

BrokerCheck Report

GIHAN ANIL FERNANDO

CRD# 4469669

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



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



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)

GIHAN A. FERNANDO

CRD# 4469669

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

- B CETERA INVESTMENT SERVICES LLC**
 5433 WESTHEIMER RD
 SUITE 800
 HOUSTON, TX 77056
 CRD# 15340
 Registered with this firm since: 01/12/2024

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 0 U.S. states and territories

This broker has passed:

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

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

- IA BOK FINANCIAL ADVISORS**
 CRD# 17530
 TULSA, OK
 03/2003 - 11/2023
- B BOK FINANCIAL SECURITIES, INC.**
 CRD# 17530
 BELLAIRE, TX
 03/2003 - 11/2023
- IA MORGAN STANLEY**
 CRD# 7556
 PURCHASE, NY
 05/2002 - 02/2003

**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	45



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

Employment 1 of 1

Firm Name: **CETERA INVESTMENT SERVICES LLC**

Main Office Address: **400 FIRST ST. S. SUITE 300
ST. CLOUD, MN 56301**

Firm CRD#: **15340**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	01/12/2024

Branch Office Locations

CETERA INVESTMENT SERVICES LLC
5433 WESTHEIMER RD
SUITE 800
HOUSTON, TX 77056



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	02/28/2002
B General Securities Representative Examination	Series 7	01/03/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/23/2002
B Uniform Securities Agent State Law Examination	Series 63	05/02/2002

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 03/2003 - 11/2023	BOK FINANCIAL ADVISORS	17530	BELLAIRE, TX
B 03/2003 - 11/2023	BOK FINANCIAL SECURITIES, INC.	17530	BELLAIRE, TX
IA 05/2002 - 02/2003	MORGAN STANLEY	7556	HOUSTON, TX
B 01/2002 - 02/2003	MORGAN STANLEY DW INC.	7556	PURCHASE, NY

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
01/2024 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	HOUSTON, TX, United States
01/2024 - Present	CETERA INVESTMENT SERVICES LLC	REGISTERED REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
02/2003 - 10/2023	BOK FINANCIAL SECURITIES, INC.	SVP, Senior Financial Advisor	Y	Bellaire, TX, United States
02/2003 - 10/2023	BOKF, NA	SVP, Senior Financial Advisor	Y	Bellaire, TX, 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.

No information reported.



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	0	45	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 45

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around October 2015 through April 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$302,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/05/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/09/2024



Settlement Amount: \$122,853.73
Individual Contribution Amount: \$0.00

Disclosure 2 of 45

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around November 2015.

Product Type: Real Estate Security

Alleged Damages: \$200,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/22/2024

Complaint Pending? No

Status: Settled

Status Date: 05/17/2024

Settlement Amount: \$153,406.28

Individual Contribution Amount: \$0.00

Disclosure 3 of 45

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around November 2015.
Product Type:	Real Estate Security
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	04/22/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/17/2024
Settlement Amount:	\$153,406.28
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2016 through May 2017.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$350,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/11/2024

Complaint Pending? No

Status: Settled

Status Date: 04/19/2024

Settlement Amount: \$153,872.32

Individual Contribution Amount: \$0.00

Disclosure 4 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2014 through February 2016.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$495,766.04

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

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: 04/09/2024

Complaint Pending? No

Status: Settled

Status Date: 05/09/2024

Settlement Amount: \$323,429.33

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2014 through February 2016.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$495,766.04

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

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: 04/09/2024

Complaint Pending? No

Status: Settled



Status Date: 05/09/2024
Settlement Amount: \$323,429.33
Individual Contribution Amount: \$0.00

Disclosure 5 of 45

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around April 2016.
Product Type: Real Estate Security
Alleged Damages: \$66,500.00
Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/21/2024
Complaint Pending? No
Status: Settled
Status Date: 05/02/2024
Settlement Amount: \$53,190.27
Individual Contribution Amount: \$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around April 2016.
Product Type:	Real Estate Security
Alleged Damages:	\$66,500.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/21/2024
Complaint Pending?	No
Status:	Settled
Status Date:	05/02/2024
Settlement Amount:	\$53,190.27
Individual Contribution Amount:	\$0.00

Disclosure 6 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around December 2016 through March 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$210,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/21/2024

Complaint Pending? No

Status: Settled

Status Date: 04/19/2024

Settlement Amount: \$69,742.93

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around December 2016 through March 2017.

