



IAPD Report

KIRK MICHAEL TUSHAUS

CRD# 1024722

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

KIRK MICHAEL TUSHAUS (CRD# 1024722)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **04/29/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TUSHAUS WEALTH MANAGEMENT	CRD# 314067	04/19/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration. Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	TUSHAUS FINANCIAL MANAGEMENT GROUP, L.L.C.	311456	SCOTTSDALE, AZ	12/22/2020 - 12/06/2021
IA	OPTIMIST RETIREMENT, LLC	119086	Scottsdale, AZ	09/11/2017 - 08/16/2021
B	LASALLE ST SECURITIES, L.L.C.	7191	SCOTTSDALE, AZ	03/07/2014 - 09/12/2017

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TUSHAUS WEALTH MANAGEMENT**
Main Address: 9141 E HIDDEN SPUR TRAIL
SCOTTSDALE, AZ 85255
Firm ID#: 314067

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	05/03/2022
IA	California	Investment Adviser Representative	Approved	04/19/2022
IA	Colorado	Investment Adviser Representative	Approved	04/20/2022
IA	Kansas	Investment Adviser Representative	Approved	05/27/2022
IA	South Dakota	Investment Adviser Representative	Approved	03/14/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	04/19/2022

Branch Office Locations

TUSHAUS WEALTH MANAGEMENT
9141 E HIDDEN SPUR TRAIL
SCOTTSDALE, AZ 85255







Qualifications

PASSED INDUSTRY EXAMS





This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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



Principal/Supervisory Exams

	Exam	Category	Date
	Registered Options Principal Examination (S4)	Series 4	01/23/2004
	Municipal Securities Principal Examination (S53)	Series 53	01/02/2004
	Financial and Operations Principal Examination (S27)	Series 27	02/06/1996
	General Securities Principal Examination (S24)	Series 24	01/08/1996

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	09/12/2017
	Futures Managed Funds Examination (S31)	Series 31	08/21/2012
	Interest Rate Options Examination (S5)	Series 5	12/11/1982
	General Securities Representative Examination (S7)	Series 7	10/19/1981

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	03/14/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/1982



PROFESSIONAL DESIGNATIONS

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

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/22/2020 - 12/06/2021	TUSHAUS FINANCIAL MANAGEMENT GROUP, L.L.C.	CRD# 311456	SCOTTSDALE, AZ
IA	09/11/2017 - 08/16/2021	OPTIMIST RETIREMENT, LLC	CRD# 119086	Scottsdale, AZ
B	03/07/2014 - 09/12/2017	LASALLE ST SECURITIES, L.L.C.	CRD# 7191	SCOTTSDALE, AZ
IA	03/07/2014 - 09/12/2017	LASALLE ST. INVESTMENT ADVISORS, L.L.C.	CRD# 109701	SCOTTSDALE, AZ
IA	08/31/2017 - 08/31/2017	WILLIAMS PALMER	CRD# 119086	Scottsdale, AZ
B	09/28/1995 - 08/20/2014	ARMA FINANCIAL SERVICES, INC.	CRD# 18033	SCOTTSDALE, AZ
IA	05/03/2012 - 06/23/2014	ARMA FINANCIAL SERVICES, INC.	CRD# 18033	SCOTTSDALE, AZ
IA	11/09/2004 - 04/11/2012	ARMA FINANCIAL SERVICES, INC.	CRD# 18033	SCOTTSDALE, AZ
IA	10/02/1995 - 11/08/2004	ARMA FINANCIAL SERVICES, INC.	CRD# 18033	SCOTTSDALE, AZ
B	05/05/1995 - 09/06/1995	J. W. GARRETT AND COMPANY	CRD# 7799	PHOENIX, AZ
B	07/06/1993 - 04/25/1995	JOHN G. KINNARD AND COMPANY, INCORPORATED	CRD# 466	MINNEAPOLIS, MN
B	09/04/1990 - 07/09/1993	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	12/08/1989 - 09/04/1990	BOETTCHER & COMPANY, INC.	CRD# 101	
B	11/01/1988 - 12/19/1989	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	08/10/1988 - 10/21/1988	ARMA FINANCIAL SERVICES, INC.	CRD# 18033	
B	01/03/1985 - 05/04/1988	KIDDER, PEABODY & CO. INCORPORATED	CRD# 7613	
B	12/24/1981 - 12/31/1984	DEAN WITTER REYNOLDS INC.	CRD# 7556	



