



IAPD Report

ROBERT B JORGENSEN

CRD# 1200214

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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

ROBERT B JORGENSEN (CRD# 1200214)

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 **03/16/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GLOBAL MACRO ASSET MANAGEMENT LLC	CRD# 171568	03/18/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	GLOBAL MACRO ASSET MANAGEMENT LLC	171568	RENO, NV	03/21/2022 - 12/31/2024
IA	BROOKSTONE CAPITAL MANAGEMENT LLC	141413	Las Vegas, NV	03/19/2020 - 03/23/2022
IA	SPIRE WEALTH MANAGEMENT, LLC	113908	Reno, NV	08/29/2016 - 04/30/2019

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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GLOBAL MACRO ASSET MANAGEMENT LLC**
Main Address: 3753 HOWARD HUGHES PARKWAY
SUITE 200
LAS VEGAS, NV 89169
Firm ID#: 171568

Regulator	Registration	Status	Date
 Nevada	Investment Adviser Representative	Approved	03/18/2025

Branch Office Locations

GLOBAL MACRO ASSET MANAGEMENT LLC
RENO, NV



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



Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/08/2015
 National Commodity Futures Examination (S3)	Series 3	10/23/1984

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	05/31/2018
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/11/2016

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	03/21/2022 - 12/31/2024	GLOBAL MACRO ASSET MANAGEMENT LLC	CRD# 171568	RENO, NV
IA	03/19/2020 - 03/23/2022	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	Las Vegas, NV
IA	08/29/2016 - 04/30/2019	SPIRE WEALTH MANAGEMENT, LLC	CRD# 113908	Reno, NV
B	03/01/2016 - 04/30/2019	SPIRE SECURITIES, LLC	CRD# 144131	Reno, NV
B	12/08/2015 - 01/04/2016	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	04/29/2010 - 10/15/2010	H. ROARK & ASSOCIATES, INC.	CRD# 112898	RENO, NV
B	05/14/2008 - 01/20/2009	FIRST ALLIED SECURITIES, INC.	CRD# 32444	RENO, NV
IA	02/15/2006 - 12/31/2007	ASCENTIA CAPITAL PARTNERS, LLC	CRD# 130651	RENO, NV
IA	01/12/2004 - 02/02/2006	LEGACY ADVISORS, LLC	CRD# 113908	RENO, NV
B	01/09/2004 - 12/31/2005	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	RENO, NV
B	12/15/2003 - 01/08/2004	PERSHING LLC	CRD# 7560	JERSEY CITY, NJ
IA	03/24/2003 - 01/08/2004	LOCKWOOD ADVISORS INC	CRD# 106108	MALVERN, PA
B	03/21/2003 - 12/15/2003	LOCKWOOD FINANCIAL SERVICES, INC.	CRD# 40655	MALVERN, PA
IA	10/16/2002 - 12/31/2002	PACIFIC WEALTH MANAGEMENT	CRD# 113217	SAN DIEGO, CA
B	10/24/2001 - 05/16/2002	RUNMONEY FINANCIAL SERVICES, INC.	CRD# 113054	SPOKANE VALLEY, WA
B	04/18/2000 - 06/30/2000	LOCKWOOD FINANCIAL SERVICES, INC.	CRD# 40655	MALVERN, PA



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	02/17/1998 - 09/14/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, NC
B	07/31/1993 - 03/03/1998	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	04/11/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/20/1983 - 04/11/1988	E. F. HUTTON & COMPANY INC	CRD# 235	

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
01/2020 - Present	Brookstone Capital Management	Investment Advisor Representative	Y	Wheaton, IL, United States
05/2019 - 12/2019	Unemployed	Unemployed	N	Reno, NV, United States
08/2016 - 04/2019	Spire Wealth Management, LLC	IAR	Y	7901 Jones Branch Drive #800, VA, United States
02/2016 - 07/2016	Unemployed	Unemployed	Y	Reno, NE, 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.

