

BrokerCheck Report

Michael Jerome Lickiss

CRD# 5135936

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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



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.

Michael J. Lickiss

CRD# 5135936

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:

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

Registration History

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

- B PURSHE KAPLAN STERLING INVESTMENTS**
CRD# 35747
Danville, CA
07/2024 - 01/2025
- B ARKADIOS CAPITAL**
CRD# 282710
Danville, CA
12/2021 - 07/2024
- B INVESTMENT ARCHITECTS, INC.**
CRD# 17774
ALAMO, CA
05/2006 - 01/2022

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	8
Termination	1
Financial	1

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. 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	08/31/2006

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/24/2006

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/17/2006

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 07/2024 - 01/2025	PURSHE KAPLAN STERLING INVESTMENTS	35747	Danville, CA
B 12/2021 - 07/2024	ARKADIOS CAPITAL	282710	Danville, CA
B 05/2006 - 01/2022	INVESTMENT ARCHITECTS, INC.	17774	ALAMO, 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
06/2024 - Present	Pacific Wealth Advisory Services LLC	Investment Adviser Representative	Y	DANVILLE, CA, United States
07/2024 - 01/2025	PKS Investments	Registered Rep	Y	Albany, NY, United States
12/2021 - 06/2024	Arkadios Capital	Registered Representative	Y	Atlanta, GA, United States
12/2021 - 06/2024	Arkadios Wealth Advisors	Investment Adviser Representative	Y	Atlanta, GA, United States
05/2016 - 12/2021	RESOURCE INVESTMENT ARCHITECTS, INC.	Investment Adviser Representative	Y	Alamo, CA, United States
04/2006 - 12/2021	INVESTMENT ARCHITECTS, INC.	REGISTERED REPRESENTATIVE	Y	ALAMO, CA, 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) Pacific Wealth Advisory Services LLC. Investment Related. At Registered Location. RIA. Owner/ Financial Advisor. Start Date: 05/31/2024. 150 hrs/ month; all during trading hours. Business development, investment management, client relationship,

Registration and Employment History



Other Business Activities, continued

2) Fixed Insurance. Investment Related. At Registered Location. Fixed/ Traditional Insurance. Agent. Start Date: 05/31/2024. 2 hrs/ month; all during trading hours. Provide insurance advice to based on the needs of client(s).

3) The Lk Project. Not Investment Related. 1176 Greenbook Dr, Danville, CA 94526. Performing Music. Partner. Start Date: 01/01/2017. 4 hrs/ month; none during trading hours. performing and recording music

4) Tutoring high school students in science and/or math; Non Investment Related: 400 Front Street Danville CA 94526; 2024-11-11; 4 Hours per month devoted to business outside trading hours; 1 Percent of total yearly compensation expected to be derived from the business.

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.
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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	7	1	N/A
Termination	N/A	1	N/A
Financial	1	0	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 1

Reporting Source: Firm

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

Allegations: I was one of a number of named parties in a suit pertaining to alleged actions of my predecessor in interest to my previous firm, Foundation Financial Group, occurring roughly between 2015 and 2022. I did not have knowledge of nor involvement with the alleged actions prior to receiving the concerned lawsuit and was dismissed as a party upon a global settlement being reached after mediation, on or about March 20, 2024

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The complaint's prayer for relief was for compensatory damages according to proof at trial.

Civil Litigation Information

Type of Court: State Court

Name of Court: Justice Wakefield Taylor Courthouse

Location of Court: State of California, County of Contra Costa

Docket/Case #: C24-00163

Date Notice/Process Served: 02/05/2024



Litigation Pending? No

Disposition: Settled

Disposition Date: 04/25/2024

Monetary Compensation Amount: \$1,500,000.00

Individual Contribution Amount: \$700,000.00

Firm Statement Mike Lickiss was one of a few named parties in a suit and was subsequently dismissed without prejudice upon settlement. Mike Lickiss had no knowledge or involvement in any of the alleged actions that led to the suit and is acting as a guarantor if the primary party cannot meet the obligations.

