

BrokerCheck Report

WILLIAM RICHARD PINTARIC JR

CRD# 724808

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

**WILLIAM R. PINTARIC JR**

CRD# 724808

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

- B FORTUNE FINANCIAL SERVICES, INC.**
 3428 S Bailey Road
 North Jackson, OH 44451
 CRD# 42150
 Registered with this firm since: 08/09/2021

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
- 5 U.S. states and territories

This broker has passed:

- 2 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):

- IA SECURITIES AMERICA ADVISORS, INC.**
 CRD# 110518
 LA VISTA, NE
 01/2020 - 08/2021
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 YOUNGSTOWN, OH
 01/2020 - 08/2021
- IA SA STONE INVESTMENT ADVISORS INC.**
 CRD# 174182
 BIRMINGHAM, AL
 08/2015 - 07/2019

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	2



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 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **FORTUNE FINANCIAL SERVICES, INC.**

Main Office Address: **3582 BROADHEAD ROAD
SUITE 202
MONACA, PA 15061**

Firm CRD#: **42150**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	08/09/2021
B	FINRA	General Securities Principal	Approved	08/09/2021
B	FINRA	General Securities Representative	Approved	08/09/2021
B	FINRA	Operations Professional	Approved	08/09/2021

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	08/09/2021
B	Kentucky	Agent	Approved	06/13/2022
B	Massachusetts	Agent	Approved	05/06/2022
B	Ohio	Agent	Approved	08/09/2021
B	Pennsylvania	Agent	Approved	08/09/2021

Branch Office Locations

FORTUNE FINANCIAL SERVICES, INC.
3582 BROADHEAD ROAD
SUITE 202

Broker Qualifications



Employment 1 of 1, continued

MONACA, PA 15061

FORTUNE FINANCIAL SERVICES, INC.

3428 S Bailey Road

North Jackson, OH 44451



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 2 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	06/16/1984
B General Securities Principal Examination	Series 24	07/20/1982

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/21/1981

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	11/24/1998

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
IA 01/2020 - 08/2021	SECURITIES AMERICA ADVISORS, INC.	110518	YOUNGSTOWN, OH
B 01/2020 - 08/2021	SECURITIES AMERICA, INC.	10205	YOUNGSTOWN, OH
IA 08/2015 - 07/2019	SA STONE INVESTMENT ADVISORS INC.	174182	YOUNGSTOWN, OH
B 09/2014 - 07/2019	SA STONE WEALTH MANAGEMENT INC.	18456	YOUNGSTOWN, OH
B 02/1981 - 09/2014	WRP INVESTMENTS, INC.	7365	YOUNGSTOWN, OH

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
08/2021 - Present	Fortune Financial Services	Chief Compliance Officer	Y	Monaca, PA, United States
01/2020 - 08/2021	Securities America Advisors	IAR	Y	Youngstown, OH, United States
01/2020 - 08/2021	Securities America, Inc.	Registered Rep	Y	Youngstown, OH, United States
06/2019 - 01/2020	Unemployed	Unemployed	N	North Jackson, OH, United States
06/2017 - 06/2019	SA Stone Wealth Management	Director of Supervision	Y	Birmingham, AL, United States
09/2014 - 06/2017	STERNE AGEE FINANCIAL SERVICES, INC.	Mass Transfer	Y	YOUNGSTOWN, OH, United States

Registration and Employment History



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.

POSITION: owner NATURE: insurance sales INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 02/19/1981 ADDRESS: 3428 south bailey rd, north jackson OH 44451 DESCRIPTION: currently have 2 clients holding term life policies. NO new sales since 1990s

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.
 -
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	0	2	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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WRP Investments, Inc.
Allegations:	Plaintiff alleges the control persons of broker-dealer failed to properly supervise a representative who was selling promissory notes to a client. The control persons were not aware of these transactions.
Product Type:	Promissory Note
Alleged Damages:	\$828,583.00
Is this an oral complaint?	
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	Cuyahoga County Clerk of Courts
Docket/Case #:	CV16873171
Filing date of arbitration/CFTC reparation or civil litigation:	12/14/2016

Customer Complaint Information

Date Complaint Received: 12/19/2016



Complaint Pending? No

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

Status Date: 02/02/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 17-02496

Date Notice/Process Served: 09/18/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/13/2018

Monetary Compensation Amount: \$263,395.00

Individual Contribution Amount: \$0.00

Civil Litigation Information

Type of Court: State Court

Name of Court: Common Pleas Court

Location of Court: Cuyahoga County, Ohio

Docket/Case #: CV16873171

Date Notice/Process Served: 12/19/2016

Litigation Pending? No

Disposition: Other: Evolved to Arbitration

Disposition Date: 03/29/2017

Monetary Compensation Amount: \$0.00



Individual Contribution Amount: \$0.00

Broker Statement Initial filing was a civil case where Pintaric was named in the case. Evolved to arbitration was filed where Pintaric was named. Could not remove data from section 7 due to system restrictions. FINRA arbitration is still pending.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WRP INVESTMENTS, INC.

Allegations: Plaintiff alleges the control persons of broker-dealer failed to properly supervise a representative that caused them and a family member to invest large sums in an unsuitable investment between 11/20/09 and 07/16/12

Product Type: Promissory Note

Alleged Damages: \$345,000.00

Alleged Damages Amount Explanation (if amount not exact): THIS AMOUNT PLUS OTHER NON-SPECIFIED DAMAGES

Arbitration Information

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

Docket/Case #: 16-00907

Date Notice/Process Served: 04/01/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/13/2018

Monetary Compensation Amount: \$286,605.00

Individual Contribution Amount: \$0.00

Civil Litigation Information



Type of Court:	State Court
Name of Court:	COURT OF COMMON PLEAS
Location of Court:	CUYAHOGA COUNTY, OHIO
Docket/Case #:	CV 16 858422
Date Notice/Process Served:	02/09/2016
Litigation Pending?	No
Disposition:	Other: STAYED PENDING ARBITRATION
Disposition Date:	05/25/2016
Broker Statement	FIRM AND ITS OFFICERS DENY THE MATERIAL ALLEGATIONS IN THE STATEMENT OF CLAIM. This matter started as a civil case where it evolved into an arbitration. The civil case is closed due to it evolving to the arbitration

End of Report



This page is intentionally left blank.