



## IAPD Report

### PAUL CORKIN TANNER

CRD# 1147061

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### PAUL CORKIN TANNER (CRD# 1147061)

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 **12/11/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LAS OLAS CAPITAL ADVISORS, LLC	CRD# 175077	08/19/2015
B	LAS OLAS CAPITAL PARTNERS, LLC	CRD# 297905	03/01/2019

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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
B	CAPITAL GUARDIAN, LLC	137919	ft lauderdale, FL	08/03/2015 - 05/02/2017
IA	UBS FINANCIAL SERVICES INC.	8174	FT. LAUDERDALE, FL	07/03/2008 - 08/11/2015
B	UBS FINANCIAL SERVICES INC.	8174	FT. LAUDERDALE, FL	05/15/2008 - 08/11/2015

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	4



## 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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **LAS OLAS CAPITAL PARTNERS, LLC**

Main Address: 888 E LAS OLAS BLVD.  
SUITE 200  
FT. LAUDERDALE, FL 33301

Firm ID#: 297905

Regulator	Registration	Status	Date
 FINRA	General Securities Representative	Approved	03/01/2019
 Florida	Agent	Approved	04/17/2019
 New York	Agent	Approved	06/04/2020

#### Branch Office Locations

888 E LAS OLAS BLVD.  
SUITE 200  
FT. LAUDERDALE, FL 33301

#### Employment 2 of 2

Firm Name: **LAS OLAS CAPITAL ADVISORS, LLC**

Main Address: 888 EAST LAS OLAS BLVD  
SUITE 200  
FORT LAUDERDALE, FL 33301

Firm ID#: 175077

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	08/19/2015
 Texas	Investment Adviser Representative	Restricted Approval	06/10/2017

#### Branch Office Locations



## Qualifications

### **LAS OLAS CAPITAL ADVISORS, LLC**

888 EAST LAS OLAS BLVD  
SUITE 200  
FORT LAUDERDALE, FL 33301



## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	08/25/1995
 Municipal Securities Principal Examination (S53)	Series 53	09/14/1987

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	05/02/2017
 Futures Managed Funds Examination (S31)	Series 31	04/04/1996
 General Securities Representative Examination (S7)	Series 7	06/18/1983

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/21/1984

### 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
B	08/03/2015 - 05/02/2017	CAPITAL GUARDIAN, LLC	CRD# 137919	ft lauderdale, FL
IA	07/03/2008 - 08/11/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	FT. LAUDERDALE, FL
B	05/15/2008 - 08/11/2015	UBS FINANCIAL SERVICES INC.	CRD# 8174	FT. LAUDERDALE, FL
IA	06/18/2004 - 05/12/2008	LEHMAN BROTHERS INC.	CRD# 7506	PALM BEACH, FL
B	05/28/2004 - 05/12/2008	LEHMAN BROTHERS INC.	CRD# 7506	PALM BEACH, FL
IA	02/27/1995 - 06/03/2004	MORGAN STANLEY	CRD# 7556	FTLAUDERDALE, FL
B	02/27/1995 - 06/03/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	07/31/1993 - 03/09/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	12/13/1989 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	11/16/1987 - 12/21/1989	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	MEMPHIS, TN
B	11/20/1985 - 10/27/1987	FIRST LAUDERDALE SECURITIES, INC.	CRD# 13909	
B	06/22/1983 - 11/18/1985	FIRST INTERREGIONAL EQUITY CORP.	CRD# 7486	

### 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
07/2018 - Present	Las Olas Capital Partners, LLC	President	Y	Fort Lauderdale, FL, United States
08/2015 - Present	LAS OLAS CAPITAL ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE, CCO	Y	FORT LAUDERDALE, FL, United States
08/2015 - 05/2017	CAPITAL GUARDIAN, LLC	REGISTERED REPRESENTATIVE	Y	FORT LAUDERDALE, FL, United States