Reporting Source: Broker

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

Allegations: I was one of a number of named parties in a suit pertaining to alleged actions of my predecessor in interest to my previous firm, Foundation Financial Group, occurring roughly between 2015 and 2022. I did not have knowledge of nor involvement with the alleged actions prior to receiving the concerned lawsuit and was dismissed as a party upon a global settlement being reached after mediation, on or about March 20, 2024.

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The complaint's prayer for relief was for compensatory damages according to proof at trial.

Civil Litigation Information

Type of Court: State Court

Name of Court: Justice Wakefield Taylor Courthouse

Location of Court: State of California, County of Contra Costa

Docket/Case #: C24-00163

Date Notice/Process Served: 02/05/2024



Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/25/2024
Monetary Compensation Amount:	\$1,500,000.00
Individual Contribution Amount:	\$700,000.00
Broker Statement	Mike Lickiss was one of a few named parties in a suit and was subsequently dismissed without prejudice upon settlement. Mike Lickiss had no knowledge or involvement in any of the alleged actions that led to the suit and is acting as a guarantor if the primary party cannot meet the obligations.



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 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ARKADIOS CAPITAL
Allegations:	Debt instruments/Fictitious notes
Product Type:	No Product
Alleged Damages:	\$350,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-00977
Date Notice/Process Served:	05/15/2025
Arbitration Pending?	Yes

Disclosure 2 of 7

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ARKADIOS CAPITAL
Allegations:	Fraud, sold fictitious notes unrelated to Arkadios Capital
Product Type:	Debt-Government Promissory Note
Alleged Damages:	\$10,000.00

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): Superior Court of CA

Docket/Case #: C25-00835

Date Notice/Process Served: 05/06/2025

Arbitration Pending? Yes

Disclosure 3 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Failure to Supervise, Breach of Fiduciary Duty and Negligence in the sale of promissory notes.

Product Type: Debt-Government Promissory Note

Alleged Damages: \$2,700,000.00

Alleged Damages Amount Explanation (if amount not exact): Damages are over \$5,000.

Arbitration Information

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

Docket/Case #: 25-00435

Date Notice/Process Served: 04/04/2025

Arbitration Pending? Yes

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL



Allegations: Failure to Supervise, Breach of Fiduciary Duty and Negligence in the sale of promissory notes.

Product Type: Debt-Government Promissory Note

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): No amount specified, but damages are over \$5,000.

Arbitration Information

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

Docket/Case #: 25-00435

Date Notice/Process Served: 04/04/2025

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Failure to supervise, breach of fiduciary duty and negligence in the sale of promissory notes.

Product Type: Debt-Government

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): No amount specified, but damages are over \$5,000.

Arbitration Information

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

Docket/Case #: 25-00435



Date Notice/Process Served: 04/04/2025

Arbitration Pending? Yes

Broker Statement Mike was not involved in and had no knowledge of the alleged actions claimed in this suit.

Disclosure 4 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Negligence, Fraud, Breach of Fiduciary Duty

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified, but over \$5,000

Arbitration Information

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

Docket/Case #: 25-00583

Date Notice/Process Served: 03/24/2025

Arbitration Pending? Yes

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Negligence, Fraud, Breach of Fiduciary Duty

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Unspecified, but over \$5,000



Explanation (if amount not exact):

Arbitration Information

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

Docket/Case #: 25-00583

Date Notice/Process Served: 03/24/2025

Arbitration Pending? Yes

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Negligence, fraud, breach of fiduciary duty.

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified, but over \$5,000

Arbitration Information

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

Docket/Case #: 25-00583

Date Notice/Process Served: 03/24/2025

Arbitration Pending? Yes

Broker Statement Michael was not involved, nor did he have any knowledge of the actions alleged.

Disclosure 5 of 7

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: Arkadios Wealth and Arkadios Capital

Allegations: Breach of Fiduciary Duty From 2006 to 2023

Product Type: No Product

Alleged Damages: \$561,257.00

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 #: 25-00353

Filing date of arbitration/CFTC reparation or civil litigation: 02/21/2025

Customer Complaint Information

Date Complaint Received: 03/04/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Failure to supervise, breach of fiduciary duty and negligence in the sale of promissory notes.

