

## BrokerCheck Report

### KEVIN MICHAEL VANDYKE

CRD# 2776051

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 7
Registration and Employment History	9 - 11
Disclosure Events	12



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

## About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - 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).

**KEVIN M. VANDYKE**

CRD# 2776051

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

**IA CETERA INVESTMENT ADVISERS LLC**  
 17177 N. LAUREL PARK DRIVE  
 SUITE 246  
 LIVONIA, MI 48152  
 CRD# 105644  
 Registered with this firm since: 11/12/2020

**IA SAGEVIEW ADVISORY GROUP, LLC**  
 35980 Woodward Ave  
 Suite 300  
 Bloomfield Hills, MI 48304  
 CRD# 126777  
 Registered with this firm since: 01/21/2022

**B CETERA ADVISORS LLC**  
 17177 NORTH LAUREL PARK DRIVE  
 Suite 246  
 LIVONIA, MI 48152  
 CRD# 10299  
 Registered with this firm since: 09/08/2022

**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
- 45 U.S. states and territories

**This broker has passed:**

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

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

- B FIRST ALLIED SECURITIES, INC.**  
 CRD# 32444  
 BLOOMFIELD HILLS, MI  
 10/2013 - 09/2022
- IA FIRST ALLIED ADVISORY SERVICES, INC.**  
 CRD# 137888  
 SAN DIEGO, CA  
 10/2013 - 11/2020
- IA RG CAPITAL**  
 CRD# 221520  
 SCOTTSDALE, AZ  
 07/2015 - 01/2018

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

### Employment 1 of 3

Firm Name: **CETERA ADVISORS LLC**

Main Office Address: **5299 DTC BLVD #800  
GREENWOOD VILLAGE, CO 80111**

Firm CRD#: **10299**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2022
B	FINRA	General Securities Representative	Approved	09/08/2022
B	FINRA	Operations Professional	Approved	09/08/2022

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/08/2022
B	Arizona	Agent	Approved	09/08/2022
B	California	Agent	Approved	09/08/2022
B	Colorado	Agent	Approved	09/08/2022
B	Connecticut	Agent	Approved	09/08/2022
B	District of Columbia	Agent	Approved	09/08/2022
B	Florida	Agent	Approved	09/08/2022
B	Georgia	Agent	Approved	09/08/2022
B	Idaho	Agent	Approved	09/08/2022
B	Illinois	Agent	Approved	09/08/2022



## Broker Qualifications

### Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	09/08/2022
B	Iowa	Agent	Approved	09/08/2022
B	Kansas	Agent	Approved	09/08/2022
B	Kentucky	Agent	Approved	09/12/2022
B	Maine	Agent	Approved	09/08/2022
B	Maryland	Agent	Approved	09/08/2022
B	Massachusetts	Agent	Approved	09/22/2022
B	Michigan	Agent	Approved	09/08/2022
B	Minnesota	Agent	Approved	09/08/2022
B	Mississippi	Agent	Approved	09/08/2022
B	Missouri	Agent	Approved	09/08/2022
B	Montana	Agent	Approved	09/08/2022
B	Nebraska	Agent	Approved	09/08/2022
B	Nevada	Agent	Approved	09/08/2022
B	New Jersey	Agent	Approved	09/08/2022
B	New Mexico	Agent	Approved	09/08/2022
B	New York	Agent	Approved	09/08/2022
B	North Carolina	Agent	Approved	09/08/2022
B	North Dakota	Agent	Approved	09/08/2022
B	Ohio	Agent	Approved	09/08/2022
B	Oklahoma	Agent	Approved	09/08/2022



## Broker Qualifications

### Employment 1 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Oregon	Agent	Approved	09/08/2022
B	Pennsylvania	Agent	Approved	09/08/2022
B	Rhode Island	Agent	Approved	09/08/2022
B	South Carolina	Agent	Approved	09/08/2022
B	South Dakota	Agent	Approved	09/08/2022
B	Tennessee	Agent	Approved	09/08/2022
B	Texas	Agent	Approved	09/08/2022
B	Utah	Agent	Approved	09/08/2022
B	Vermont	Agent	Approved	09/08/2022
B	Virginia	Agent	Approved	09/08/2022
B	Washington	Agent	Approved	09/08/2022
B	West Virginia	Agent	Approved	09/08/2022
B	Wisconsin	Agent	Approved	09/08/2022
B	Wyoming	Agent	Approved	09/08/2022

