without permission in 2014.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$129,730.49

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 #: 18-02314
Filing date of arbitration/CFTC reparation or civil litigation: 06/20/2018

Customer Complaint Information

Date Complaint Received: 06/28/2018
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 06/28/2018
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 18-02314
Date Notice/Process Served: 06/28/2018
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/25/2019
Monetary Compensation Amount: \$62,500.00
Individual Contribution Amount: \$0.00

Disclosure 6 of 8

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: First Allied Securities, Inc.
Allegations: Claimants allege that RR misrepresented their net worth, completed paperwork on



their behalf without permission, and made misrepresentations and omissions with respect to their investments from 2012.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$742,000.00

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 #: 18-02311

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 06/20/2018

Customer Complaint Information

Date Complaint Received: 06/29/2018

Complaint Pending? No

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

Status Date: 06/20/2018

Settlement Amount:

**Individual Contribution
Amount:**

Arbitration Information

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

Docket/Case #: 18-02311

Date Notice/Process Served: 06/29/2018

Arbitration Pending? No

Disposition: Settled



Disposition Date:	08/20/2019
Monetary Compensation Amount:	\$241,000.00
Individual Contribution Amount:	\$0.00

Disclosure 7 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimant alleges that RR misrepresented her net worth, completed paperwork on her behalf without permission, made an unsuitable recommendation, and made misrepresentations and omissions with respect to her investments from 2012.
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	\$1,360,000.00
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 #:	18-02312
Filing date of arbitration/CFTC reparation or civil litigation:	06/20/2018

Customer Complaint Information

Date Complaint Received:	07/02/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/20/2018

**Settlement Amount:**

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 18-02312

Date Notice/Process Served: 07/02/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/13/2019

Monetary Compensation Amount: \$274,000.00

Individual Contribution Amount: \$0.00

Firm Statement Question 7-8 entered erroneously. Please remove.

Disclosure 8 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FASI

Allegations: Claimant alleges that, from approximately 2012 to 2017, claimant's registered representative made unsuitable recommendations on the basis of false account documents. The complaint alleges fraud, negligence, breach of fiduciary duty, unsuitability, and failure to supervise.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests

Alleged Damages: \$5,700,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damages is \$5.7 million.



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 #: 18-02316

Filing date of arbitration/CFTC reparation or civil litigation: 06/20/2018

Customer Complaint Information

Date Complaint Received: 07/03/2018

Complaint Pending? No

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

Status Date: 06/20/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 18-02316

Date Notice/Process Served: 06/20/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 09/18/2019

Monetary Compensation Amount: \$1,300,000.00

Individual Contribution Amount: \$0.00

Firm Statement Questions 7-11 filed erroneously. Please remove.





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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	First Allied Securities, Inc.
Allegations:	Claimants allege that, from approximately 2011 through 2015, claimants' registered representative made unsuitable investments on the basis of incorrect account information. Claimants allege misrepresentation, unsuitability, failure to supervise, negligence, and breach of fiduciary duty.
Product Type:	Annuity-Variable Direct Investment-DPP & LP Interests Real Estate Security
Alleged Damages:	\$3,010,000.00
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 #:	18-02310
Filing date of arbitration/CFTC reparation or civil litigation:	06/20/2018

Customer Complaint Information

Date Complaint Received:	06/29/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	06/20/2018
Settlement Amount:	

**Individual Contribution****Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** 18-02310**Date Notice/Process Served:** 06/29/2018**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 09/18/2019**Monetary Compensation Amount:** \$769,000.00**Individual Contribution Amount:** \$0.00**Civil Litigation Information****Type of Court:** FINRA**Name of Court:** FINRA**Location of Court:** Missouri**Docket/Case #:** 18-02310**Date Notice/Process Served:****Litigation Pending?** Yes



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:	Firm
Employer Name:	FIRST ALLIED SECURITIES, INC
Termination Type:	Discharged
Termination Date:	10/20/2017
Allegations:	RR violated the firm's policies pertaining to: 1.) client alleged falsification of signature on documents; 2.) text messaging; and 3.) consolidated account reports
Product Type:	Direct Investment-DPP & LP Interests



Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	05/27/2013
Organization Investment-Related?	
Type of Court:	N/A
Name of Court:	N/A
Location of Court:	N/A
Docket/Case #:	089753360
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	05/27/2013
If a compromise with creditor, provide:	
Name of Creditor:	CITIBANK
Original Amount Owed:	\$72,165.05
Terms Reached with Creditor:	REGISTERED REPRESENTATIVE PAID \$10,103.11 ON THE FULL BALANCE OF \$72,165.05

End of Report



This page is intentionally left blank.