

BrokerCheck Report

DONNA LYNN BARNARD

CRD# 5653949

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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.

DONNA L. BARNARD

CRD# 5653949

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
- 1 State Securities Law Exam

Registration History

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

HD VEST INVESTMENT SERVICES

CRD# 13686
Kilgore, TX
08/2014 - 05/2017

SIGNAL SECURITIES, INC.

CRD# 15916
KILGORE, TX
04/2013 - 06/2014

WOODMEN FINANCIAL SERVICES, INC.

CRD# 117365
KILGORE, TX
05/2009 - 09/2012

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	14

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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	05/22/2017
General Securities Representative Examination	Series 7	07/30/2015
Investment Company Products/Variable Contracts Representative Examination	Series 6	05/27/2009

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	06/02/2009

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
08/2014 - 05/2017	HD VEST INVESTMENT SERVICES	13686	Kilgore, TX
04/2013 - 06/2014	SIGNAL SECURITIES, INC.	15916	KILGORE, TX
05/2009 - 09/2012	WOODMEN FINANCIAL SERVICES, INC.	117365	KILGORE, TX

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 Dates	Employer Name	Employer Location
07/2014 - Present	HD VEST INSURANCE AGENCY, INC.	KILGORE, TX
07/2014 - Present	HD VEST INVESTMENT SERVICES	KILGORE, TX
10/2013 - Present	HUMANA	KILGORE, TX
08/2012 - Present	STONELION INSURANCE & FINANCIAL SERVICES, LLC	KILGORE, TX
04/2013 - 06/2014	SIGNAL SECURITIES, INC.	FORT WORTH, TX
04/2009 - 09/2012	WOODMEN FINANCIAL SERVICES, INC.	OMAHA, NE
06/2006 - 09/2012	WOODMEN OF THE WORLD LIFE INSURANCE SOCIETY	OMAHA, NE

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.

HD VEST INSURANCE AGENCY INC~'NIR'~707 WOODWAY~ ~KILGORE~TX~75662~INDEPENDENT INSURANCE AGENT~INSURANCE SALES AGENT~6/2014~80HRS~60HRS~PROVIDES INSURANCE SERVICES THROUGH HD VEST~~HUMANA~'NIR'~707 WOODWAY~~KILGORE~TX~75662~INDEPENDENT INSURANCE AGENT~INSURANCE SALES AGENT~10/2013~5HRS~0HRS~SELL MEDICARE ADVANTAGE PLANS DURING OPEN ENROLLMENT~~STONELION INS & FINANCIAL SERV~'NIR'~707 WOODWAY~

Registration and Employment History



Other Business Activities, continued

~KILGORE~TX~75662~OTHER~OTHER~8/2012~40HRS~20HRS~PROVIDE COMMERCIAL MORTGAGE SERVICES



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending, on appeal, or final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final event generally has a disposition of *adjudicated, settled or otherwise resolved*.
 - § An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - § A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Customer Dispute	5	9	N/A
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Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/07/2018
Docket/Case Number:	2018057494201
Employing firm when activity occurred which led to the regulatory action:	HD Vest Investment Services
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Barnard consented to the sanction and to the entry of findings that she failed to provide FINRA with documents and information requested in connection with its review of her participation in sales of notes related to a group of unregistered investment companies.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

09/07/2018

Sanctions Ordered:

Bar (Permanent)

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

No

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



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

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

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All capacities
Duration:	Indefinite
Start Date:	09/07/2018
End Date:	



Reporting Source: Firm

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 09/07/2018

Docket/Case Number: [2018057494201](#)

Employing firm when activity occurred which led to the regulatory action: HD Vest Investment Services

Product Type: No Product

Allegations: Without admitting or denying the findings, Barnard consented to the sanction and to the entry of findings that she failed to provide FINRA with documents and information requested in connection with its review of her participation in sales of notes related to a group of unregistered investment companies.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/07/2018

Sanctions Ordered: Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



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

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



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

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All capacities
Duration:	Indefinite
Start Date:	09/07/2018
End Date:	



Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	HD Vest Investment Services
Allegations:	Claimants alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$234,780.90
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-00455
Filing date of arbitration/CFTC reparation or civil litigation:	02/02/2018

Customer Complaint Information

Date Complaint Received:	03/27/2018
Complaint Pending?	No
Status:	Settled
Status Date:	03/06/2019
Settlement Amount:	\$76,597.00
Individual Contribution Amount:	\$0.00

**Firm Statement**

The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment. The Claimants received the following settlement payments which totaled \$76,597. [REDACTED] received \$20,158, [REDACTED] received \$33,373 and [REDACTED] received \$23,066

Disclosure 2 of 6**Reporting Source:**

Firm

Employing firm when activities occurred which led to the complaint:

HD Vest Investment Services

Allegations:

Claimants alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.

Product Type:

Direct Investment-DPP & LP Interests

Alleged Damages:

\$623,099.14

Is this an oral complaint?

No

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

Yes

Arbitration/Reparation forum or court name and location:

FINRA

Docket/Case #:

18-00560

Filing date of arbitration/CFTC reparation or civil litigation:

02/12/2018

Customer Complaint Information**Date Complaint Received:**

02/20/2018

Complaint Pending?

No

Status:

Settled

Status Date:

03/06/2019

Settlement Amount:

\$204,492.00



Individual Contribution Amount: \$0.00

Firm Statement The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment.

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Claimants alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$505,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-00254

Filing date of arbitration/CFTC reparation or civil litigation: 01/22/2018

Customer Complaint Information

Date Complaint Received: 02/21/2018

Complaint Pending? No

Status: Settled

Status Date: 03/06/2019

Settlement Amount: \$161,762.00



Individual Contribution Amount: \$0.00

Firm Statement The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment.

Disclosure 4 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Claimants alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$349,764.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-00935

Filing date of arbitration/CFTC reparation or civil litigation: 03/08/2018

Customer Complaint Information

Date Complaint Received: 03/20/2018

Complaint Pending? No

Status: Settled

Status Date: 03/06/2019

Settlement Amount: \$106,049.00



Individual Contribution Amount: \$0.00

Firm Statement The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment.

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Claimant alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$1,000,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-00309

Filing date of arbitration/CFTC reparation or civil litigation: 01/25/2018

Customer Complaint Information

Date Complaint Received: 02/21/2018

Complaint Pending? No

Status: Settled

Status Date: 03/06/2019

Settlement Amount: \$395,187.00



Individual Contribution Amount: \$0.00

Firm Statement The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment.

Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Claimants alleged the representative misrepresented Woodbridge Mortgage Investment Fund and failed to conduct reasonable due diligence on the unregistered security.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$450,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 18-00347

Filing date of arbitration/CFTC reparation or civil litigation: 01/29/2018

Customer Complaint Information

Date Complaint Received: 02/13/2018

Complaint Pending? No

Status: Settled

Status Date: 03/06/2019

Settlement Amount: \$155,913.00



Individual Contribution Amount:

\$0.00

Firm Statement

The Settlement Agreement and Release was two part: 1) the Respondent agreed to provide a settlement payment to the Claimant and 2) the Claimant agreed to dismiss the Arbitration with prejudice upon receipt of said settlement payment.



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:	HD Vest Investment Services
Allegations:	Claimants alleged the representative misrepresented Woodbridge Companies and also alleged the product was not suitable.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The complaint did not reflect an alleged damage amount; therefore, the Firm made a good faith determination that potential damages from the alleged conduct could be greater than \$5,000.

Arbitration Information

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

Docket/Case #: 19-00325

Date Notice/Process Served: 01/30/2019

Arbitration Pending? Yes

Civil Litigation Information

Type of Court: State Court

Name of Court: District Court 71st Judicial Court

Location of Court: Harrison County, Texas

Docket/Case #: 18-0221

Date Notice/Process Served: 04/03/2018

Litigation Pending? No



Disposition: Other: Order compelling arbitration

Disposition Date: 09/18/2018

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HD Vest Investment Services

Allegations: Claimants alleged the representative misrepresented Woodbridge Companies and also alleged the product was not suitable.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The complaint did not reflect an alleged damage amount; therefore, the Firm made a good faith determination that potential damages from the alleged conduct could be greater than \$5,000.

