

BrokerCheck Report

AARON DOUGLAS MAURER

CRD# 3007121

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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:

- o 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
- o 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.



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)

Thank you for using FINRA BrokerCheck.

AARON D. MAURER

CRD# 3007121

Currently employed by and registered with the following Firm(s):**ASCENDANT ALTERNATIVE STRATEGIES, LLC**3811 Bee Cave Road
Suite 210

Austin, TX 78746

CRD# 283881

Registered with this firm since: 06/03/2018

Report Summary for this Broker

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

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

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

This broker has passed:

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

Registration History**This broker was previously registered with the following securities firm(s):****STEPHEN A. KOHN & ASSOCIATES, LTD.**

CRD# 41067

LAKEWOOD, CO

04/2018 - 05/2018

RP CAPITAL LLC

CRD# 134768

Aliso Viejo, CA

01/2009 - 04/2016

TD AMERITRADE, INC.

CRD# 7870

PORTLAND, OR

01/2006 - 12/2008

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

This individual is currently registered with 1 SRO and is licensed in 5 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **ASCENDANT ALTERNATIVE STRATEGIES, LLC**

Main Office Address: **405 LEXINGTON AVENUE
26TH FLOOR
NEW YORK, NY 10174**

Firm CRD#: **283881**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	06/03/2018
FINRA	General Securities Representative	APPROVED	06/03/2018

U.S. State/ Territory	Category	Status	Date
Arizona	Agent	APPROVED	07/06/2018
California	Agent	APPROVED	06/03/2018
New York	Agent	APPROVED	06/29/2018
North Carolina	Agent	APPROVED	08/30/2018
Texas	Agent	APPROVED	09/26/2018

Branch Office Locations

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



Broker Qualifications

Industry Exams this Broker has Passed

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

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	11/08/2006

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
Futures Managed Funds Examination	Series 31	10/01/2005
General Securities Representative Examination	Series 7	09/08/2005
Limited Representative-Equity Trader Exam	Series 55	09/16/2002

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination	Series 66	09/23/2005
Uniform Securities Agent State Law Examination	Series 63	03/12/1998

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



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
04/2018 - 05/2018	STEPHEN A. KOHN & ASSOCIATES, LTD.	41067	LAKEWOOD, CO
01/2009 - 04/2016	RP CAPITAL LLC	134768	Aliso Viejo, CA
01/2006 - 12/2008	TD AMERITRADE, INC.	7870	PORTLAND, OR
09/2005 - 01/2006	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
09/2002 - 02/2003	AUTOMATED TRADING DESK BROKERAGE SERVICES, LLC	36000	MT. PLEASANT, SC
03/2002 - 07/2002	CHICAGO SECURITIES GROUP, LLC	114026	CHICAGO, IL
07/1998 - 07/1999	BURKE CHRISTENSEN & LEWIS SECURITIES INC.	6580	CHICAGO, IL
04/1998 - 04/1998	MADISON SECURITIES, INC.	32176	CHICAGO, IL

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 Dates	Employer Name	Employer Location
06/2018 - Present	Ascendant Alternative Strategies	New York, NY
10/2017 - Present	Institute for Wealth Consultants, Inc.	Dallas, TX
03/2018 - 05/2018	Stephen A. Kohn & Associates, Ltd	Lakewood, CO
03/2016 - 03/2018	CONCERT WEALTH MANAGEMENT, INC.	San Jose, CA
10/2016 - 02/2017	Sowell Financial Services, LLC	North Little Rock, AR
07/2014 - 04/2016	PRIVATE ADVISORY GROUP LLC	ALISO VIEJO, CA
01/2009 - 04/2016	RP CAPITAL LLC	GIG HARBOR, WA
11/2008 - 12/2014	STRATEGIC CAPITAL GROUP	ALISO VIEJO, CA
06/2012 - 10/2013	STRATEGIC CAPITAL ALTERNATIVES LLC	DANA POINT, CA



Registration and Employment History

Employment History, continued

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

1. HORIZON EDUCATION., LOCATED AT 1278 GLENNEYRE STREET #437, LAGUNA BEACH, CA 92651 IS A HIGH SCHOOL, PROFESSIONAL DEVELOPMENT COMPANY SPECIALIZING IN SAT AND ACT PREP TESTS. TITLE- BOARD MEMER, 25% OWNER - NON-SECURITIES RELATED. DEVOTES 4 HOURS PER MONTH DURING NON-TRADING HOURS. START DATE 04/15/2015

