

BrokerCheck Report

NORMAN VICTOR MEIER

CRD# 4571017

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



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.



NORMAN V. MEIER
CRD# 4571017

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
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

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

- B** ATHENA CAPITAL PARTNERS, INC.
CRD# 116226
CARLSBAD, CA
03/2011 - 10/2011

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
Civil Event	1

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.



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 0 principal/supervisory exams, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	03/21/2011

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/25/2011

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<div>B</div> 03/2011 - 10/2011	ATHENA CAPITAL PARTNERS, INC.	116226	CARLSBAD, CA

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
10/2009 - Present	XBF	CORPORATE CONS.	Y	REGENSDORF, Switzerland

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
Civil Event	1	0



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.

Civil - Final

This type of disclosure event involves an injunction issued by a court in connection with investment-related activity or a finding by a court of a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Monetary Penalty other than Fines Other: Officer/director bar
Date Court Action Filed:	10/11/2024
Product Type:	No Product
Type of Court:	Federal Court
Name of Court:	United States District Court for the District of Massachusetts
Location of Court:	Boston, MA
Docket/Case #:	24-CV-12602
Employing firm when activity occurred which led to the action:	Treuhand, Inc.; Norman Meier International, Inc., a/k/a NMI, Inc.;
Allegations:	Plaintiff, United States Securities and Exchange Commission alleges as follows against Defendant Norman V. Meier (Meier) and Relief Defendants Treuhand, Inc., Norman Meier International, Inc. a/k/a NMI, Inc. (NMI), Windeco Corporation, Texxon Oil Corp., and International Financial Services, Inc. a/k/a IFS, Inc. a/k/a IFS, Inc. d/b/a IRM, Inc. (IFS) that Meier orchestrated a years-long international securities fraud. From at least June 2015 to December 2023, Meier defrauded over 180 investors, mostly European, out of at least \$7.9 million. Meier engaged teams of cold callers in Eastern Europe who used fake names to sell fake investments. Meier's scheme involved soliciting investments in companies that he created for purposes of defrauding investors. Meier's scheme also involved soliciting investments in well-known public companies to which Meier and his teams of cold callers had no real connection. Meier's victims wired funds to bank accounts in the United States that Meier controlled. Rather than investing funds as promised,



Meier misappropriated the money for his own use and to pay his overseas sales network to lure additional investors. Meier and his sales teams deceived investors into believing that the investors' money was being sent to a financial institution in the United States for investment in the United States. Many of Meier's victims were German speaking. Meier named one of his companies "Treuhand," a German word akin to "trust" or "escrow," such that investors believed they were sending funds to a trust or escrow account. In reality, the Treuhand bank account was one of several that Meier used to steal investor money and pay his sales network. Meier also defrauded investors in the United States. In 2015, Meier solicited investments from an individual in California while Meier was living in California. Meier convinced the California investor to invest in three entities, including relief defendant Windeco. The California investor wired a total of \$12,500 to an account that Meier controlled. Meier failed to invest the money as he had promised, and instead misappropriated the investor's money for his own purposes. Meier solicited investments from two other investors in California, also in or around 2015.

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 03/13/2025

Sanctions Ordered or Relief Granted: Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Injunction
Monetary Penalty other than Fines

Capacities 1 of 1

Capacities Affected: n/a

Duration: Permanent

Start Date: 03/13/2025

End Date:

Monetary Sanction 1 of 3

Monetary Sanction: Monetary Fine

Total Amount: \$2,411,164.00

Portion against individual: 2411164

Date Paid:

Portion Waived: No

Amount Waived:

Monetary Sanction 2 of 3



Monetary Sanction: Prejudgment Interest on Disgorgement

Total Amount: \$225,187.00

Portion against individual: 225187

Date Paid:

Portion Waived: No

Amount Waived:

Monetary Sanction 3 of 3

Monetary Sanction: Disgorgement

Total Amount: \$2,411,164.00

Portion against individual: 2411164

Date Paid:

Portion Waived: No

Amount Waived:

Regulator Statement

On March 13, 2025, a default final judgment was entered against defendant Meier wherein he is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Exchange Act and Rule 10b-5 promulgated thereunder, is permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933 (the "Securities Act"), is permanently restrained and enjoined from directly or indirectly, including but not limited to, through any entity owned or controlled by him, participating in the issuance, purchase, offer, or sale of any security, provided, however, that such injunction shall not prevent him from purchasing or selling securities for his own personal account, and is prohibited from acting as an officer or director of any issuer that has a class of securities registered pursuant to Section 12 of the Exchange Act or that is required to file reports pursuant to Section 15(d) of the Exchange Act. It was further ordered that Defendant is liable for disgorgement of \$2,411,164, representing net profits gained as a result of the conduct alleged in the Complaint, together with prejudgment interest thereon in the amount of \$225,187, and a civil penalty in the amount of \$2,411,164.

End of Report



This page is intentionally left blank.