

BrokerCheck Report
George Wallace Smith
 CRD# 4844156

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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.



George W. Smith

CRD# 4844156

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

- IA RIDGEGATE ADVISORS, LLC**
8310 S VALLEY HIGHWAY
SUITE 480
ENGLEWOOD, CO 80112
CRD# 334233
Registered with this firm since: 07/28/2025
- IA AE WEALTH MANAGEMENT, LLC**
8310 S Valley Hwy
Suite 480
Englewood, CO 80112
CRD# 282580
Registered with this firm since: 02/04/2020
- B EMERSON EQUITY LLC**
8310 S Valley Hwy
Suite 480
Englewood, CO 80112
CRD# 130032
Registered with this firm since: 07/01/2020

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
- 35 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 RIDGEGATE FINANCIAL, LLC**
CRD# 148526
GREENWOOD VILLAGE, CO
08/2009 - 04/2022
- B MADISON AVENUE SECURITIES, LLC**
CRD# 23224
Greenwood Village, CO
12/2019 - 07/2020
- B COLORADO FINANCIAL SERVICE CORPORATION**
CRD# 104343
CENTENNIAL, CO
10/2019 - 12/2019

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	3
Termination	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 individual is currently registered with 1 SRO and is licensed in 35 U.S. states and territories through his or her employer.

Employment 1 of 3

Firm Name: **AE WEALTH MANAGEMENT, LLC**
 Main Office Address: **2950 SW MCCLURE ROAD
 SUITE B
 TOPEKA, KS 66614**
 Firm CRD#: **282580**

	U.S. State/ Territory	Category	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	02/04/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	10/21/2024

Branch Office Locations

8310 S Valley Hwy
 Suite 480
 Englewood, CO 80112

Employment 2 of 3

Firm Name: **EMERSON EQUITY LLC**
 Main Office Address: **155 BOVET ROAD, SUITE 725
 SAN MATEO, CA 94402**
 Firm CRD#: **130032**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/01/2020
B	FINRA	General Securities Representative	Approved	07/01/2020

Broker Qualifications



Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	07/13/2020
B	Arkansas	Agent	Approved	07/21/2022
B	California	Agent	Approved	07/14/2020
B	Colorado	Agent	Approved	07/10/2020
B	Connecticut	Agent	Approved	03/30/2022
B	Florida	Agent	Approved	07/13/2020
B	Georgia	Agent	Approved	08/15/2022
B	Idaho	Agent	Approved	02/16/2022
B	Illinois	Agent	Approved	07/30/2021
B	Iowa	Agent	Approved	01/05/2023
B	Louisiana	Agent	Approved	10/25/2021
B	Maine	Agent	Approved	12/02/2022
B	Maryland	Agent	Approved	04/26/2021
B	Massachusetts	Agent	Approved	07/26/2023
B	Michigan	Agent	Approved	05/27/2021
B	Minnesota	Agent	Approved	07/20/2023
B	Nebraska	Agent	Approved	01/04/2021
B	Nevada	Agent	Approved	10/28/2020
B	New Hampshire	Agent	Approved	09/07/2021
B	New Jersey	Agent	Approved	02/15/2023
B	New Mexico	Agent	Approved	09/30/2021

Broker Qualifications



Employment 2 of 3, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	06/29/2021
B	Ohio	Agent	Approved	03/23/2022
B	Oklahoma	Agent	Approved	09/14/2021
B	Oregon	Agent	Approved	12/23/2021
B	Pennsylvania	Agent	Approved	03/16/2021
B	South Carolina	Agent	Approved	07/17/2020
B	South Dakota	Agent	Approved	04/08/2024
B	Tennessee	Agent	Approved	10/05/2021
B	Texas	Agent	Approved	07/28/2021
B	Utah	Agent	Approved	05/01/2023
B	Vermont	Agent	Approved	01/08/2025
B	Virginia	Agent	Approved	10/12/2021
B	Washington	Agent	Approved	02/16/2021
B	Wyoming	Agent	Approved	11/07/2022