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2022 - Present	Tushaus Group LLC	Investment Adviser Representative	Y	Scottsdale, AZ, United States
12/2020 - 01/2022	Tushaus Wealth Management LLC	Chairman & Investment Adviser Representative	Y	Scottsdale, AZ, United States
08/2017 - 08/2021	WILLIAMS PALMER/OPTIMIST RETIREMENT GROUP	Financial Advisor	Y	Scottsdale, AZ, United States
03/2014 - 09/2017	LASALLE STREET INVESTMENT ADVISORS/ SECURITES	Financial Advisor & Registered Representative	Y	Scottsdale, AZ, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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.

No information reported.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES, INC.

Allegations: SUITABILITY; MISREPRESENTATION; BRCH OF FIDUCIARY DT; ACCOUNT RELATED-NEGLIGENCE

Product Type:

Alleged Damages: \$202,314.91

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: UNKNOWN - CASE #94-02890

Date Notice/Process Served: 08/19/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/20/1995

Disposition Detail: CASE CLOSED,SETTLED/OTHER ACTUAL/COMPENSATORY DAMAGES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; INTEREST, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; ATTORNEY'S FEES, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY; OTHER COSTS, RELIEF REQUEST IS WITHDRAWN/SETTLED/ETC, AWARD AMOUNT JOINTLY AND SEVERALLY;



OTHER MONETARY RELIEF, RELIEF REQUEST IS
WITHDRAWN/SETTLED/ETC,
AWARD AMOUNT JOINTLY AND SEVERALLY

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES, INC.
Allegations: [CUSTOMER] ALLEGES UNSUITABLE INVESTMENTS IN LISTED AND OTC EQUITIES. DAMAGES SOUGHT ARE \$70,000.00
Product Type:
Alleged Damages: \$202,314.91

Customer Complaint Information

Date Complaint Received:
Complaint Pending? No
Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 94-02890
Date Notice/Process Served: 08/19/1994
Arbitration Pending? No
Disposition: Settled
Disposition Date: 06/20/1995
Monetary Compensation Amount: \$96,200.00
Individual Contribution Amount: \$5,000.00
Firm Statement THE FIRM AND THE CLIENT AGREED TO SETTLE THIS MATTER FOR \$95,000.00 IN ORDER TO AVOID THE ONGOING COSTS AND DELAYS ASSOCIATED WITH THE ARBITRATION PROCESS.
NOT PROVIDED

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: KEMPER SECURITIES, INC.
Allegations: ALLEGED UNSUITABLE INVESTMENTS, FRAUD, SALE OF UNREGISTERED SECURITIES, NEGLIGENCE AND BREACH OF FIDUCIARY



DUTY, ALLEGED DAMAGES OF \$202,314.91

Product Type: Equity - OTC

Alleged Damages: \$202,314.91

Customer Complaint Information

Date Complaint Received: 08/19/1994

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/28/1995

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE #94-02890

Date Notice/Process Served: 08/19/1994

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/28/1995

Monetary Compensation Amount: \$96,200.00

Individual Contribution Amount: \$5,000.00

Broker Statement

MR.[CUSTOMER] EXECUTED A RELEASE AND SETTLEMENT WITHOUT ADMISSIONS. KEMPER SECURITIES, INC., ON BEHALF OF ITSELF, KIRK TUSHAUS, [THIRD PARTY] AND [THIRD PARTY] PAID \$95,000 TO [CUSTOMER] IN ORDER TO AVOID THE ONGOING COSTS ASSOCIATED WITH THE ARBITRATION PROCESS. [THIRD PARTY] AND COMPANY PAID \$1,200 TO [CUSTOMER] AND KIRK TUSHAUS CONTRIBUTED \$5,000 TO THE AMOUNT PAID BY KEMPER NOT PROVIDED



End of Report

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