

## BrokerCheck Report

**JEFFREY JOHN FURNISS**

CRD# 4888498

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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](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).



**JEFFREY J. FURNISS**  
CRD# 4888498

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

- IA LPL FINANCIAL LLC**  
1000 BESTGATE RD STE 300  
ANNAPOLIS, MD 21401  
CRD# 6413  
Registered with this firm since: 10/14/2024
- B LPL FINANCIAL LLC**  
1000 BESTGATE RD STE 300  
ANNAPOLIS, MD 21401  
CRD# 6413  
Registered with this firm since: 10/14/2024

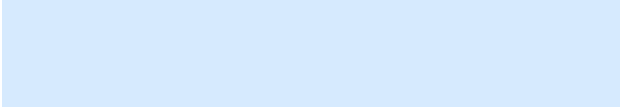
Report Summary for this Broker

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
- 21 U.S. states and territories



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):

- IA OSAIC FA, INC.**  
CRD# 3978  
FORT WAYNE, IN  
12/2005 - 10/2024
- B OSAIC FA, INC.**  
CRD# 3978  
ANNAPOLIS, MD  
02/2005 - 10/2024
- B THE LINCOLN NATIONAL LIFE INSURANCE COMPANY**  
CRD# 2580  
FORT WAYNE, IN  
02/2005 - 04/2006

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	7



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

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY  
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/14/2024

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	10/14/2024
B	Colorado	Agent	Approved	02/20/2025
B	Connecticut	Agent	Approved	10/14/2024
B	Delaware	Agent	Approved	06/03/2025
B	District of Columbia	Agent	Approved	10/14/2024
B	Florida	Agent	Approved	10/14/2024
B	Georgia	Agent	Approved	12/12/2024
B	Kentucky	Agent	Approved	10/14/2024
B	Maryland	Agent	Approved	11/20/2024
IA	Maryland	Investment Adviser Representative	Approved	11/20/2024
B	Michigan	Agent	Approved	10/14/2024
B	Minnesota	Agent	Approved	11/21/2024

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Nevada	Agent	Approved	11/21/2024
B	New Mexico	Agent	Approved	11/20/2024
B	New York	Agent	Approved	12/24/2024
B	North Carolina	Agent	Approved	11/26/2024
B	Ohio	Agent	Approved	10/14/2024
B	Pennsylvania	Agent	Approved	10/14/2024
B	South Carolina	Agent	Approved	11/21/2024
B	Texas	Agent	Approved	11/26/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	10/23/2024
B	Virginia	Agent	Approved	12/19/2024
B	Wisconsin	Agent	Approved	10/14/2024

### Branch Office Locations

#### LPL FINANCIAL LLC

1000 Bestgate Rd. Ste 300  
Annapolis, MD 21401

#### LPL FINANCIAL LLC

1000 BESTGATE RD STE 300  
ANNAPOLIS, MD 21401



## 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, 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/22/2005

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	12/12/2005

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
<b>IA</b> 12/2005 - 10/2024	OSAIC FA, INC.	3978	ANNAPOLIS, MD
<b>B</b> 02/2005 - 10/2024	OSAIC FA, INC.	3978	ANNAPOLIS, MD
<b>B</b> 02/2005 - 04/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN

### 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
10/2024 - Present	LPL FINANCIAL	REGISTERED REPRESENTATIVE	Y	ANNAPOLIS, MD, United States
11/2004 - 10/2024	LINCOLN FINANCIAL ADVISORS CORP	REGISTERED REP	Y	ANNAPOLIS, MD, 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- 10/2024 / Charter Financial Group / DBA for LPL Business (entity for LPL business) / Investment Related / 176 hrs mth / 8 hrs during trading / At reported business location(s)
- 2- 10/2024 / 1000 Bestgate Road, LLC / Outside/W-2 Employment / Not Investment Related / 10 hrs mth / 0.50 hrs during trading / Annapolis, MD / Start date: 12/31/2019
- 3- 10/2024 / WFC LLC / Business Entity For Tax/Investment Purposes Only / Not Investment Related / 200 hrs mth / 8 hrs during trading / Annapolis, MD / Start date: 12/16/14
- 4- 10/2024 / Insurance Sales / Non-Variable Insurance / Investment Related / 10 hrs mth / 1 hr during trading / New York, NY / Start date: 10/14/2024

## 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.
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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	4	3	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 3

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS CORPORATION
<b>Allegations:</b>	Claimant alleges the representative recommended an unsuitable Oil & Gas investment.
<b>Product Type:</b>	Oil & Gas
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Damages are believed to be greater than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	22-01535
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	07/08/2022



## Customer Complaint Information

**Date Complaint Received:** 07/08/2022

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/06/2023

**Settlement Amount:** \$106,526.26

**Individual Contribution Amount:** \$0.00

**Broker Statement** We vehemently deny any merits to the claim that the investment was "unsuitable." We have known the client since 1994 and our investment relationship grew as they became planning clients in 2005 when preparing for transitioning to financial independence and ultimately the sale of their business. The investment in question was well below the maximum guideline percentage as part of their net worth. The client's owned a business and they were suitable in every respect for the allocation amount. The risks were explained and documented, the oil and gas program was approved by Lincoln our broker dealer, and the Suitability team signed off on the client's investment which was less than 4% of their net worth.

## Disclosure 2 of 3

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimant alleges the representative recommended an unsuitable Oil & Gas investment.

**Product Type:** Oil & Gas

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Damages are believed to be greater than \$5,000.