Product Type: Real Estate Security

Alleged Damages: \$210,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No



Customer Complaint Information

Date Complaint Received:	03/21/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/19/2024
Settlement Amount:	\$69,742.93
Individual Contribution Amount:	\$0.00

Disclosure 7 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2014 through 2017.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$1,150,221.51
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/13/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/16/2024



Settlement Amount: \$210,573.90

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2014 through 2017.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$1,150,221.51

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/13/2024

Complaint Pending? No

Status: Settled

Status Date: 04/16/2024

Settlement Amount: \$210,573.90

Individual Contribution Amount: \$0.00

Disclosure 8 of 45

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/16/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/22/2024
Settlement Amount:	\$53,333.33
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$100,000.00
Alleged Damages Amount	Alleged compensatory damage amount equals complainant's original principal



Explanation (if amount not exact): amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/16/2024

Complaint Pending? No

Status: Settled

Status Date: 04/22/2024

Settlement Amount: \$53,333.33

Individual Contribution Amount: \$0.00

Disclosure 9 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2017.

Product Type: Real Estate Security

Alleged Damages: \$450,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No



Customer Complaint Information

Date Complaint Received: 02/14/2024
Complaint Pending? No
Status: Settled
Status Date: 04/17/2024
Settlement Amount: \$149,449.15
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2017.
Product Type: Real Estate Security
Alleged Damages: \$450,000.00
Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/14/2024
Complaint Pending? No
Status: Settled
Status Date: 04/17/2024
Settlement Amount: \$149,449.15



Individual Contribution Amount: \$0.00

Disclosure 10 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around March 2017.

Product Type: Real Estate Security

Alleged Damages: \$2,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/25/2024

Complaint Pending? No

Status: Settled

Status Date: 04/30/2024

Settlement Amount: \$831,033.43

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.



Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around March 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$2,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/25/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/30/2024
Settlement Amount:	\$831,033.43
Individual Contribution Amount:	\$0.00

Disclosure 11 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2016.
Product Type:	Real Estate Security
Alleged Damages:	\$97,854.48
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.



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: 02/27/2024

Complaint Pending? No

Status: Settled

Status Date: 05/08/2024

Settlement Amount: \$78,334.13

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2016.

Product Type: Real Estate Security

Alleged Damages: \$97,854.48

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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: 02/27/2024

Complaint Pending? No



Status:	Settled
Status Date:	05/08/2024
Settlement Amount:	\$78,334.13
Individual Contribution Amount:	\$0.00

Disclosure 12 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2015.
Product Type:	Other: Business Development Company
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/07/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/04/2024
Settlement Amount:	\$39,609.82
Individual Contribution Amount:	\$0.00



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around April 2015.
Product Type:	Other: Business Development Company
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/07/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/04/2024
Settlement Amount:	\$39,609.82
Individual Contribution Amount:	\$0.00

Disclosure 13 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2016 through April 2016.
Product Type:	Other: Business Development Company



Alleged Damages:	\$99,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/26/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/03/2024
Settlement Amount:	\$50,289.35
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2016 through April 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$99,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 02/26/2024
Complaint Pending? No
Status: Settled
Status Date: 04/03/2024
Settlement Amount: \$50,289.35
**Individual Contribution
Amount:** \$0.00

Disclosure 14 of 45

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2017.
Product Type: Real Estate Security
Alleged Damages: \$60,000.00
**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 02/26/2024
Complaint Pending? No
Status: Settled



Status Date: 03/26/2024
Settlement Amount: \$19,926.55
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2017.

Product Type: Real Estate Security

Alleged Damages: \$60,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/26/2024

Complaint Pending? No

Status: Settled

Status Date: 03/26/2024

Settlement Amount: \$19,926.55

Individual Contribution Amount: \$0.00

Disclosure 15 of 45

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2016 through April 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$63,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/26/2024
Complaint Pending?	No
Status:	Settled
Status Date:	03/29/2024
Settlement Amount:	\$32,059.77
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2016 through April 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$63,000.00
Alleged Damages Amount	Alleged compensatory damage amount equals complainant's original principal



Explanation (if amount not exact): amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/26/2024

Complaint Pending? No

Status: Settled

Status Date: 03/29/2024

Settlement Amount: \$32,059.77

Individual Contribution Amount: \$0.00

Disclosure 16 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around January 2016.