2). ETC FOUNDERS FUND, LP LOCATED AT 660 S FIGUEROA ST. #1450, LOS ANGELES, CA 90017 IS A CLEARING AND SETTLEMENT TECHNOLOGY BUSINESS. NON-SECURITIES RELATED. TITLE- GENERAL PARTNER. DEVOTES 1 HOUR PER MONTH DURING NON-TRADING HOURS TO RETAIN A CPA FOR K1 PREPERATION. START DATE- 11/15/2011

3) QELLO, LLC/ Ucast LOCATED AT 9355 WILSHIRE BLVD., BEVERLY HILLS, ,CA 90210 IS AN INTERNET TV NETWORK. TITLE- BOARD MEMBER. PERFORMS BOARD RELATED APPROVALS FOR STRATEGIC VISION. NON-SECURITIES RELATED. DEVOTES 1 HOUR PER MONTH DURING NON-TRADING HOURS. START DATE 2/15/2012

4) TANZLE, INC LOCATED AT 4575 SCOTTS VALLEY RD., SCOTTS VALLEY, CA 95066 IS AN 3D/AR/VR TECHNOLOGY FIRM. TITLE- ADVISOR ON ADVISORY COMMITTEE PROVIDING STRATEGIC VISION AND COUNSEL. NON-SECURITIES RELATED. DEVOTES 2 HOURS PER MONTH DURING NON-TRADING HOURS. START DATE 2/15/2017

5) MAURER ENTERPRISES INC LOCATED AT 29422 DEL PLATA LN., LAGUNA NIGUEL, CA 92677 IS A PERSONAL ENTITY MAINTAINED FOR BUSINESS SUPPOT. TITLE- OWNER. NON-SECURTIES RELATED. DEVOTES 1 HOUR PER MONTH DURING NON-TRADING HOURS. START DATE 1/1/2014

6) GRADIENT ANNUITY BROKERAGE LOCATED AT 3740 SW BURLINGAME CIRCLE, TOPEKA, KS 66609 IS AN INSURANCE COMPANY OFFERING FIXED INDEX ANNUITIES. INVESTMENT RELATED. TITLE- INDEPENDENT INSURANCE AGENT OFFERING FIXED ANNUITIES. DEVOTES 5 HOURS PER MONTH DURING TRADING HOURS. START DATE- 3/25/2017

7) INSTITUTE FOR WEALTH CONSULTANTS, DBA CONCERT LOCATED AT 2 GALLERIA TOWER, 13455 NOEL ROAD, #100, DALLAS, TX 75240 IS A REGISTERED INVESTMENT ADVISORY. INVESTMENT RELATED. TITLE- INDEPENDENT ADVISOR PROVIDING ADVISORY SERVICES TO CLIENTS. DEVOTES 40 HOURS PER MONTH 30 DURING TRADING HOURS. START DATE- 2/15/2018



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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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	1	N/A





Disclosure Event Details

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

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

Customer Dispute - 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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RP Capital LLC
Allegations:	Misrepresentation of facts, risks, and suitability when selling non-registered securities.
Product Type:	Direct Investment-DPP & LP Interests Promissory Note
Alleged Damages:	\$12,319,652.00
Alleged Damages Amount Explanation (if amount not exact):	Additional damages for interest and costs to bring the claim.

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Superior Court of the State of Washington
Location of Court:	King County, Washington
Docket/Case #:	Unknown
Date Notice/Process Served:	08/31/2016
Litigation Pending?	Yes



Firm Statement

The allegations are frivolous and unsupported by facts. The customers came to our firm with the intention of investing in alternative investments. Evidence supports that suitability requirements were met, proper due diligence was done, and the clients acknowledged in writing that they understood the risks of the investments. The claim ignores investments that performed at or above expectations. The intention is to fight these charges.

Reporting Source:

Broker

Employing firm when activities occurred which led to the complaint:

RP Capital LLC

Allegations:

Misrepresentation of fact, risks, and suitability when selling non-registered securities.

Product Type:

Direct Investment-DPP & LP Interests
Promissory Note

Alleged Damages:

\$12,319,652.00

Alleged Damages Amount Explanation (if amount not exact):

Additional damages for interest and cost to bring the claim

Customer Complaint Information

Date Complaint Received:

Complaint Pending?

No

Status:

Evolved into Civil litigation (the individual is a named party)

Status Date:

09/18/2017

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court:

State Court

Name of Court:

District Court of Oregon

Location of Court:

Portland Divison

Docket/Case #:

3:17-cv-00869-HZ

Date Notice/Process Served:

08/31/2016



Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/18/2017
Monetary Compensation Amount:	\$5,795,000.00
Individual Contribution Amount:	\$0.00

End of Report



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