



IAPD Report

Alec Bruce Abbott

CRD# 1414999

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

Alec Bruce Abbott (CRD# 1414999)

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 **09/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	THE NORDEN GROUP LLC	CRD# 323988	05/31/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	BAKER TILLY CAPITAL, LLC	115333	Irvine, CA	11/02/2020 - 05/31/2024
IA	BAKER TILLY WEALTH MANAGEMENT, LLC	167811	Irvine, CA	11/02/2020 - 05/31/2024
IA	SQUAR MILNER FINANCIAL SERVICES, LLC	112483	IRVINE, CA	06/26/2000 - 12/22/2020

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

Employment 1 of 1

Firm Name: **THE NORDEN GROUP LLC**

Main Address: 5255 N EDGEWOOD DRIVE
SUITE 225
PROVO, UT 84604

Firm ID#: 323988

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	05/31/2024
IA Texas	Investment Adviser Representative	Approved	05/31/2024

Branch Office Locations

THE NORDEN GROUP LLC

610 Newport Center Drive
Suite 840
Newport Beach, CA 92660



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	02/07/2005

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	06/27/1994
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/06/1988
 Direct Participation Programs Representative Examination (S22)	Series 22	01/23/1986

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/23/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	02/11/1991

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
	11/02/2020 - 05/31/2024	BAKER TILLY CAPITAL, LLC	CRD# 115333	Irvine, CA
	11/02/2020 - 05/31/2024	BAKER TILLY WEALTH MANAGEMENT, LLC	CRD# 167811	Irvine, CA
	06/26/2000 - 12/22/2020	SQUAR MILNER FINANCIAL SERVICES, LLC	CRD# 112483	IRVINE, CA
	02/28/2019 - 11/02/2020	DFPG INVESTMENTS, LLC	CRD# 155576	IRVINE, CA
	06/29/2017 - 03/28/2019	ALLEGIS INVESTMENT SERVICES, LLC	CRD# 168557	Irvine, CA
	10/31/2005 - 07/05/2017	SAGEPOINT FINANCIAL, INC.	CRD# 133763	NEWPORT BEACH, CA
	12/15/2004 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
	01/04/2005 - 01/05/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	NEWPORT BEACH, CA
	04/30/2001 - 12/15/2004	CONSTELLATION ADVISORS	CRD# 107778	NEWPORT BEACH, CA
	01/02/2001 - 12/15/2004	THE SEIDLER COMPANIES INCORPORATED	CRD# 3911	LOS ANGELES, CA
	02/07/2001 - 11/29/2001	HAGERTY, STEWART & ASSOCIATES, INC.	CRD# 7717	SAN DIEGO, CA
	12/10/1999 - 01/02/2001	HAGERTY, STEWART & ASSOCIATES, INC.	CRD# 7717	SAN DIEGO, CA
	08/02/1989 - 12/20/1999	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
	04/27/1988 - 08/01/1989	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, PA
	01/24/1986 - 02/01/1989	KATERSKY SECURITIES, INC.	CRD# 13284	
	11/21/1986 - 04/13/1988	RANCE KING SECURITIES CORP.	CRD# 15737	



Registration & Employment History

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
05/2024 - Present	The Norden Group LLC	Investment Adviser Representative	Y	Provo, UT, United States
11/2020 - 05/2024	BAKER TILLY CAPITAL, LLC	REGISTERED REPRESENTATIVE	Y	Irvine, CA, United States
11/2020 - 05/2024	BAKER TILLY US, LLP	PARTNER	N	IRVINE, CA, United States
11/2020 - 05/2024	BAKER TILLY WEALTH MANAGEMENT, LLC	Executive Managing Director	Y	IRVINE, CA, United States
02/2019 - 10/2020	DFPG INVESTMENTS, INC	REGISTERED REPRESENTATIVE	Y	SANDY, UT, United States
08/1999 - 10/2020	SQUAR MILNER FINANCIAL ADVISORS	PRESIDENT	Y	IRVINE, CA, 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.

Insurance Broker (self); Not investment-related; insurance sales to include Life, LTC, and DI; sole proprietor; independent contractor; 01/01/1989; 4-10 hours per month; 4-10 hours per month; Client services providing a benefit if client has an insurance need.

Medalist Diversified REIT, Inc.; Yes; P.O. Box 8436 Richmond, VA 23226; Owns and manages commercial real estate; Member, board of advisors; Member, board of advisors; 08/01/2024; 2 hours; 2 hours; Advise and make non-binding recommendations to the Board of Directors of Medalist Diversified REIT, Inc. and the Company's Chief Executive Officer with respect to matters within the areas of their experience and expertise.



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:	SagePoint Financial, Inc.
Allegations:	CUSTOMER CLAIMS POOR CUSTOMER SERVICE AND UNSUITABLE RECOMMENDATION FROM A PURCHASE MADE IN 9/2013 WHICH THE COMPANY WENT BANKRUPT IN 2017.
Product Type:	Mutual Fund
Alleged Damages:	\$34,391.50
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:	04/24/2018
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/24/2018
Settlement Amount:	
Individual Contribution Amount:	



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #: 18-01375

Date Notice/Process Served: 06/25/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/14/2018

Monetary Compensation Amount: \$6,100.00

Individual Contribution Amount: \$6,100.00

Firm Statement
The broker believes the claim lacked merit and denies any liability or wrongdoing, but agreed to resolve the case prior to arbitration for \$5,500 plus regulatory fees to avoid the substantial cost of legal fees to defend the matter.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SagePoint Financial

Allegations: Customer claims poor customer service and unsuitable recommendation from a purchase made in 9/2013 which the company went bankrupt in 2017.

Product Type: Mutual Fund

Alleged Damages: \$34,391.50

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: 04/24/2018

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 05/24/2018

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):

FINRA

Docket/Case #: 18-01375



Date Notice/Process Served: 06/25/2018

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/14/2018

Monetary Compensation Amount: \$6,100.00

Individual Contribution Amount: \$6,100.00

Broker Statement The broker believes the claim lacked merit and denies any liability or wrongdoing, but agreed to resolve the case prior to arbitration for \$5,500 plus regulatory fees to avoid the substantial cost of legal fees to defend the matter.



End of Report

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