Product Type: Real Estate Security

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No



Customer Complaint Information

Date Complaint Received: 02/01/2024
Complaint Pending? No
Status: Settled
Status Date: 04/04/2024
Settlement Amount: \$76,227.57
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around January 2016.
Product Type: Real Estate Security
Alleged Damages: \$100,000.00
Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/01/2024
Complaint Pending? No
Status: Settled
Status Date: 04/04/2024
Settlement Amount: \$76,227.57



Individual Contribution Amount: \$0.00

Disclosure 17 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2017.

Product Type: Real Estate Security

Alleged Damages: \$65,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/06/2024

Complaint Pending? No

Status: Settled

Status Date: 03/26/2024

Settlement Amount: \$20,018.82

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.



Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$65,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	02/06/2024
Complaint Pending?	No
Status:	Settled
Status Date:	03/26/2024
Settlement Amount:	\$20,018.82
Individual Contribution Amount:	\$0.00

Disclosure 18 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 - March 2016.
Product Type:	Real Estate Security
Alleged Damages:	\$129,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.



Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 02/01/2024

Complaint Pending? No

Status: Settled

Status Date: 04/03/2024

Settlement Amount: \$96,255.96

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 - March 2016.

Product Type: Real Estate Security

Alleged Damages: \$129,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 02/01/2024

Complaint Pending? No



Status:	Settled
Status Date:	04/03/2024
Settlement Amount:	\$96,255.96
Individual Contribution Amount:	\$0.00

Disclosure 19 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2018 through August 2018.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
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:	03/12/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/22/2024
Settlement Amount:	\$30,470.29
Individual Contribution Amount:	\$0.00



Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around February 2018 through August 2018.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
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:	03/12/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/22/2024
Settlement Amount:	\$30,470.29
Individual Contribution Amount:	\$0.00

Disclosure 20 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2014 through June 2016.
Product Type:	Other: Business Development Company



Alleged Damages:	\$669,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/23/2024
Complaint Pending?	No
Status:	Settled
Status Date:	02/27/2024
Settlement Amount:	\$311,260.45
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2014 through June 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$669,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 01/23/2024

Complaint Pending? No

Status: Settled

Status Date: 02/27/2024

Settlement Amount: \$311,260.45

**Individual Contribution
Amount:** \$0.00

Disclosure 21 of 45

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around March 2017.

Product Type: Real Estate Security

Alleged Damages: \$500,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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: 02/26/2024

Complaint Pending? No

Status: Settled



Status Date: 03/18/2024
Settlement Amount: \$153,990.90
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Product Type: Real Estate Security

Alleged Damages: \$500,000.00

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: 02/26/2024

Complaint Pending? No

Status: Settled

Status Date: 03/18/2024

Settlement Amount: \$153,990.90

Individual Contribution Amount: \$0.00

Disclosure 22 of 45

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

Allegations: Complainant alleges that certain features of the products were misrepresented



during sales process on or around September 2015 through March 2017.

Product Type:

Real Estate Security
Other: Business Development Company

Alleged Damages:

\$150,000.00

Alleged Damages Amount Explanation (if amount not exact):

Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint?

Yes

Is this a written complaint?

No

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information

Date Complaint Received: 01/22/2024

Complaint Pending? No

Status: Settled

Status Date: 02/20/2024

Settlement Amount: \$88,660.16

Individual Contribution Amount: \$0.00

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

BOK FINANCIAL SECURITIES, INC.

Allegations:

Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2015 through March 2017.

Product Type:

Real Estate Security
Other: Business Development Company

Alleged Damages:

\$150,000.00

Alleged Damages Amount Explanation (if amount not exact):

Alleged compensatory damage amount equals complainant's original principal amount invested in the products.