## Registration & Employment History

### 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.

- 1) COMMUNITY FOUNDATION OF BROWARD; INVESTMENT RELATED; LOCATED AT 910 EAST LAS OLAS BLVD, SUITE 200, FT LAUDERDALE, FLORIDA; BOARD MEMBER, VOTING MEMBER ON THE INVESTMENT COMMITTEE; START DATE 09/2003; TIME DEVOTED 1 HOUR QUARTERLY; DUTIES INVOLVE EVALUATING AND SELECTING CONSULTANTS WHO OVERSEE MANAGERS.
- 2) MANAGER DORIS INVESTMENTS II, LLC; INVESTMENT RELATED; LOCATED AT 888 E. LAS OLAS BLVD, SUITE 200 FORT LAUDERDALE, FL. START DATE 11/2015; TIME DEVOTED 1 HOUR QUARTERLY; DUTIES INVOLVE INVESTMENT DECISIONS.
- 3) MANAGER DORIS INVESTMENTS III, LLC; INVESTMENT RELATED; LOCATED AT 888 E. LAS OLAS BLVD, SUITE 200 FORT LAUDERDALE, FL. START DATE 11/2015; TIME DEVOTED 1 HOUR QUARTERLY; DUTIES INVOLVE INVESTMENT DECISIONS.
- 4) PRAETORIAN GLOBAL INC.; INVESTMENT RELATED; BOARD MEMBER; INTELLECTUAL PROPERTY AND AG TECH; STARTED 09/2022; DEVOTES 2 HOURS PER QUARTER
- 5) LAS OLAS CAPITAL- GO GREEN GP, LLC; INVESTMENT RELATED; GENERAL PARTNER AND MANAGER; STARTED 01/2022; DEVOTES 10 HOURS PER MONTH
- 6) LAS OLAS CAPITAL- REAL ESTATE FUND IV GP, LLC; INVESTMENT RELATED; GENERAL PARTNER AND MANAGER; STARTED 01/2022; DEVOTES 10 HOURS PER MONTH
- 7) LAS OLAS CAPITAL- REAL ESTATE FUND VI GP, LLC; INVESTMENT RELATED; GENERAL PARTNER AND MANAGER; STARTED 01/2022; DEVOTES 10 HOURS PER MONTH
- 8) LAS OLAS CAPITAL MANAGEMENT, LLC; INVESTMENT RELATED; MANAGER OF THE FUND MANAGEMENT COMPANY STARTED 01/2022; DEVOTES 10 HOURS PER MONTH
- 9) STILES LAS OLAS CAPITAL SEP GP, LLC; INVESTMENT RELATED; GENERAL PARTNER & MANAGER; STARTED 04/2024; DEVOTES 10 HOURS PER MONTH
- 10) LAS OLAS VC I GP, LLC; INVESTMENT RELATED; FT. LAUDERDALE, FL; FORMER ASSOCIATE MEMBER; FT. LAUDERDALE, FL
- 11) LAS OLAS VC II GP, LLC; INVESTMENT RELATED; FT. LAUDERDALE, FL; ASSOCIATE MEMBER; FT. LAUDERDALE, FL



## 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	4

### 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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	LEHMAN BROTHERS INC.
Allegations:	CLIENT VERBALLY COMPLAINED THAT AN ASSET BACKED CDO HE HAD PURCHASED MORE THAN A YEAR EARLIER WAS UNSUITABLE.
Product Type:	Debt - Asset Backed
Alleged Damages:	\$0.00

### Customer Complaint Information

Date Complaint Received:	07/05/2007
Complaint Pending?	No
Status:	Settled
Status Date:	11/30/2007
Settlement Amount:	\$459,113.00
Individual Contribution Amount:	\$0.00
Firm Statement	NO CASH WAS PAID TO THE CUSTOMER; THE MATTER WAS RESOLVED BY SWAPPING HIS CDO FOR A BETTER PERFORMING COLLATERALIZED INVESTMENT, FOR WHICH LEHMAN BROTHERS INCURRED A LOSS. THIS SAME MATTER/RESOLUTION WAS ALSO REPORTED AGAINST ANOTHER INVESTMENT REPRESENTATIVE WHO HANDLED APPLIED MEDICO'S ACCOUNT WITH MR. TANNER.



**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** LEHMAN BROTHERS  
**Allegations:** CLIENT VERBALLY COMPLAINED THAT AN ASSET BACKED CDO HE HAD PURCHASED MORE THAN A YEAR EARLIER WAS UNSUITABLE.

