

BrokerCheck Report

TODD CHARLES BAUMAN

CRD# 2605865

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®

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

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

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

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

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

TODD C. BAUMAN

CRD# 2605865

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

Registration History

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

- B NEWEST SECURITIES CORPORATION**
CRD# 46464
HENDERSON, NV
02/2005 - 04/2007
- B SYNERGY INVESTMENT GROUP, LLC**
CRD# 46035
CHARLOTTE, NC
01/2004 - 03/2005
- B CAMDEN SECURITIES, INC.**
CRD# 18305
LOS ANGELES, CA
08/2003 - 09/2003

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	06/22/1995

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/12/2004
B Uniform Securities Agent State Law Examination	Series 63	04/12/1995

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/2005 - 04/2007	NEVWEST SECURITIES CORPORATION	46464	HENDERSON, NV
B 01/2004 - 03/2005	SYNERGY INVESTMENT GROUP, LLC	46035	CHARLOTTE, NC
B 08/2003 - 09/2003	CAMDEN SECURITIES, INC.	18305	LOS ANGELES, CA
B 06/2001 - 09/2001	NEVWEST SECURITIES CORPORATION	46464	LAS VEGAS, NV
B 01/1999 - 06/2000	SECURITIES AMERICA, INC.	10205	LAVISTA, NE
B 07/1997 - 01/1999	DELTA EQUITY SERVICES CORPORATION	15650	BOLTON, MA
B 08/1996 - 07/1997	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ
B 06/1995 - 08/1996	RFCA FINANCIAL SERVICES, INC.	16562	TORRANCE, CA

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	Bauman Tax Solutions, LLC	Managing Member	N	Las Vegas, NV, United States
12/2020 - Present	Anchor Mortgage	Loan Originator	Y	Las Vegas, NV, United States
09/2016 - Present	APA, LLC dba Asset Protection of America	Manager	Y	Las Vegas, NV, United States
02/2010 - Present	BAUMAN ADVISORY GROUP, LLC	MANAGING MEMBER/IAR	Y	LAS VEGAS, NV, United States
11/2008 - Present	BAUMAN FINANCIAL GROUP	Officer/Insurance Agent	Y	LAS VEGAS, NV, United States
08/2010 - 09/2016	ASSET PROTECTION OF AMERICA, INC.	Managing Member	N	LAS VEGAS, NV, United States



Disclosure Events

What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0
Customer Dispute	1	N/A



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement
Date Initiated:	02/10/2026
Docket/Case Number:	S-25-3954-25-CO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Bauman Advisory Group LLC
Product Type:	No Product
Allegations:	Todd Bauman was the control person of investment adviser in violation of the Washington Securities Act.
Current Status:	Final
Resolution:	Consent
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:	02/10/2026
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Other: Fines \$7,500.00

**Monetary Sanction 1 of 1**

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$7,500.00
Portion Levied against individual:	\$7,500.00
Payment Plan:	No
Is Payment Plan Current:	
Date Paid by individual:	02/11/2026
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Broker
Regulatory Action Initiated By:	Nevada Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/01/2021
Docket/Case Number:	CIC20-116
Employing firm when activity occurred which led to the regulatory action:	Bauman Advisory Group, LLC
Product Type:	No Product
Allegations:	Failure to maintain accurate financial books and records.
Current Status:	Final
Resolution:	Order



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

Resolution Date: 04/05/2021

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 04/01/2021

Was any portion of penalty waived? No

Amount Waived:



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	RFCA FINANCIAL SERVICES, INC.
Allegations:	UNSUITABILITY; FRAUD; BREACH OF FIDUCIARY DUTY
Product Type:	Investment Contract(s)
Alleged Damages:	\$215,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #99-02704
Date Notice/Process Served:	06/13/1999
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	10/19/2001
Disposition Detail:	RESPONDENT BAUMAN IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANTS \$200,000 IN COMPENSATORY DAMAGES.

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RFCA FINANCIAL SERVICES
Allegations:	COMPANY STOPPED PAYING DIVIDENDS (IS STILL IN BUSINESS)
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$169,000.00

Customer Complaint Information

Date Complaint Received:	10/04/1999
Complaint Pending?	No



Status: Arbitration/Reparation

Status Date: 10/19/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER: 99-02704

Date Notice/Process Served: 06/13/1999

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/19/2001

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$200,000.00

Firm Statement ARBITRATION INFORMATION OBTAINED FROM U-6 FILING. MR. BAUMAN IS JOINTLY AND SEVERALLY LIABLE FOR COMPENSATORY DAMAGES OF 200000.00 AS NOTED IN THE U-6 FILING.

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: RFCA FINANCIAL SERVICES

Allegations: UNSUITABILITY, FRAUD AND BREACH OF FIDUCIARY DUTY

Product Type: Other: INVESTMENT CONTRACT(S) AND PREFERRED STOCK

Alleged Damages: \$215,000.00

Customer Complaint Information

Date Complaint Received: 10/14/1999

Complaint Pending? No

Status: Settled



Status Date: 10/04/1999

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Arbitration Information

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

Docket/Case #: 99-02704

Date Notice/Process Served: 10/04/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2004

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement ON JANUARY 09, 2004 BOTH MR. BAUMAN AND THE CLIENT SIGNED AN AGREEMENT TO SETTLE THE CUSTOMER COMPLAINT FOR \$20,000.00. AMOUNT HAS BEEN PAID IN FULL.

End of Report



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