



## IAPD Report

# RUSSELL LEE LUNA

CRD# 1521036

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

**i** 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

### RUSSELL LEE LUNA (CRD# 1521036)

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 **04/22/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VIRTUE CAPITAL MANAGEMENT, LLC	CRD# 167816	07/30/2019

### 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	FUSION CAPITAL MANAGEMENT	156549	Greenwood Village, CO	08/09/2018 - 03/05/2019
IA	FIRST ADVISORS NATIONAL, LLC	166212	Lonetree, CO	04/27/2016 - 08/09/2018
IA	CORECAP ADVISORS	158819	LONE TREE, CO	08/24/2015 - 01/06/2016

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
Criminal	1
Termination	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: **VIRTUE CAPITAL MANAGEMENT, LLC**  
Main Address: 12 CADILLAC DR.  
SUITE 280  
BRENTWOOD, TN 37027  
Firm ID#: 167816

Regulator	Registration	Status	Date
 Colorado	Investment Adviser Representative	Approved	07/30/2019

### Branch Office Locations

**VIRTUE CAPITAL MANAGEMENT, LLC**  
7887 E BELLEVIEW AVE  
SUITE 1100  
GREENWOOD VILLIAGE, CO 80111



## 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.

No information reported.

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	08/09/2018 - 03/05/2019	FUSION CAPITAL MANAGEMENT	CRD# 156549	Greenwood Village, CO
IA	04/27/2016 - 08/09/2018	FIRST ADVISORS NATIONAL, LLC	CRD# 166212	Lonetree, CO
IA	08/24/2015 - 01/06/2016	CORECAP ADVISORS	CRD# 158819	LONE TREE, CO
IA	04/15/2014 - 09/16/2015	FIRST AMERICAN NATIONAL INVESTMENT ADVISORS, LLC	CRD# 166212	LONETREE, CO

### 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
07/2019 - Present	Virtue Capital Management, LLC	Investment Adviser Representative	Y	BRENTWOOD, TN, United States
08/2018 - Present	LUNA WEALTH MANAGEMENT	PRESIDENT	Y	Greenwood Village, CO, United States
08/2018 - 03/2019	Fusion Capital Management	Investment Advisor Representative	Y	Dallas, TX, United States
04/2016 - 08/2018	FIRST ADVISORS NATIONAL, LLC	Investment Adviser Representative	Y	LONETREE, CO, United States
07/2014 - 06/2017	LUNA FINANCIAL ADVISORS	PRESIDENT	Y	Greenwood Village, CO, United States
01/2005 - 06/2017	CRESCENT FINANCIAL	INSURANCE SALES	N	PARKER, CO, 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.

(1) LUNA WEALTH MANAGEMENT, LLC , Title: OWNER, Description: LIFE, FIXED & INDEXED ANNUITIES, LTC. APPT WITH VARIOUS COMPANIES. , Start Date: 08-01-2018, Address: 7887 E BELLEVIEW AVE SUITE 1100 GREENWOOD VILLAGE, CO 80111 , Investment-related? NO, Hours per month: 120, During trading hours: 120

(2) THE COLORADO BAR ASSOCIATION - , Title: MEMBER, Description: ATTEND MONTHLY MEETINGS/ ANNUAL CONFERENCES, Start Date: 07-02-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1-2HRS, During



