

BrokerCheck Report

JAMES ROBERT AUKERMAN

CRD# 5408091

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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.

**JAMES R. AUKERMAN**

CRD# 5408091

Currently employed by and registered with the following Firm(s):**IA AVANTAX ADVISORY SERVICES**

TRAVERSE CITY, MI

CRD# 104556

Registered with this firm since: 05/27/2010

B AVANTAX INVESTMENT SERVICES, INC.

TRAVERSE CITY, MI

CRD# 13686

Registered with this firm since: 10/03/2007

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
- 3 U.S. states and territories

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):**

No information reported.

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? **No**



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

Employment 1 of 2

Firm Name: **AVANTAX ADVISORY SERVICES**

Main Office Address: **3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019**

Firm CRD#: **104556**

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	05/27/2010

Branch Office Locations

TRAVERSE CITY, MI

Employment 2 of 2

Firm Name: **AVANTAX INVESTMENT SERVICES, INC.**

Main Office Address: **3200 OLYMPUS BLVD
SUITE 100
DALLAS, TX 75019**

Firm CRD#: **13686**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/03/2007

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	11/14/2007

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New York	Agent	Approved	04/29/2020
B	Utah	Agent	Approved	01/24/2023

Branch Office Locations

AVANTAX INVESTMENT SERVICES, INC.
TRAVERSE CITY, MI



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, 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/02/2007

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	11/13/2007

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 **2** professional designation(s).

Certified Financial Planner
Personal Financial Specialist

This representative holds or did hold **2** 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
No information reported.			

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
04/2010 - Present	AVANTAX ADVISORY SERVICES	INVESTMENT ADVISER REPRESENTATIVE	Y	TRAVERSE CITY, MI, United States
07/2008 - Present	AVANTAX INSURANCE AGENCY, LLC	INSURANCE AGENT	Y	TRAVERSE CITY, MI, United States
08/2007 - Present	AVANTAX INVESTMENT SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	TRAVERSE CITY, MI, 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) James Robert Aukerman~'NIR'~4155 Huntington Dr.~Traverse City~MI~49686~Attorney/Legal Practice~Owner/Sole Proprietor~6/16/2010~5hrs~0hrs~Legal Services.

2) TC Tax Law and CPA~'NIR'~4155 Huntington Dr~Traverse City~MI~49686~Tax Preparation/Accounting~Tax Preparation/Accounting~9/1/2012~3hrs~3hrs~Tax preparation & tax planning. 3) AVANTAX INSURANCE AGENCY, INC.; POSITION: Equity Indexed Annuities; ~NIR~; # OF HRS: 2 SECURITIES TRADING HOURS: 1 ST DT: 02/23/22 ADDR: 4155 Huntington Dr, Traverse City MI 49686 DESCR: Sales and monitoring of equity indexed annuities.

3) JAMES ROBERT FINANCIAL SERVICES POSITION: Other NATURE: I used this name to open an individual 401k plan for my Avantax business. I no longer use it as a trade name or as a marketing name.; ~NIR~; # OF HRS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/01/08 ADDR: 4155 Huntington Drive, Traverse City MI 49686 DESCR: operational/marketing name only.



Registration and Employment History

Other Business Activities, continued

4) TC TAX LAW AND CPA POSITION: Tax Planning; advise on tax return prepared by client NATURE: Tax Planning ~NIR~; # OF HRS: 1
SECURITIES TRADING HOURS: 1 START DATE: 09/01/2012; ADDR: 4155 Huntington Dr, Traverse City MI 49686 DESCR: Tax planning;
possibly advise client who is preparing his/her own return.

5) JAMES AUKERMAN

POSITION: Agent NATURE: Provide assistance to people turning 65 of their Medicare Supplement and Medicare Advantage choices for 2023 and later years. I would be contracted with Aetna Insurance as a producer and maybe 1 or 2 other companies like Blue Cross/Blue Shield I would do no marketing. I would do this only for friends whom I happen to learn will turn 65. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1
SECURITIES TRADING HOURS: 1 START DATE: 11/09/2022
ADDRESS: 4155 Huntington Drive, Traverse City MI 49686, United States
DESCRIPTION: I would cover which prescriptions they might need, to what extent they would want to pay for certain premiums, deductibles, etc. for a given amount of coverage. I would help with the paperwork to get them signed up with a plan.

6) SCORE POSITION: SCORE mentor/counsellor. NATURE: SCORE mentor/counselor. SCORE mentors/counsels primarily persons who want help in knowing the steps in planning to start a business. Occasionally it helps provide information to existing small businesses as well. SCORE encourages its clients to write a business plan for their clients' use, and SCORE mentors review the plans and offer suggestions. Its website is Score.org SCORE is not a for-profit organization.; ~NIR~; # OF HRS: 5 SECURITIES TRADING HOURS: 5 START DATE: 08/20/14 ADDR: 202 East Grandview Parkway, Traverse City MI 49684 DESCR: Mentor/counselor. None of the SCORE mentors/counselors accept any compensation for their work.

7) Avantax Insurance Agency, Inc.; Equity Indexed Annuities; Sales and monitoring of equity indexed annuities; NIR; 1; 02/23/2022; 4155 Huntington Dr Traverse City MI 49686-3723; Sales and monitoring of equity indexed annuities

End of Report



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