

BrokerCheck Report

Hans Patrick Kulicke Eveillard

CRD# 7190141

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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)

Hans P. Eveillard

CRD# 7190141

This broker is not currently registered.

Report Summary for this Broker



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

Broker Qualifications

This broker is not currently registered.

This broker has passed:

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

Registration History

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

- B** NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
CRD# 2881
SARASOTA, FL
09/2020 - 07/2021

Disclosure Events

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

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	08/31/2020
B Securities Industry Essentials Examination	SIE	07/24/2020

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/28/2020

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2020 - 07/2021	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	SARASOTA, FL

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
02/2022 - Present	Alight Financial Solutions	Registered Representative	Y	Lincolnshire, IL, United States
10/2021 - 02/2022	Uber	Driver	N	Bradenton, FL, United States
12/2019 - 07/2021	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Sarasota, FL, United States
12/2019 - 07/2021	Northwestern Mutual Life Insurance Company	Agent	Y	Milwaukee, WI, United States
08/2017 - 11/2019	SitusAMC	Senior Analyst	N	Saint Petersburg, FL, United States
06/2016 - 08/2017	Primerica	Financial Representative	Y	Orlando, FL, United States
10/2009 - 06/2016	Student	Student	N	Sarasota, FL, 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.

I am not actively working on that business but I did purchase a course package with "Business Lending Blueprint", located at "54 W 40th St #2602, New York NY, 10018". It is not investment related but eventually if a start-up or any small business need funding, I would act as a loan broker to help them with applications and connect them with a lending that will take over and help them. I would use my entity (Eveillard Global Holdings) that has been idle to conduct these business transactions and receive commission payments whenever a business I worked with gets

Registration and Employment History



Other Business Activities, continued

approved for a loan. So in that capacity I am the owner of my business and the only relationship with Business Lending Blueprint is that they are training me and providing me with all the resources I need. I purchased the course in August of 2021 but haven't completed it yet. Once completed, this would take as many hours as I want depending on the success I want to have but I plan on allocating 2 to 3 hours after my job hours and about 6 hours on days where I am not on schedule. I will have no regular obligation toward the academy/group training me and it is self paced. I can pause or stop whenever I want.

I also have a second activity that I do once in a while driving "Uber", located at 1455 Market St #400, San Francisco, CA 94103. It is not investment related. Uber provides ride shares in the transportation industry. I am a driver and I mostly do it on weekends or outside of business hours to bring additional income to take care of my family. I started doing Uber 6 years ago but I stopped for years until I started again at the end of 2021. My duties are to pick up passengers and drop them off at their desired location.



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
Regulatory Event	0	1	0
Customer Dispute	1	0	N/A



Disclosure Event Details

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

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

Regulatory - Final

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

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	11/04/2022
Docket/Case Number:	2021073508501
Employing firm when activity occurred which led to the regulatory action:	n/a
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Eveillard consented to the sanction and to the entry of findings that he refused to appear for on-the-record testimony requested by FINRA. The findings stated that this matter originated from a customer complaint filed with FINRA.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



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

No

Resolution Date:

11/04/2022

Sanctions Ordered:

Bar (Permanent)

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

No

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



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

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

Sanction 1 of 1

Sanction Type:	Bar (Permanent)
Capacities Affected:	All Capacities
Duration:	Indefinite
Start Date:	11/04/2022
End Date:	





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

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
Allegations:	FINRA Arbitration alleges representative made misrepresentations and omissions of material facts in connection with the sale of unregistered Promissory Notes, and alleges misappropriation of customer funds.
Product Type:	Promissory Note
Alleged Damages:	\$303,000.00
Alleged Damages Amount Explanation (if amount not exact):	FINRA Arbitration claimants request that an award be entered against Respondent for compensatory damages of \$303,000; lost income under the "well managed portfolio" theory of recovery; punitive damages; interest at the legal rate; reasonable attorneys fees; and cost of suit and any other relief that is just, fair and equitable.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Arbitration
Docket/Case #:	22-00576
Filing date of arbitration/CFTC reparation or civil litigation:	03/17/2022

Customer Complaint Information

Date Complaint Received:	03/24/2022
Complaint Pending?	Yes
Settlement Amount:	

**Individual Contribution Amount:****Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

Allegations:

Mr [REDACTED] had the unhealthy habit of investing everything he has in risky securities like options and crypto even before he knew me as an advisor, and he had lost a lot of money even prior to us becoming friends. When I approached him for business back in January of 2020, I tried helping him by doing a comprehensive plan for him and helped him reform his habits by getting him protected with life and disability insurance, prepared a budget, provided financial education, have an emergency fund instead of keeping all of his money in risky assets, and told him that once I am securities licensed I would get back to him and help him open an investment portfolio with Northwestern Mutual based on his objectives, risk tolerance, and time horizon. I never actually got a chance to start any investments for him until today because I was still getting certified internally in the firm to start doing investments. However, he always talked to me about his business aspirations and I reciprocated by sharing with him the opportunities I capitalized on to bring in income for myself and my family. Having heard that I was part of pilot program of buying/selling international minutes with Clear Voice which gave me some good profit, he made the business decision to join Clear Voice which I admittedly agreed to facilitate even though I did not try to influence him to join. He proceeded to place a lot of money with Clear Voice's program which was giving him much profits, enough to leave his job as an HVAC technician and opened his own HVAC company. Last year around August of 2021, the owner of Clear Voice apparently did not tell me or [REDACTED] the entire truth about his business and took off which means none of us has an idea of what happened or where he is, and both myself and [REDACTED] supposedly lost money since Clear Voice did not keep their end of the contract by returning the principal. During all of that, he was well aware that his business with Clear Voice was outside of the realm of the advisor/client relationship that we had at Northwestern Mutual where I only did insurance, and that it was his decision to do business with that company. Both [REDACTED] and I thought the other company was legitimate since we verified it online, and we were also acquainted with the owner through church affiliations. However, after a year of him receiving lavish commissions, it became evident that the company (Clear Voice) was not all truthful with us and the owner ghosted us until today, not knowing where he is and what he's done with the money he promised to return at the end of the promissory note. As a result, not knowing where to turn to, he decided to claim damages to Northwestern Mutual alleging that I misappropriated his funds, even though I was never in possession of his



funds.

Product Type: Promissory Note

Alleged Damages: \$303,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

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

**Arbitration/Reparation forum
or court name and location:** FINRA Arbitration

Docket/Case #: 22-00576

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 03/17/2022

Customer Complaint Information

Date Complaint Received: 03/24/2022

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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