Product Type: Debt-Government

Alleged Damages: \$561,257.00

Customer Complaint Information



Date Complaint Received: 03/04/2025

Complaint Pending?

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 25-00353

Date Notice/Process Served: 03/04/2025

Arbitration Pending? Yes

Broker Statement Michael was not involved, nor did he have any knowledge of the actions alleged. He was not named as a party of the suit.

Disclosure 6 of 7

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Alleges fictitious bonds during 2013 by father of the registered representative. The registered representative was not in the industry until 2016.

Product Type: No Product

Alleged Damages: \$2,300,000.00

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 #: 24-02244



Filing date of arbitration/CFTC reparation or civil litigation: 10/24/2024

Customer Complaint Information

Date Complaint Received: 10/24/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: ARKADIOS CAPITAL

Allegations: Alleges fictitious bonds during 2013 by father of the registered representative. The registered representative was not in the industry until 2016.

Product Type: No Product

Alleged Damages: \$2,300,000.00

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 #: 24-02244

Filing date of arbitration/CFTC reparation or civil litigation: 10/20/2024

Customer Complaint Information

Date Complaint Received: 10/24/2024

Complaint Pending? Yes

Settlement Amount:



Individual Contribution Amount:

Broker Statement

Mike was not involved in and had no knowledge of the alleged actions claimed in this suit, nor was he named as a party of the suit.

Disclosure 7 of 7

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

ARKADIOS CAPITAL

Allegations:

Alleges fictitious bonds from May 1999 to January of 2021 by father of the registered representative. The registered representative was not in the industry until 2016.

Product Type:

No Product

Alleged Damages:

\$567,000.00

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:

01/06/2025

Complaint Pending?

No

Status:

Settled

Status Date:

07/23/2025

Settlement Amount:

\$9,000.00

Individual Contribution Amount:

\$0.00

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

Arkadios Wealth Advisors



Allegations:	From May 15, 1999-January 1, 2021, Mr. [REDACTED] engaged Edwin Emmett Lickiss as their advisor, investing several thousands with Michael Lickiss's father. The client executed a promissory note with Lickiss Sr. They allege breach of contract, violation of securities laws, breach of fiduciary duty, conversion and unjust enrichment.
Product Type:	Promissory Note
Alleged Damages:	\$567,014.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	Superior Court oF Arizona
Docket/Case #:	CV2024-037727
Date Notice/Process Served:	12/30/2024
Arbitration Pending?	Yes
Broker Statement	Mike was not involved in and had no knowledge of the alleged actions claimed in this suit.



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:	Broker
Employer Name:	Purshe Kaplan Sterling Investments
Termination Type:	Voluntary Resignation
Termination Date:	01/13/2025
Allegations:	Michael's father is alleged to have issued promissory notes.
Product Type:	Promissory Note
Broker Statement	Michael was served with a suit related to the alleged actions of his father. Michael had no knowledge of and was not involved in those actions.



Financial - Pending

This type of disclosure event involves a pending 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: Regulator

Action Type: Bankruptcy

Bankruptcy: Chapter 11

Action Date: 04/14/2025

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: United States Bankruptcy Court

Location of Court: San Francisco, CA

Docket/Case #: 25-40642

Action Pending? Yes

Reporting Source: Broker

Action Type: Bankruptcy

Bankruptcy: Chapter 11

Action Date: 04/14/2025

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: United States Bankruptcy Court

Location of Court: San Francisco, CA

Docket/Case #: 25-40642

Action Pending? Yes

Broker Statement Due to legal expenses related to the alleged actions of a previous business associate where Mike had no involvement or knowledge of the alleged actions; Mike has had to declare Chapter 11 bankruptcy. This is a personal filing and does



not impact the operations of Pacific Wealth Advisory Services.

End of Report



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