### Branch Office Locations

#### CETERA ADVISORS LLC

17177 NORTH LAUREL PARK DRIVE Suite 246  
LIVONIA, MI 48152

#### CETERA ADVISORS LLC

383 Inverness Parkway #400  
Englewood, CO 80112

#### CETERA ADVISORS LLC

35980 WOODWARD AVENUE SUITE 300



## Broker Qualifications

### Employment 1 of 3, continued

BLOOMFIELD HILLS, MI 48304

### Employment 2 of 3

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Office Address: **1450 AMERICAN LANE  
6TH FLOOR, SUITE 600  
SCHAUMBURG, IL 60173-2096**

Firm CRD#: **105644**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	01/28/2021
IA	Florida	Investment Adviser Representative	Approved	06/24/2021
IA	Michigan	Investment Adviser Representative	Approved	11/12/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	11/12/2020

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

### Employment 3 of 3

Firm Name: **SAGEVIEW ADVISORY GROUP, LLC**

Main Office Address: **4000 MACARTHUR BLVD.  
SUITE 1050  
NEWPORT BEACH, CA 92660**

Firm CRD#: **126777**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	01/24/2022
IA	Florida	Investment Adviser Representative	Approved	03/01/2022



## Broker Qualifications

### Employment 3 of 3, continued

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	01/21/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/21/2022
IA	Vermont	Investment Adviser Representative	Approved	01/24/2022
IA	Washington	Investment Adviser Representative	Approved	10/21/2022

### Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	01/26/2001

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	08/06/1996

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	10/01/1998
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	08/05/1996

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>B</b> 10/2013 - 09/2022	FIRST ALLIED SECURITIES, INC.	32444	BLOOMFIELD HILLS, MI
<b>IA</b> 10/2013 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC.	137888	BLOOMFIELD HILLS, MI
<b>IA</b> 07/2015 - 01/2018	RG CAPITAL	221520	BLOOMFIELD HILLS, MI
<b>IA</b> 05/2008 - 10/2013	SII INVESTMENTS, INC.	2225	BLOOMFIELD HILLS, MI
<b>B</b> 10/2007 - 10/2013	SII INVESTMENTS, INC.	2225	BLOOMFIELD HILLS, MI
<b>B</b> 07/2000 - 10/2007	COMMONWEALTH FINANCIAL NETWORK	8032	BLOOMFIELD HILLS, MI
<b>B</b> 11/1999 - 07/2000	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	FAIRFIELD, IA
<b>B</b> 02/1998 - 11/1999	WASHINGTON SQUARE SECURITIES, INC.	2882	WINDSOR, CT
<b>B</b> 09/1996 - 02/1998	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH
<b>B</b> 08/1996 - 10/1996	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, 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
09/2022 - Present	CETERA ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	ST CLOUD, MN, United States
09/2021 - Present	SageView Advisory Group, LLC	Wealth Advisor	Y	Newport Beach, CA, United States
11/2020 - Present	FIRST ALLIED ADVISORY SERVICES	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2000 - Present	BLOOMFIELD HILLS FINANCIAL	FOUNDER	Y	BLOOMFIELD HILLS, MI, United States
10/2013 - 09/2022	FIRST ALLIED SECURIITES, INC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
07/2015 - 07/2021	BHF RG CAPITAL INC.	OWNER/CHIEF EXECUTIVE OFFICER	Y	BLOOMFIELD HILLS, MI, United States
10/2013 - 11/2020	FIRST ALLIED ADVISORY SERVICES, INC	INVESTMENT ADVISORY REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
10/2007 - 10/2013	SII INVESTMENTS, INC.	INVESTMENT REP	Y	BLOOMFIELD HILLS, MI, 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.) HARVEY ACCOUNTING; OWNER; NON-CPA ACCJ Advisory, IncCOUNTING; START DATE 10/24/2013
- 2.) IRISH BEER WORKS ROCHESTER, INC DBA: O'CONNORS PUBLIC HOUSE RESTAURANT; OWNER; RESTAURANT; START DATE 10/24/2013.
- 3.) BLOOMFIELD HILLS FINANCIAL; Founder CEO; DBA; START DATE 10/24/2014; 8 HOURS PER MONTH.
- 4.) 35980-36050 WOODWARD, LLC.; OWNER; REAL ESTATE (RENTAL); START DATE: 02/01/2014; 4 HOURS PER MONTH.
- 5.) KEVIN VANDYKE; AGENT; INSURANCE; START DATE 10/01/2013; 4 HOURS PER MONTH.
- 6.) BLOOMFIELD HILLS FINANCIAL, INC.; OWNER; HOLDING COMPANY OR TAX/BILL PAYMENT ENTITY; START DATE 07/30/2015; 160 HOURS PER MONTH.
- 7.) CJ ADVISORY, INC; OWNER; REGISTERED INVESTMENT ADVISOR; START DATE 09/01/2016; 20 HOURS PER MONTH.
- 8.) CJ ADVISORY, INC; OWNER; DBA; START DATE 09/01/2016; 4 HOURS PER MONTH.
- 9.) MICHAEL AND ANITA VANDYKE TRUST DTD; START DATE: 03/12/2007; SUCCESSOR TRUSTEE; FIDUCIARY POSITION (TRUSTEE, POA, EXECUTOR, ETC.); START DATE 10/25/2016; 4 HOURS PER MONTH.
- 10.) BLOOMFIELD HILLS ACCOUNTING SERVICES LLC; DBA HARVEY ACCOUNTING; OWNER; START DATE 10/01/2008; 4 HOURS PER MONTH.
- 11.) GROSSE POINTE FINANCIAL SERVICES; OWNER; DBA; START DATE 02/01/2017; 4 HOURS PER MONTH.
- 12.) BLOOMFIELD INVESTMENTS GROUP, LLC - DBA; OWNER; START DATE: 06/30/2017; 4 HOURS PER MONTH.
- 13.) OCEAN CLUB - PANAMA CITY, PANAMA - UNIT #4802; REAL ESTATE PROPERTY; OWNER; START DATE: 01/01/2017; 4 HOURS PER MONTH.
- 14.) THOMPSON FINANCIAL MANAGEMENT; DBA; OWNER; START DATE: 10/13/2017; 4 HOURS PER MONTH.
- 15.) BHF REAL PROPERTY LLC; OWNER; REAL ESTATE; START DATE: 5/1/2017; 4 HOURS PER MONTH.
- 16.)BLOOMFIELD INVESTMENT GROUP COLORADO "BIG COLORADO" ; OWNER; DBA; START DATE 9/1/18; 4 HOURS PER MONTH.