Is this an oral complaint? Yes
Is this a written complaint? No
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 01/22/2024
Complaint Pending? No
Status: Settled
Status Date: 02/20/2024
Settlement Amount: \$88,660.16
**Individual Contribution
Amount:** \$0.00

Disclosure 23 of 45

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around September 2016.
Product Type: Other: Business Development Company
Alleged Damages: \$225,000.00
**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 01/10/2024



Complaint Pending? No
Status: Settled
Status Date: 02/15/2024
Settlement Amount: \$124,509.20
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around September 2016.

Product Type: Other: Business Development Company

Alleged Damages: \$225,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/10/2024

Complaint Pending? No

Status: Settled

Status Date: 02/15/2024

Settlement Amount: \$124,509.20

Individual Contribution Amount: \$0.00



Disclosure 24 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around May 2015.
Product Type:	Real Estate Security
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/09/2024
Complaint Pending?	No
Status:	Settled
Status Date:	02/15/2024
Settlement Amount:	\$49,283.75
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around May 2015.
Product Type:	Real Estate Security



Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/09/2024
Complaint Pending?	No
Status:	Settled
Status Date:	02/15/2024
Settlement Amount:	\$49,283.75
Individual Contribution Amount:	\$0.00

Disclosure 25 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around March 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$130,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 12/19/2023

Complaint Pending? No

Status: Settled

Status Date: 02/07/2024

Settlement Amount: \$40,037.62

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around March 2017.

Product Type: Real Estate Security

Alleged Damages: \$130,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 12/19/2023

Complaint Pending? No

Status: Settled

Status Date: 02/07/2024



Settlement Amount: \$40,037.62
Individual Contribution Amount: \$0.00

Disclosure 26 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around January 2018.

Product Type: Real Estate Security

Alleged Damages: \$200,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/03/2024

Complaint Pending? No

Status: Settled

Status Date: 01/30/2024

Settlement Amount: \$61,596.37

Individual Contribution Amount: \$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around January 2018.
Product Type:	Real Estate Security
Alleged Damages:	\$200,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/30/2024
Complaint Pending?	No
Status:	Settled
Status Date:	01/30/2024
Settlement Amount:	\$61,596.37
Individual Contribution Amount:	\$0.00

Disclosure 27 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2015.
Product Type:	Real Estate Security
Alleged Damages:	\$60,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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: 12/21/2023

Complaint Pending? No

Status: Settled

Status Date: 01/29/2024

Settlement Amount: \$60,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2015.

Product Type: Real Estate Security

Alleged Damages: \$60,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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:	12/21/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/29/2024
Settlement Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Disclosure 28 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/14/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/11/2024
Settlement Amount:	\$30,798.18



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around September 2017.

Product Type: Real Estate Security

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/14/2023

Complaint Pending? No

Status: Settled

Status Date: 01/11/2024

Settlement Amount: \$30,798.18

Individual Contribution Amount: \$0.00

Disclosure 29 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.



Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2016 through June 2017.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$150,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/12/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/24/2024
Settlement Amount:	\$56,203.58
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2016 through June 2017.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$150,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/12/2023

Complaint Pending? No

Status: Settled

Status Date: 01/24/2024

Settlement Amount: \$56,203.58

Individual Contribution Amount: \$0.00

Disclosure 30 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2017.

Product Type: Real Estate Security

Alleged Damages: \$75,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No



Customer Complaint Information

Date Complaint Received: 12/14/2023
Complaint Pending? No
Status: Settled
Status Date: 01/11/2024
Settlement Amount: \$23,098.63
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.
Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2017.
Product Type: Real Estate Security
Alleged Damages: \$75,000.00
Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint? Yes
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/14/2023
Complaint Pending? No
Status: Settled
Status Date: 01/11/2024
Settlement Amount: \$23,098.63



Individual Contribution Amount: \$0.00

Disclosure 31 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2017.

Product Type: Real Estate Security

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/13/2023

Complaint Pending? No

Status: Settled

Status Date: 01/10/2024

Settlement Amount: \$30,798.18

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.



Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/13/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/10/2024
Settlement Amount:	\$30,798.18
Individual Contribution Amount:	\$0.00

Disclosure 32 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2016 through September 2016.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$600,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/13/2023

Complaint Pending? No

Status: Settled

Status Date: 01/18/2024

Settlement Amount: \$340,368.55

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2016 through September 2016.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$600,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No



Customer Complaint Information

Date Complaint Received:	12/13/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/18/2024
Settlement Amount:	\$340,368.55
Individual Contribution Amount:	\$0.00

Disclosure 33 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around August 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$275,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/08/2023
Complaint Pending?	No
Status:	Settled
Status Date:	12/27/2023
Settlement Amount:	\$84,695.00



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around August 2017.

Product Type: Real Estate Security

Alleged Damages: \$275,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/08/2023

Complaint Pending? No

Status: Settled

Status Date: 12/27/2023

Settlement Amount: \$84,695.00

Individual Contribution Amount: \$0.00

Disclosure 34 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.



Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
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:	12/12/2023
Complaint Pending?	No
Status:	Settled
Status Date:	01/11/2024
Settlement Amount:	\$30,798.18
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around July 2017.
Product Type:	Real Estate Security
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
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: 12/12/2023

Complaint Pending? No

Status: Settled

Status Date: 01/11/2024

Settlement Amount: \$30,798.18

**Individual Contribution
Amount:** \$0.00

Disclosure 35 of 45

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2017 through March 2018.

Product Type: Real Estate Security

Alleged Damages: \$160,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/16/2023

Complaint Pending? No



Status: Settled
Status Date: 12/27/2023
Settlement Amount: \$49,277.09
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around May 2017 through March 2018.

Product Type: Real Estate Security

Alleged Damages: \$160,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/16/2023

Complaint Pending? No

Status: Settled

Status Date: 12/27/2023

Settlement Amount: \$49,277.09

Individual Contribution Amount: \$0.00



Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 - June 2016.
Product Type:	Real Estate Security
Alleged Damages:	\$40,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/16/2023
Complaint Pending?	No
Status:	Settled
Status Date:	12/19/2023
Settlement Amount:	\$28,862.24
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 - June 2016.
Product Type:	Real Estate Security
Alleged Damages:	\$40,000.00



Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/16/2023

Complaint Pending? No

Status: Settled

Status Date: 12/19/2023

Settlement Amount: \$28,862.24

Individual Contribution Amount: \$0.00

Disclosure 37 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around June 2014 through June 2015.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$500,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/13/2023

Complaint Pending? No

Status: Settled

Status Date: 12/14/2023

Settlement Amount: \$375,501.37

**Individual Contribution
Amount:** \$0.00

Reporting Source: Broker

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around June 2014 through June 2015.

Product Type: Other: Business Development Company

Alleged Damages: \$500,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/13/2023

Complaint Pending? No

Status: Settled

Status Date: 12/14/2023



Settlement Amount: \$375,501.37
Individual Contribution Amount: \$0.00

Disclosure 38 of 45

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the product were misrepresented during sales process on or around May 2015.

Product Type: Real Estate Security

Alleged Damages: \$240,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damaged amount equals complainant's original principal amount invested in the product.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/10/2023

Complaint Pending? No

Status: Settled

Status Date: 12/27/2023

Settlement Amount: \$236,154.25

Individual Contribution Amount: \$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the product were misrepresented during sales process on or around May 2015.
Product Type:	Real Estate Security
Alleged Damages:	\$240,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damaged amount equals complainant's original principal amount invested in the product.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/10/2023
Complaint Pending?	No
Status:	Settled
Status Date:	12/27/2023
Settlement Amount:	\$236,154.25
Individual Contribution Amount:	\$0.00

Disclosure 39 of 45

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2015 through December 2017.
Product Type:	Real Estate Security Other: Business Development Company



Alleged Damages:	\$690,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/28/2023
Complaint Pending?	No
Status:	Settled
Status Date:	12/27/2023
Settlement Amount:	\$138,271.99
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2015 through December 2017.
Product Type:	Other: Business Development Company
Alleged Damages:	\$690,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals complainant's original principal amount invested in the products.
Is this an oral complaint?	Yes
Is this a written complaint?	No



**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 11/28/2023

Complaint Pending? No

Status: Settled

Status Date: 12/27/2023

Settlement Amount: \$138,271.99

**Individual Contribution
Amount:** \$0.00

Disclosure 40 of 45

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2017.

