

BrokerCheck Report

MARK ALLEN BARRAND

CRD# 4586528

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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:

- 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.

MARK A. BARRAND

CRD# 4586528

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
- 3 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
Denver, CO
07/2016 - 08/2021
- B CETERA ADVISORS LLC**
CRD# 10299
HIGHLANDS RANCH, CO
11/2004 - 08/2016
- B LEGACY FINANCIAL SERVICES, INC.**
CRD# 38697
PETALUMA, CA
09/2002 - 11/2004

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	9

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/19/2010
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/18/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	07/16/2003
B Uniform Securities Agent State Law Examination	Series 63	11/13/2002

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 07/2016 - 08/2021	AMERIPRISE FINANCIAL SERVICES, LLC	6363	Denver, CO
B 11/2004 - 08/2016	CETERA ADVISORS LLC	10299	HIGHLANDS RANCH, CO
B 09/2002 - 11/2004	LEGACY FINANCIAL SERVICES, INC.	38697	PETALUMA, 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
01/2013 - 07/2016	CETERA ADVISORS LLC	REGISTERED REP/IAR	Y	DENVER, CO, United States
11/2004 - 12/2012	MULTI-FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	DENVER, CO, 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.

Real Estate Ownership; Multi-Family; Mesa, AZ 85204; Investment Related; Feb 2016/ Multi-Family; Mesa, AZ 85201; Investment Related; Jan 2019/ Single Family; Cocoa, FL 32922; Investment Related; May 2014/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; July 2019/ Single Family; Mobile, AL 36605; Investment Related; June 2020/ Multi-Family; Mobile, AL 36605; Investment Related; June 2020/ Multi-Family; Irvington, AL 36544; Investment Related; Apr 2020/ Single Family; Chickasaw, AL 36611; Investment Related; Apr 2020/ Single Family; Mobile, AL 36606; Investment Related; June 2020/ Single Family; Hurricane, UT 84737; Investment Related; Sep 2020.

Business Ownership; Barrand Washington LLC; Owner; Rental Properties; Castle Rock, CO 80109; Not Investment Related; June 2009; 1 to 9 hours per month; 1-9 during trading hours/ Barrand Colorado Rentals; Owner; Real Estate; Castle Rock, CO 80109; Investment Related; Jan

Registration and Employment History



Other Business Activities, continued

2019; 10 to 19 hours per month; 0 during trading hours/ Barrand Florida Rentals; Owner; Manage rental properties; Castle Rock, CO 80109; Investment Related; Jan 2019; 1 to 9 hours per month; 0 during trading hours/ Barrand Alabama Rentals; Owner; Manage rental properties; Castle Rock, CO 80109; Investment Related; Jan 2019; 20 to 39 hours per month; 0 during trading hours.

Independent Insurance Brokering; Accordia Life and Annuity Company; Jun 2011; Whole Life; Sold insurance products not available through Ameriprise; sold on 6/6/2012.

Fiduciary Activities; Named or act in a fiduciary capacity; such as attorney-in-fact, trustee, conservator, guardian, executor or personal representative.



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
Customer Dispute	2	7	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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Claimant alleges their registered representative misrepresented and failed to disclose information related to an unsuitable investment in their IRA account.
Product Type:	Other: Business Development Company
Alleged Damages:	\$25,000.00
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 #:	21-00333
Filing date of arbitration/CFTC reparation or civil litigation:	02/08/2021

Customer Complaint Information

Date Complaint Received: 02/12/2021



Complaint Pending? No
Status: Settled
Status Date: 08/03/2021
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$20,000.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: Cetera Advisors LLC and Ameriprise Financial Services, LLC

Allegations: Claimant alleges her advisor recommended she invest in Business Development Corporation of America ("BDCA") while at Cetera and the BDCA was illiquid and unsuitable for her. Furthermore, she alleges she didn't receive adequate disclosures about the product. Claimant also alleges that she requested a redemption in January 2018 and that it was not executed in time causing a further decline in the value of her account.

Product Type: Other: Business Development Corporation

Alleged Damages: \$25,000.00

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 CO

Docket/Case #: 21-00333

Filing date of arbitration/CFTC reparation or civil litigation: 02/09/2021

Customer Complaint Information

Date Complaint Received: 02/09/2021

Complaint Pending? No

Status: Settled



Status Date:	06/18/2021
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	The parties settled this matter to avoid the costs associated with FINRA litigation.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Breach of fiduciary duty and negligence.
Product Type:	Direct Investment-DPP & LP Interests Mutual Fund
Alleged Damages:	\$65,000.00
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 Arbitration
Docket/Case #:	20-00124
Filing date of arbitration/CFTC reparation or civil litigation:	01/13/2020

Customer Complaint Information

Date Complaint Received:	01/31/2020
Complaint Pending?	No
Status:	Settled
Status Date:	02/05/2021
Settlement Amount:	\$14,000.00



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Ameriprise Financial Services, LLC

Allegations: Claimant alleges that Respondents recommended unsuitable investments, to include Oppenheimer Steelpath MLP Alpha Plus Fund and Northstar Healthcare (a non-traded REIT investment) and seeks \$65,000

Product Type: Real Estate Security

Alleged Damages: \$65,000.00

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 #: 20-00124

Filing date of arbitration/CFTC reparation or civil litigation: 01/13/2020

Customer Complaint Information

Date Complaint Received: 01/31/2020

Complaint Pending? No

Status: Settled

Status Date: 02/05/2021

Settlement Amount: \$14,000.00

Individual Contribution Amount: \$0.00



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Failed to perform due diligence, unsuitable investment, fraud, Breach of Fiduciary Duty, and Negligence.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	The claimant's attorney alleges damages between \$100,000 and \$499,999.
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:	02/13/2019
Complaint Pending?	No
Status:	Settled
Status Date:	06/18/2019
Settlement Amount:	\$22,500.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Failed to perform due diligence, unsuitable investment, fraud, Breach of Fiduciary Duty, and Negligence.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$100,000.00



Alleged Damages Amount Explanation (if amount not exact): The claimant's attorney alleges damages between \$100,000 and \$499,999.