Branch Office Locations

EMERSON EQUITY LLC

8310 S Valley Hwy
Suite 480
Englewood, CO 80112

Employment 3 of 3

Firm Name: **RIDGEGATE ADVISORS, LLC**

Main Office Address: **8310 S VALLEY HIGHWAY**



Broker Qualifications

Employment 3 of 3, continued
SUITE 480
ENGLEWOOD, CO 80112
Firm CRD#: 334233

U.S. State/ Territory	Category	Status	Date
IA California	Investment Adviser Representative	Approved	07/28/2025
IA Colorado	Investment Adviser Representative	Approved	07/29/2025
IA Texas	Investment Adviser Representative	Restricted Approval	07/29/2025

Branch Office Locations

8310 S VALLEY HIGHWAY
SUITE 480
ENGLEWOOD, CO 80112



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, 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 General Securities Representative Examination	Series 7TO	02/11/2020
B Direct Participation Programs Representative Examination	Series 22TO	10/07/2019
B Securities Industry Essentials Examination	SIE	05/04/2019

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	06/11/2020
IA Uniform Investment Adviser Law Examination	Series 65	06/09/2004

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 **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 08/2009 - 04/2022	RIDGEGATE FINANCIAL, LLC	148526	GREENWOOD VILLAGE, CO
B 12/2019 - 07/2020	MADISON AVENUE SECURITIES, LLC	23224	Greenwood Village, CO
B 10/2019 - 12/2019	COLORADO FINANCIAL SERVICE CORPORATION	104343	CENTENNIAL, CO
IA 03/2005 - 03/2008	SIMONDAVIS ASSET MANAGEMENT, INC.	133535	DENVER, CO
IA 09/2004 - 02/2005	SENIOR FINANCE & HEALTH, LLC	132655	HIGHLANDS RANCH, CO

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
11/2022 - Present	RIDGEGATE TAX, LLC	Managing Member	N	Englewood, CO, United States
07/2020 - Present	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
12/2019 - Present	AE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	TOPEKA, KS, United States
09/2018 - Present	GIBBORIM MEDIA	MANAGING MEMBER	N	GREENWOOD VILLAGE, CO, United States
09/2008 - Present	RIDGEGATE ADVISORS, LLC	MANAGING MEMBER/CEO	Y	LONE TREE, CO, United States
07/2003 - Present	RIDGEGATE INSURANCE, LLC	MANAGING MEMBER/CEO	Y	LONE TREE, CO, United States
09/2008 - 03/2024	IMPACT 1031- DBA OF RIDGEGATE FINANCIAL, LLC	OWNER	Y	GREENWOOD, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2019 - 07/2020	MADISON AVENUE SECURITIES, LLC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
09/2019 - 12/2019	COLORADO FINANCIAL SERVICE CORPORATION	REGISTERED REPRESENTATIVE	Y	CENTENNIAL, CO, United States