## Registration and Employment History



### Other Business Activities, continued

17.)BLOOMFIELD INVESTMENT GROUP TEXAS "BIG TEXAS"; OWNER; DBA; START DATE: 9/1/18; 4 HOURS PER MONTH.

18.)BHF AGENCY, INC.; OWNER; INSURANCE (FIXED/LIFE/HEALTH/P&C); START DATE 01/28/2021; 4 HOURS PER MONTH.

19.)BLOOMFIELD CONSULTING SERVICES LLC; DBA BLOOMFIELD DIVORCE SOLUTIONS; OWNER;CONSULTING; START DATE 05/01/2021; 4 HOURS PER MONTH

20.)SAGEVIEW ADVISORY GROUP; MANAGING DIRECTOR; REGISTERED INVESTMETN ADVISOR; START DATE: 04/19/2022; 160 HOURS PER MONTH.

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## 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	1	1	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 - 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	First Allied Securities Inc.
<b>Allegations:</b>	Client alleges misrepresentations regarding REIT investments.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$7,793.24
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

#### Customer Complaint Information

<b>Date Complaint Received:</b>	05/15/2018
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/17/2019
<b>Settlement Amount:</b>	

#### Individual Contribution



**Amount:**





## 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	FIRST ALLIED SECURITIES, INC.
<b>Allegations:</b>	Claimant alleges financial adviser recommended unsuitable investments.
<b>Product Type:</b>	Other: Real Estate Investment Trusts (REITS)
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	\$5,000 or more
<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 - Detroit, MI
<b>Docket/Case #:</b>	21-02610
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	10/15/2021

### Customer Complaint Information

<b>Date Complaint Received:</b>	12/10/2021
<b>Complaint Pending?</b>	Yes
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	All investments recommended to this client were suitable and consistent with the



client's risk tolerance and investment objectives. The client's portfolio was properly diversified. The investments constituted a small portion of his portfolio, which performed well. It is unfortunate that the client has decided to cherry-pick under-performing investments.

## End of Report



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