



IAPD Report

MONTY WAYNE DOSSMAN

CRD# 1300447

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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

MONTY WAYNE DOSSMAN (CRD# 1300447)

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 **09/26/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	DRAWBRIDGE CAPITAL	CRD# 128636	12/14/2023

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	DRAWBRIDGE CAPITAL	128636	TULSA, OK	04/02/2021 - 01/04/2022
IA	LPL FINANCIAL LLC	6413	TULSA, OK	08/12/2003 - 06/13/2012
B	LPL FINANCIAL LLC	6413	TULSA, OK	08/08/2003 - 06/13/2012

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
Regulatory Event	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: **DRAWBRIDGE CAPITAL**
Main Address: 7134 S.YALE AVE
STE 700
TULSA, OK 74136
Firm ID#: 128636

	Regulator	Registration	Status	Date
IA	Arkansas	Investment Adviser Representative	Approved	07/03/2024
IA	Colorado	Investment Adviser Representative	Approved	07/25/2024
IA	Florida	Investment Adviser Representative	Approved	09/17/2024
IA	Louisiana	Investment Adviser Representative	Approved	10/10/2024
IA	Oklahoma	Investment Adviser Representative	Approved	12/14/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/10/2024

Branch Office Locations

DRAWBRIDGE CAPITAL
7134 S.YALE AVE
STE 700
TULSA, OK 74136





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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/21/1996
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	11/07/1986

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	05/06/1991
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/07/1984

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/06/2024
 Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/2021

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	04/02/2021 - 01/04/2022	DRAWBRIDGE CAPITAL	CRD# 128636	TULSA, OK
IA	08/12/2003 - 06/13/2012	LPL FINANCIAL LLC	CRD# 6413	TULSA, OK
B	08/08/2003 - 06/13/2012	LPL FINANCIAL LLC	CRD# 6413	TULSA, OK
IA	04/28/2004 - 12/31/2011	REGENT FINANCIAL SERVICES, INC.	CRD# 128636	TULSA, OK
B	11/22/1996 - 08/08/2003	DOMINION INVESTOR SERVICES, INC.	CRD# 21548	MARBLE FALLS, TX
B	02/01/1994 - 11/27/1996	SUN INVESTMENT SERVICES COMPANY	CRD# 5496	WELLESLEY HILLS, MA
B	02/03/1993 - 05/04/1993	CULLUM & SANDOW SECURITIES, INC.	CRD# 15836	DALLAS, TX
B	09/05/1991 - 02/09/1993	ANDREWS, HENTGES & ASSOCIATES, INC.	CRD# 28417	TULSA, OK
B	07/16/1990 - 09/05/1991	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	09/10/1984 - 07/18/1990	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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
10/2015 - Present	Drawbridge Capital	Portfolio Manager	Y	Tulsa, OK, United States
10/2015 - Present	Regent Financial Services	Analyst	Y	Tulsa, OK, 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.

01/05/04 - DBA - REGENT FINANCIAL SERVICES, INC.

02/11/04 - INVOLVED AS SECRETARY OF THE BOARD W/ SOUTHERN HILLS BAPTIST CHURCH (DISCONTINUED

03/08/05).

06/29/04 - RIA - REGENT FINANCIAL SERVICES, INC. (DISCONTINUED 12/31/11).



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	Oklahoma Department of Securities
Sanction(s) Sought:	Suspension
Date Initiated:	01/05/2022
Docket/Case Number:	ODS File 24-114
Employing firm when activity occurred which led to the regulatory action:	Drawbridge Capital
Product Type:	Other: Advisory Registration under Series 65
Allegations:	Series 65 license suspended due to back taxes owed as of 01/05/2022. OK HB 1956 passed 05/26/2003, approved by governor 06/07/2023. No reinstatement provided or initiated by the state for extended period, started process with Oklahoma Department of Securities in December to manually pursue reinstatement. Fees paid in December, 2023. Provided with undertaking that was signed 01/02/2024, filed with the administrator 01/05/2024.
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?	No
Resolution Date:	01/05/2024



Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Advisory Capacities
Duration:	State stipulated timeline (approx 2 yrs)
Start Date:	01/05/2022
End Date:	01/05/2024



End of Report

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