Business: NV Legal Doc's, LLC
 Position: Consultant
 Firms Business: Document Preparation Firm
 Ownership: 10%
 Business Activity: 5-10 hours per month advising on marketing



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: Firm

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: THE SMITH BARNEY CLINET'S REPRESENTATIVE ALLEGED NEGLIGENT ADVICE RELATING TO AN IRA DISTRIBUTION WHICH RESULTED IN A TAX LIABILITY, PRODUCT - EQUITIES: ALLEGED DAMAGES IN EXCESS OF \$71,334.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/14/1998

Complaint Pending? No

Status: Denied

Status Date: 06/10/1998

Settlement Amount:

Individual Contribution Amount:

Firm Statement WE FOUND THE CLAIM TO BE WITHOUT MERIT AND DENIED IT.
NOT PROVIDED



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SMITH BARNEY

Allegations: NEGLIGENT ADVICE RELATING TO AN IRA DISTRIBUTION WHICH RESULTED IN A TAX LIABILITY. PRODUCT EQUITIES. ALLEGED DAMAGES IN EXCESS OF \$71,334. EMPLOYING FIRM: SMITH BARNEY

Product Type: No Product

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/14/1998

Complaint Pending? No

Status: Denied

Status Date: 06/10/1998

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Disposition: Dismissed

Disposition Date: 06/10/2008

Broker Statement

CLAIM DENIED BY NY EXCHANGE: DISMISSED
CLAIM DENIED BY FINRA: DISMISSED
CLAIM DENIED BY SMITH BARNEY: DISMISSED
ALL AGENCIES & SMITH BARNEY FOUND CLAIM TO BE WITHOUT MERIT AND DENIED IT. CLIENT FOUND AT FAULT NOT REGISTERED REP.

[CUSTOMER], CPA WROTE HIS OWN PERSONAL CHECK FROM HIS SMITH BARNEY IRA ACCOUNT TO MAKE A REAL ESTATE INVESTMENT.

[CUSTOMER], CPA WAS OVER 60 AND WAS CERTAINLY AWARE AS A CPA THAT SUCH A WITHDRAWAL WOULD NOT INCUR ANY PENALTIES AS HE WAS OVER 59 1/2 YEARS OF AGE. [CUSTOMER], CPA WOULD BE AWARE THAT ANY WITHDRAWALS FROM A RETIREMENT PLAN IRA WOULD BE SUBJECT TO ORDINARY INCOME TAX.

[CUSTOMER], CPA MADE HIS DISTRIBUTION TO HIMSELF IN SEPTEMBER OF 1997, AND AS POLICY SMITH BARNEY STATEMENTS SENT TO [CUSTOMER], CPA IN OCT, NOV, & DEC 1997 HAD THE FOLLOWING DISCLOSURE: [CUSTOMER] YOU PAY TAXES ON YOUR \$61,000 IRA DISTRIBUTION IN 1998.

MR. JORGENSEN ALSO INFORMED [CUSTOMER], CPA THAT HE WOULD PAY ORDINARY INCOME TAXES ON THE DISTRIBUTION.

IN 1998 THE CUSTOMER, CPA, FILED CLAIMS AGAINST SMITH BARNEY AND MR. JORGENSEN FOR HIS VOLUNTARY WITHDRAWAL. MEMBER FIRM REVIEWED CLAIMS AND FOUND THAT THE CUSTOMER BEING A CPA,



WOULD NOT ONLY KNOW THAT IRA WITHDRAWALS ARE SUBJECT TO TAX, BUT THAT THE NOTIFICATIONS GIVEN BY SMITH BARNEY AND MR. JORGENSEN ON THE WITHDRAWAL WERE SUFFICIENT. THE NY STOCK EXCHANGE, FINRA, AND THE MEMBER FIRM DENIED ALL CLAIMS AND HELD MR. JORGENSEN HARMLESS. CASE WAS DISMISSED.



End of Report

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