Product Type: Real Estate Security

Alleged Damages: \$390,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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: 11/22/2023

Complaint Pending? No

Status: Settled



Status Date: 01/12/2024
Settlement Amount: \$120,112.90
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2017.

Product Type: Real Estate Security

Alleged Damages: \$390,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the product.

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: 11/22/2023

Complaint Pending? No

Status: Settled

Status Date: 01/12/2024

Settlement Amount: \$120,112.90

Individual Contribution Amount: \$0.00

Disclosure 41 of 45

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2016 through September 2016.
Product Type:	Real Estate Security Other: Business Development Company
Alleged Damages:	\$105,439.00
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:	11/09/2023
Complaint Pending?	No
Status:	Settled
Status Date:	12/11/2023
Settlement Amount:	\$68,868.11
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Complainant alleges that certain features of the products were misrepresented during sales process on or around August 2016 through September 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$105,439.00
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: 11/09/2023

Complaint Pending? No

Status: Settled

Status Date: 12/11/2023

Settlement Amount: \$68,868.11

**Individual Contribution
Amount:** \$0.00

Disclosure 42 of 45

Reporting Source: Firm

**Employing firm when
activities occurred which led
to the complaint:** BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 through May 2016.

Product Type: Real Estate Security
Other: Business Development Company

Alleged Damages: \$300,000.00

**Alleged Damages Amount
Explanation (if amount not
exact):** Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 10/27/2023

Complaint Pending? No

Status: Settled



Status Date: 11/17/2023
Settlement Amount: \$147,460.26
Individual Contribution Amount: \$0.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Complainant alleges that certain features of the products were misrepresented during sales process on or around December 2015 through May 2016.

Product Type: Other: Business Development Company

Alleged Damages: \$300,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged compensatory damage amount equals complainant's original principal amount invested in the products.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 10/27/2023

Complaint Pending? No

Status: Settled

Status Date: 11/17/2023

Settlement Amount: \$147,460.26

Individual Contribution Amount: \$0.00

Disclosure 43 of 45

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Client alleges that certain features of the product were misrepresented during sales process in September 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$191,425.94
Alleged Damages Amount Explanation (if amount not exact):	Alleged compensatory damage amount equals total investment (principal plus income reinvestments) made by client in fund.
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/21/2023
Complaint Pending?	No
Status:	Settled
Status Date:	10/27/2023
Settlement Amount:	\$81,901.85
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK FINANCIAL SECURITIES, INC.
Allegations:	Client alleges that certain features of the product were misrepresented during sales process in September 2016.
Product Type:	Other: Business Development Company
Alleged Damages:	\$191,425.94
Alleged Damages Amount	Alleged compensatory damage amount equals total investment (principal plus



Explanation (if amount not exact): income reinvestments) made by client in fund.

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 07/21/2023

Complaint Pending? No

Status: Settled

Status Date: 10/27/2023

Settlement Amount: \$81,901.85

Individual Contribution Amount: \$0.00

Disclosure 44 of 45

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: BOK FINANCIAL SECURITIES, INC.

Allegations: Client alleges that product features were misrepresented at time of sale. March 2017-November 2022

Product Type: Real Estate Security

Alleged Damages: \$16,018.77

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 09/14/2022

Complaint Pending? No



Status:	Settled
Status Date:	11/03/2022
Settlement Amount:	\$16,018.77
Individual Contribution Amount:	\$8,009.38

Disclosure 45 of 45

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	BOK Financial Securities, Inc.
Allegations:	Claimants allege unsuitable product recommendations. A total of seven transactions are included in the claim and were executed between March 2014 and November 2017.
Product Type:	Other: Business Development Company, REIT
Alleged Damages:	\$1,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Statement of Claim filed by claimants indicates damages of between \$1,000,000 and \$5,000,000.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute Resolution
Docket/Case #:	20-02021
Filing date of arbitration/CFTC reparation or civil litigation:	06/26/2020

Customer Complaint Information

Date Complaint Received:	07/02/2020
Complaint Pending?	No



Status:	Settled
Status Date:	08/19/2021
Settlement Amount:	\$350,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	Settlement entered to avoid uncertainty and costs of arbitration.

End of Report



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