Arbitration Information

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

Docket/Case #: 19-00325

Date Notice/Process Served: 01/30/2019

Arbitration Pending? Yes

Civil Litigation Information

Type of Court: State Court

Name of Court: District Court 71st Judicial District

Location of Court: Harrison County, Texas

Docket/Case #: 18-0220

Date Notice/Process Served: 04/03/2018

Litigation Pending? No

Disposition: Other: Order compelling arbitration

Disposition Date: 09/18/2018



Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	HD Vest Investment Services
Allegations:	Claimants alleged the representative misrepresented Woodbridge Companies and also alleged the product was not suitable.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$500,000.00

Arbitration Information

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

Docket/Case #:	19-00325
Date Notice/Process Served:	01/30/2019
Arbitration Pending?	Yes

Civil Litigation Information

Type of Court:	State Court
Name of Court:	District Court 71st Judicial District
Location of Court:	Harrison County, Texas
Docket/Case #:	18-0180
Date Notice/Process Served:	03/26/2018
Litigation Pending?	No
Disposition:	Other: Order compelling arbitration
Disposition Date:	09/18/2018



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 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Signal Securities, Inc.
Allegations:	Sold investment, Woodbridge Mortgage Fund, that was unauthorized by BD. Woodbridge filed bankruptcy, alerting regulators and firms.
Product Type:	Promissory Note
Alleged Damages:	\$244,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	18-00282
Filing date of arbitration/CFTC reparation or civil litigation:	03/28/2018

Customer Complaint Information

Date Complaint Received:	04/18/2018
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 5

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: WOODMEN FINANCIAL SERVICES, INC.

Allegations: DONNA BARNARD SOLD CLAIMANT WOODBRIDGE PRE-SETTLEMENT FUNDING, LLC IN SEPTEMBER 2012. ALLEGATIONS INCLUDE UNSUITABLE RECOMMENDATIONS AND MISREPRESENTATION.

Product Type: Promissory Note

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 ARBITRATION

Docket/Case #: 18-00311

Filing date of arbitration/CFTC reparation or civil litigation: 03/01/2018

Customer Complaint Information

Date Complaint Received: 03/06/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 5

Reporting Source: Firm

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

Allegations: Raines sold Claimant Woodbridge Mortgage Investment Funds 1 & 2. Dates referenced include May 2013 and February 2014. Allegations include unsuitable recommendations and misrepresentation.



Product Type: Promissory Note

Alleged Damages: \$150,000.00

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 #: 18-00936

Filing date of arbitration/CFTC reparation or civil litigation: 03/16/2018

Customer Complaint Information

Date Complaint Received: 03/20/2018

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Firm

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

Allegations: Barnard sold Claimant Woodbridge Mortgage Investment Funds. Dates referenced include May 2014. Allegations include unsuitable recommendations and misrepresentation.

Product Type: Promissory Note

Alleged Damages: \$50,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged investment is \$50,000 but damages and attorney fees are being added to bring total to "at least \$100,000"



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 #: 18-00359
Filing date of arbitration/CFTC reparation or civil litigation: 02/09/2018

Customer Complaint Information

Date Complaint Received: 02/15/2018
Complaint Pending? Yes
Settlement Amount:
Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: Signal Securities, Inc.
Allegations: Barnard sold Claimant Woodbridge Mortgage Investment Funds 1 & 2. Dates referenced include April 2013 and April/May 2014. Allegations include unsuitable recommendations and misrepresentation.
Product Type: Promissory Note
Alleged Damages: \$450,000.00
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 #: 18-00310

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 02/16/2018

Customer Complaint Information

Date Complaint Received: 02/20/2018

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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