**Product Type:** Debt - Asset Backed  
**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 07/05/2007

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/30/2007

**Settlement Amount:** \$459,113.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** NO CASH WAS PAID TO THE CUSTOMER; THE MATTER WAS RESOLVED BY SWAPPING HIS CDO FOR A BETTER PERFORMING COLLATERALIZED INVESTMENT, FOR WHICH LEHMAN BROTHERS INCURRED A LOSS. THIS SAME MATTER/RESOLUTION WAS ALSO REPORTED AGAINST ANOTHER INVESTMENT REPRESENTATIVE WHO HANDLED APPLIED MEDICO'S ACCOUNT WIHT MR. TANNER.

### Disclosure 2 of 4

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** LEHMAN BROTHERS INC.

**Allegations:** CLIENT COMPLAINED THAT HE HAD PREVIOUSLY ACCEPTED A RECOMMENDATION TO INVEST A CASH POSITION WITH AN OUTSIDE MONEY MANAGER, BUT THAT THE FUNDS WERE NEVER INVESTED. CLIENT IS REQUESTING THE NET PERFORMANCE DIFFERENTIAL BETWEEN THE MANAGER'S PERFORMANCE AND THE MONEY MARKET RATE OF RETURN THAT HE RECEIVED ON HIS CASH POSITION.

**Product Type:** Other

**Other Product Type(s):** NO PRODUCT

**Alleged Damages:** \$15,742.00

### Customer Complaint Information

**Date Complaint Received:** 03/31/2008

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 3 of 4**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.  
**Allegations:** CLAIMANT ALLEGES COMMON LAW AND STATUTORY SECURITIES VIOLATIONS IN CONNECTION WITH BOND TRANSACTIONS FROM MID-2001 THROUGH EARLY 2004.  
**Product Type:** Other  
**Other Product Type(s):** BONDS  
**Alleged Damages:** \$500,000.00

**Customer Complaint Information**

**Date Complaint Received:** 12/06/2004  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 05/09/2006  
**Settlement Amount:** \$175,000.00  
**Individual Contribution Amount:** \$0.00  
**Firm Statement** THE CLAIMS ORIGINALLY ASSERTED BY THE CUSTOMER WERE DENIED. THE SETTLEMENT REPRESENTS A CREDIT BY THE FIRM OF AN ALLEGED OVERCHARGE OF FEES BILLED TO THE CUSTOMER'S MANAGED ACCOUNTS.

---

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.  
**Allegations:** CLAIMANT ALLEGES UNSUITABLE AND UNAUTHORIZED TRADING IN CONNECTION WITH BOND TRANSACTIONS FROM MID-2001 THROUGH EARLY 2004.  
**Product Type:** Other  
**Other Product Type(s):** BONDS  
**Alleged Damages:** \$500,000.00

**Customer Complaint Information**

**Date Complaint Received:** 12/06/2004  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 05/09/2006  
**Settlement Amount:** \$175,000.00  
**Individual Contribution** \$0.00

**Amount:****Disclosure 4 of 4**

**Reporting Source:** Firm  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC  
**Allegations:** ALLEGES UNAUTHORIZED TRADING CAUSING LOSSES IN EXCESS OF 200,000.00 ON DECEMBER 11, 2001. OUR INITIAL REVIEW SUGGESTS THE COMPLAINT LACKS MERIT.  
**Product Type:** Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$200,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/04/2002  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 01/26/2004  
**Settlement Amount:**  
**Individual Contribution Amount:**  
**Firm Statement** CLAIMANT FILED AN ARBITRATION CLAIM, BUT DID NOT NAME MR. TANNER AS A RESPONDENT.

---

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** MORGAN STANLEY DW INC.  
**Allegations:** ALLEGES UNAUTHORIZED TRADING CAUSING LOSSES IN EXCESS OF 200,000.00 ON DECEMBER 11, 2001. OUR INITIAL REVIEW SUGGESTS THE COMPLAINT LACKS MERIT.  
**Product Type:** Equity Listed (Common & Preferred Stock)  
**Alleged Damages:** \$200,000.00

**Customer Complaint Information**

**Date Complaint Received:** 06/04/2002  
**Complaint Pending?** No  
**Status:** Closed/No Action  
**Status Date:** 01/26/2004  
**Settlement Amount:**  
**Individual Contribution Amount:**



## End of Report

This page is intentionally left blank.