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

trading hours: 1-2HRS

- (3) NATIONAL ASSOCIATION OF ESTATE PLANNERS AND COUNCILS, , Title: MEMBER/ BOARD MEMBER, Description: ATTEND MONTHLY MEETINGS/ NATIONAL CONFERENCE, Start Date: 07-04-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1-2HRS, During trading hours: 1-2HRS
- (4) DENVER ESTATE PLANNING COUNCIL, , Title: MEMBER, Description: ATTEND MONTHLY EDUCATION MEETINGS, Start Date: 07-10-1905, Address: DENVER, CO, Investment-related? NO, Hours per month: 1-2HRS, During trading hours: 1-2HRS
- (5) ESTATE PLANNING COUNCIL OF SOUTHEAST DENVER, , Title: MEMBER, Description: ATTEND MONTHLY MEETINGS/ NATIONAL CONFERENCE, Start Date: 06-24-1905, Address: SOUTHEAST DENVER, Investment-related? NO, Hours per month: 1-2HRS, During trading hours: 1-2HRS
- (6) THE CORPORATION FOR LONG TERM CARE, COLORADO PLANNED GIVING ROUNDTABLE. , Title: CLTC DESIGNATION, Description: OBTAIN AND MAINTAIN CLTC DESIGNATION, Start Date: 06-24-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1-2HRS, During trading hours: 1-2HRS
- (7) COLORADO PLANNED GIVING ROUNDTABLE., Title: MEMBER, Description: ATTEND MONTHLY MEETINGS, Start Date: 07-10-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1, During trading hours: 1
- (8) NATIONAL ADVISOR NETWORK, AMERICAN CANCER SOCIETY, Title: ADVISOR, Description: NETWORK OF ADVISORS/ TAKE ON REFERRALS IF NEEDED, Start Date: 07-10-1905, Address: COLORADO, Investment-related? NO, Hours per month: 0, During trading hours: 0
- (9) AMERICAN CANCER SOCIETY NATIONWIDE GIFT PLANNING ADVISOR COUNCIL (NGPAC), , Title: BOARD MEMBER, Description: ATTEND MONTHLY MEETINGS/ NETWORK WITH DIRECTORS OF PLAN GIVING/ TAKE ON REFERRALS IF NEEDED, Start Date: 07-10-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1, During trading hours: 1
- (10) INSTITUTE FOR DIVORCE FINANCIAL ANALYSTS , Title: FORMER CHAIR, Description: ISSUES DESIGNATION, Start Date: 07-06-1905, Address: COLORADO, Investment-related? NO, Hours per month: 0, During trading hours: 0
- (11) THE AMERICAN CANCER SOCIETY, , Title: FORMER BOARD MEMBER, Description: MONTHLY MEETINGS/FUNDRAISING, Start Date: 07-11-1905, Address: COLORADO, Investment-related? NO, Hours per month: 1-2HRS, During trading hours: 1-2HRS
- (12) COLORADO ALZHEIMER'S ASSOCIATION., Title: FORMER BOARD MEMBER, Description: MONTHLY MEETINGS, Start Date: 07-13-1905, Address: COLORADO, Investment-related? NO, Hours per month: 0-1, During trading hours: 0-1
- (13) DENTAL IMPACT, Title: SALES, Description: MARKETING TO DENTISTS, Start Date: 4-24-2022, Address: 21 S. PUBLIC SQUARE, MURFREESBORO TN 37130, Investment-related? NO, Hours per month: 1, During trading hours: 1
- (14) NBC, Title: Golf Course Marshall, Description: working with media at professional golf tournaments, Start date: 1-29-2025, Address: 1 Blachley Rd Stamford, CT 06902, Investment-related? No, Hours per month: 16, During trading hours: 4



## 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
Criminal	1
Termination	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Nebraska State Court
<b>Location of Court:</b>	Dakota County, Nebraska
<b>Docket/Case #:</b>	CR96-85
<b>Charge Date:</b>	05/12/1996
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Mr. Luna was charged with 2 felony's which were reduced to misdemeanors and eventually set aside and nullified
<b>No of Counts:</b>	2
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Plead down to a misdemeanor
<b>Disposition of charge:</b>	Amended
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/24/1997
<b>Disposition Date:</b>	04/22/1999
<b>Sentence/Penalty:</b>	\$0 fine
<b>Broker Statement</b>	An alleged assault of which the conviction was later set aside and nullified and all civil disabilities imposed as a result of that conviction were removed as though a pardon had been issued.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm  
**Firm Name:** CENTER STREET SECURITIES  
**Termination Type:** Discharged  
**Termination Date:** 01/04/2011  
**Allegations:** USE OF UNAPPROVED ADVERTISING  
**Product Type:** No Product  
**Firm Statement** REP USED ADVERTISING PRIOR TO GETTING IT APPROVED.

---

**Reporting Source:** Individual  
**Firm Name:** CENTER STREET SECURITIES  
**Termination Type:** Discharged  
**Termination Date:** 01/04/2011  
**Allegations:** USE OF UNAPPROVED ADVERTISING  
**Product Type:** No Product  
**Broker Statement** REPRESENTATIVE USED ADVERTISING PRIOR TO GETTING IT APPROVED.



## End of Report

This page is intentionally left blank.