Other Business Activities

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

- 1.) RIDGEGATE ADVISORS, LLC ; YES INVESTMENT RELATED; 8310 S. VALLEY HIGHWAY, SUITE 480, ENGLEWOOD, CO 80112; MANAGING MEMBER/CEO; START DATE 09/2008; APPROX 125 HRS/MONTH APPROX 100 HRS/MONTH DURING TRADING; INVESTMENT ADVISORY.
- 2.) RIDGEGATE INSURANCE, LLC.; YES INVESTMENT RELATED; 6530 S. YOSEMITE ST SUITE 320 GREENWOOD VILLAGE, CO, 80111; INSURANCE SALES; MANAGING MEMBER/CEO; START DATE 07/2003; APPROX 16 HRS/MONTH; APPROX 16 HRS/MONTH DURING TRADING; INSURANCE SALES AS INDEPENDENT AGENT.
- 3.) GIBBORIM MEDIA, LLC (NON-INVESTMENT RELATED) LOCATED AT 8310 S. VALLEY HIGHWAY, SUITE 480, ENGLEWOOD, CO 80112; MANAGING MEMBER; START DATE 09/2018. APPROX 4 HRS/MONTH; 0 HRS/MONTH DURING TRADING; MARKETING SERVICES.
- 4)RIDGEGATE TAX, LLC-NOT INVESTMENT RELATED-TAX PREPARATION, ACCOUNTING, BOOKKEEPING-8310 S. VALLEY HIGHWAY, STE 480, ENGLEWOOD, CO 80112, MANAGING MEMBER, STRATEGIC POSITIONING AND HIGH LEVERL OVERSIGHT. 10 HOURS PER MONTH DURING SECURITIES TRADING HOURS, 11/2022
- 5) RIDGEGATE ALTERNATIVES, LLC-INVESTMENT RELATED, 8310 S. VALLEY HWY, STE 480, ENGLEWOOD, CO 80112, ENTITY THROUGH WHICH SECURITIES RELATED BUSINESS IS OFFERED THROUGH EMERSON EQUITY LLC, FINANCIAL PROFESSIONAL, MARKET AND SELL SECURITIES RELATED PRODUCTS THROUGH BROKER/DEALER EMERSON EQUITY LLC, 40 HRS A MONTH, 40 HRS A MONTH DURING SECURITIES TRADING HOURS, 12/2022
- 6)EMERSON EQUITY, LLC POSITION: Registered Rep NATURE: Broker Dealer INVESTMENT RELATED: Yes NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 07/01/2020 ADDRESS: 155 Bovet Road, Suite 275, San Mateo CA 94402, United States DESCRIPTION: Securities Sales and Services

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.
 -
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	3	0	N/A
Termination	N/A	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.

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:	COLORADO DIVISION OF SECURITIES
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	10/02/2008
Docket/Case Number:	09-L-03
Employing firm when activity occurred which led to the regulatory action:	SIMON DAVIS
Product Type:	Other
Other Product Type(s):	LOANS TO FUND START UP COSTS
Allegations:	WHILE AT SIMON DAVIS, SMITH BORROWED FUNDS FROM SMITH'S AND SIMON DAVIS' CLIENT TO FUND START UP COSTS OF SMITH'S COMPANY, HEALTH AND WEALTH, LLC.
Current Status:	Final
Resolution:	Stipulation and 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: 10/21/2008

Sanctions Ordered: Censure

Other Sanctions Ordered:

Sanction Details: ON 10/21/2008 SMITH ENTERED INTO A CONSENT ORDER AND WAS CENSURED.

Reporting Source: Broker

Regulatory Action Initiated By: STATE OF COLORADO SECURITIES COMMISSIONER

Sanction(s) Sought: Censure

Date Initiated: 04/17/2008

Docket/Case Number: 09-L-03

Employing firm when activity occurred which led to the regulatory action: SIMONDAVIS ASSET MANAGEMENT

Product Type: No Product

Allegations: 14. D(1)(A)ALLEGATIONS THAT I ACTED UNETHICALLY CONCERNING A NEW BUSINESS VENTURE STARTED WITH A LOAN FROM A FRIEND WHO WAS ALSO A CLIENT OF THE FIRM.

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:	10/20/2008
Sanctions Ordered:	Censure Other: NONE
Broker Statement	THE CENSURE WAS NOT INVESTMENT RELATED.