**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 #:** 22-01152

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 05/25/2022

### Customer Complaint Information

**Date Complaint Received:** 05/26/2022

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 09/12/2023

**Settlement Amount:** \$34,500.00

**Individual Contribution  
Amount:** \$0.00

### Broker Statement

Jeffrey Furniss vehemently denies any merits to the claim that the investment was "unsuitable" stemming from an oil and gas investment that lost money. Lincoln Financial Advisors was the party who the claim was against. He did not have to contribute to the settlement and admitted to no liability. Lincoln Financial Advisors made a business determination to settle the claim. This client began her financial planning in the Spring of 2014 and our relationship concluded in 2019 when she moved away and remarried. The oil and gas investment which is the subject of complaint was part of a holistic cash flow plan looking at her expenses and lifetime needs. This investment was under 10% of her liquid net worth and did not raise her risk above what was appropriate. She began receiving 7% cash distributions at purchase. The risks were explained and documented, and Atlas was approved by Lincoln our broker dealer and was suitable as allocated for this client. WE AFFIRM OUR POSITION THE INVESTMENTS PURCHASED WERE SUITABLE BASED ON THE CLIENT'S INVESTMENT OBJECTIVES AND RISK TOLERANCE AND THAT THE ALLEGATIONS IN THE COMPLAINT LACKED MERIT.

### Disclosure 3 of 3

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** Lincoln Financial Advisors Corporation

**Allegations:** Customer alleges unsuitable sales and failure to disclose important facts of a third



party managed account, variable annuity, REIT, and Oil & Gas program. The alleged activity occurred between March 2013 and November 2014.

**Product Type:**

Annuity-Variable  
Investment Contract  
Oil & Gas  
Other: REIT

**Alleged Damages:**

\$0.00

**Alleged Damages Amount  
Explanation (if amount not  
exact):**

\$300,000 - \$500,000 plus well managed damages, plus fees and commissions charged.

**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 #:**

17-01469

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

06/06/2017

**Customer Complaint Information**

**Date Complaint Received:**

06/08/2017

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

10/31/2018

**Settlement Amount:**

\$150,000.00

**Individual Contribution  
Amount:**

\$0.00

**Broker Statement**

Jeffrey Furniss denies any merits to these claims. During the time in question, we had 17 face to face meetings, with the client, father, father-in-law, client CPA and client estate planning attorney. I followed company protocols including having the client review and sign all prospectus, disclosures which in-turn were reviewed/approved by Lincoln supervisory teams. The investments in question were part of a holistic financial plan that fell within the client's documented risk



tolerance as a whole. Lincoln Financial Advisors made the determination to settle the claim, based in part on the cost and time to further defend the claims. I did not contribute to the settlement and admitted no liability.

WE AFFIRM OUR POSITION THE INVESTMENTS PURCHASED WERE  
SUITABLE BASED ON THE CLIENT'S INVESTMENT OBJECTIVES AND RISK  
TOLERANCE AND THAT THE ALLEGATIONS IN THE COMPLAINT LACKED  
MERIT.



## 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 4

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS CORPORATION
<b>Allegations:</b>	Claimants allege the RR recommended an unsuitable Oil & Gas investment
<b>Product Type:</b>	Oil & Gas
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	24-02312
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/20/2024

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/30/2024
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Firm Statement</b>	This filing consists of 2 different claimants, each for the amount of \$50,000.

<b>Reporting Source:</b>	Broker
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**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimants allege the RR recommended an unsuitable Oil & Gas investment

**Product Type:** Oil & Gas

**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 #:** 24-02312

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/20/2024

### Customer Complaint Information

**Date Complaint Received:** 12/30/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** This filing consists of 2 different claimants, each for the amount of \$50,000.

### Disclosure 2 of 4

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimant alleges their representative recommended an unsuitable oil and gas program

**Product Type:** Oil & Gas



**Alleged Damages:** \$100,000.00

**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 #:** 24-01855

**Filing date of arbitration/CFTC reparation or civil litigation:** 08/28/2024

### Customer Complaint Information

**Date Complaint Received:** 08/30/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** We vehemently deny any merits to the claim that the investment was "unsuitable". The claim was a class action suit against Lincoln financial not me as the advisor.

### Disclosure 3 of 4

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimant alleges their RR recommended an unsuitable Oil and Gas investment.

**Product Type:** Oil & Gas

**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 #:** 24-00348

**Filing date of  
arbitration/CFTC reparation  
or civil litigation:** 02/14/2024

### Customer Complaint Information

**Date Complaint Received:** 02/16/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** We vehemently deny any merits to the claim that the investment was "unsuitable."  
The claim was a class action suit against Lincoln Financial not me as the advisor.

### Disclosure 4 of 4

**Reporting Source:** Firm

**Employing firm when  
activities occurred which led  
to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimant alleges their RR recommended an unsuitable Oil and Gas investment.

**Product Type:** Oil & Gas

**Alleged Damages:** \$50,000.00

**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 #:** 24-02316



**Filing date of arbitration/CFTC reparation or civil litigation:** 10/25/2024

### Customer Complaint Information

**Date Complaint Received:** 10/28/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Firm Statement** This claimant moved their claim to this new arbitration due to geographic reasons. The original arbitration number was 24-00348, filed on 2/14/2024.

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** Claimant alleges their RR recommended unsuitable Oil and Gas investments.

**Product Type:** Oil & Gas

**Alleged Damages:** \$50,000.00

**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 #:** 24-02316

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/25/2024

### Customer Complaint Information

**Date Complaint Received:** 10/28/2024

**Complaint Pending?** Yes



**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

This claimant moved their claim to this new arbitration due to geographic reasons. The original arbitration number was 24-00348, filed 2/14/2024. This was not an individual customer complaint against me. I was not a named party in any litigation. This is a class action type lawsuit for alleged lack of due diligence and suitability by my former broker dealer. I am only being associated because I was the advisor. The client is still a client.

## End of Report



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