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: 02/13/2019

Complaint Pending? No

Status: Settled

Status Date: 06/18/2019

Settlement Amount: \$22,500.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: LEGACY FINANCIAL SERVICES

Allegations: COMPLAINANT WERE CUSTOMERS OF FORMER REGISTERED REPRESENTATIVE'S BROKER DEALER (LEGACY). COMPLAINANTS ASSERT CLAIMS FOR MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, PROFESSIONAL NEGLIGENCE, AND VIOLATION OF SECURITY REGULATIONS.

Product Type: Annuity-Variable

Alleged Damages: \$91,245.51

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

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



Status Date: 08/03/2010

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Arbitration Information

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

Docket/Case #: 09-01904

Date Notice/Process Served: 06/02/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/03/2010

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement THIS SETTLEMENT WAS A BUSINESS DECISION. NO EVIDENCE OR PROOF SHOWED THAT THE REPRESENTATIVE DID ANYTHING WRONG, WAS AT FAULT OR VIOLATED ANY PROFESSIONAL ETHICS.



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Unsuitable investments
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$5,118.75
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:	08/02/2018
Complaint Pending?	No
Status:	Denied
Status Date:	09/26/2018
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Cetera Advisors, LLC
Allegations:	The client alleged the advisor made unsuitable investment recommendations in 2016.



Product Type: Mutual Fund
Real Estate Security
Other: Closed End Fund

Alleged Damages: \$5,118.75

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: 08/03/2018

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/22/2018

Settlement Amount: \$0.00

**Individual Contribution
Amount:** \$0.00

Disclosure 2 of 3

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** Ameriprise Financial Services, Inc.

Allegations: Clients alleged the provisions of their variable annuities and unit investment trusts were misrepresented.

Product Type: Annuity-Variable
Unit Investment Trust

Alleged Damages: \$138,500.00

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: 01/11/2018
Complaint Pending? No
Status: Denied
Status Date: 01/30/2018
Settlement Amount:
Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MULTI-FINANCIAL
Allegations: MISREPRESENTATION & FAILURE TO FOLLOW INSTRUCTIONS TO PLACE TRADES
Product Type: Mutual Fund(s)
Alleged Damages: \$20,277.00

Customer Complaint Information

Date Complaint Received: 10/06/2008
Complaint Pending? No
Status: Closed/No Action
Status Date: 03/31/2009
Settlement Amount:
Individual Contribution Amount:

Broker Statement

DURING THE LAST YEAR [THIRD PARTY] AND I HAD NUMEROUS CONVERSATIONS WITH [CUSTOMER] REGARDING HER ACCOUNTS. SHE WAS LOOKING AT HER ACCOUNTS DAILY ONLINE AND WAS NERVOUS ABOUT THE RETURNS. DURING JUNE TO SEPT 2008 WE OFFERED SEVERAL TIMES TO CHANGE HER ALLOCATIONS TO MORE FIXED INCOME BUT SHE REFUSED; CONCERNED THAT SHE WOULD MISS A RALLY. WE FOLLOWED HER REQUEST AND KEEP HER INVESTED IN THE MARKET.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Claimants allege their assets were over concentrated in unsuitable and illiquid alternative investments.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$100,000.00
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 #:	21-00329
Filing date of arbitration/CFTC reparation or civil litigation:	02/05/2021

Customer Complaint Information

Date Complaint Received:	02/12/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	Ameriprise Financial Services, LLC
Allegations:	Claimants allege that they were recommended unsuitable, high-commission, illiquid alternative investments including FSKR, FS Global Credit, BDCA, and Northstar.
Product Type:	Real Estate Security Other: BDCs (Business Development Corp)
Alleged Damages:	\$125,000.00
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 - CO
Docket/Case #:	21-00329
Filing date of arbitration/CFTC reparation or civil litigation:	02/08/2021

Customer Complaint Information

Date Complaint Received:	02/08/2021
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Advisors LLC
Allegations:	Customer alleges unsuitable investment recommendations.
Product Type:	Real Estate Security



Other: Business Development Companies

Alleged Damages: \$150,000.00**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 #:** 20-02959**Filing date of
arbitration/CFTC reparation
or civil litigation:** 09/04/2020**Customer Complaint Information****Date Complaint Received:** 09/09/2020**Complaint Pending?** Yes**Settlement Amount:****Individual Contribution
Amount:****Reporting Source:** Broker**Employing firm when
activities occurred which led
to the complaint:** Cetera Advisors LLC**Allegations:** Customer alleges unsuitable investment recommendations.**Product Type:** Real Estate Security
Other: Business Development Companies**Alleged Damages:** \$150,000.00**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** FINRA



or court name and location:

Docket/Case #: 20-02959

Filing date of 09/04/2020

**arbitration/CFTC reparation
or civil litigation:**

Customer Complaint Information

Date Complaint Received: 09/09/2020

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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