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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	Breach of fiduciary duty; suitability/Regulation Best Interest; material misrepresentations, omission of material information; Federal Securities Law; Colorado Securities Act; Violation of FINRA Rules 2210;, IM-2310-2, and 2020;
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking compensatory damages in the amount of \$350,000.00 or alternatively well managed portfolio damages; statutory damages; interest at statutory rate; attorneys' fees; expert fees; forum fees; punitive damages, and any and all relief available to claimant, in law or equity or otherwise, which may be granted to them by the Arbitration Panel.
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
Docket/Case #:	25-02392
Filing date of arbitration/CFTC reparation or civil litigation:	11/03/2025

Customer Complaint Information

Date Complaint Received:	11/03/2025
Complaint Pending?	Yes
Settlement Amount:	



Individual Contribution Amount:

Broker Statement

I unequivocally deny the customer's allegations of lack of due diligence and improper investment advice. All recommendations were made in accordance with the client's stated investment objectives, risk tolerance, and financial profile, as documented in the account records. The client was provided with appropriate disclosures and executed all necessary documentation prior to the transactions in question. I acted in good faith and in full compliance with firm policies and regulatory standards.

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Emerson Equity LLC
Allegations:	Breach of Fiduciary Duty, Negligence and violation of Regulation Best Interest
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking estimated damages in a total amount of 400,000.00, including compensatory damages, as well as any other additional damages as this panel may see fit.
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
Docket/Case #:	25-02422
Filing date of arbitration/CFTC reparation or civil litigation:	11/04/2025

Customer Complaint Information

Date Complaint Received:	11/06/2025
Complaint Pending?	Yes

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

I unequivocally deny the customer's allegations of lack of due diligence and improper investment advice. All recommendations were made in accordance with the client's stated investment objectives, risk tolerance, and financial profile, as documented in the account records. The client was provided with appropriate disclosures and executed all necessary documentation prior to the transactions in question. I acted in good faith and in full compliance with firm policies and regulatory standards.

Disclosure 3 of 3**Reporting Source:**

Broker

Employing firm when activities occurred which led to the complaint:

EMERSON EQUITY LLC

Allegations:

Violation of Common Law Fraud, Breach of Fiduciary Duty, Negligence

Product Type:

Real Estate Security

Alleged Damages:

\$0.00

Alleged Damages Amount Explanation (if amount not exact):

Claimants are requesting actual damages in an amount according to proof but between 1,000,000.00 and 2,300,000.00; for interest and all claimants costs, expenses, and disbursements associated with their filing of this claim, including their expert witness fees; and for such other relief as the arbitration panel deems just and proper.

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

Docket/Case #:

25-01880

Filing date of arbitration/CFTC reparation or civil litigation:

09/08/2025

Customer Complaint Information



Date Complaint Received: 09/09/2025

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

I unequivocally deny the customer's allegations of lack of due diligence and improper investment advice. All recommendations were made in accordance with the client's stated investment objectives, risk tolerance, and financial profile, as documented in the account records. The client was provided with appropriate disclosures and executed all necessary documentation prior to the transactions in question. I acted in good faith and in full compliance with firm policies and regulatory standards.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Employer Name: SIMONDAVIS ASSET MANAGEMENT, INC.

Termination Type: Discharged

Termination Date: 03/28/2008

Allegations: VIOLATIONS OF INTERNAL POLICIES & PROCEDURES. VIOLATION OF INTERNAL CODE OF ETHICS. POSSIBLE VIOLATION OF STATE AND SEC RULES AND REGULATIONS.

Product Type: No Product

Other Product Types:

Reporting Source: Broker

Employer Name: SIMONDAVIS ASSET MANAGEMENT

Termination Type: Discharged

Termination Date: 03/28/2008

Allegations: ALLEGATIONS THAT I ACTED UNETHICALLY BY STARTING A BUSINESS WITH A PARTNER AND FRIEND WHO WAS ALSO A CLIENT OF THE FIRM.

Product Type: No Product

Broker Statement WHILE THE INTENDED NEW BUSINESS ACTIVITY WAS WELL KNOWN TO THE FIRM, THE FIRM HAD NOT YET GIVEN FORMAL APPROVAL TO LAUNCH OF THE BUSINESS ACTIVITY. AFTER LOOKING INTO IT, THERE WERE NO FINDINGS BY THE STATE REGULATORS.

End of Report



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