



## IAPD Report

# ROBERT LEO VONDERHARR

CRD# 1556834

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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

### ROBERT LEO VONDERHARR (CRD# 1556834)

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 **11/04/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	CABIN SECURITIES, INC.	CRD# 137608	11/04/2025
<b>IA</b>	CABIN ADVISORS, LLC	CRD# 312547	11/04/2025

### QUALIFICATIONS

This representative is currently registered in **1** 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>IA</b>	QUINCY WELLS ADVISORS, LLC	307477	Mayflower Mtn., UT	10/16/2024 - 10/16/2025
<b>B</b>	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL	09/30/2024 - 10/16/2025
<b>B</b>	OSAIC WEALTH, INC.	23131	PROVO, UT	09/14/2023 - 09/17/2024

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	3



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

#### Employment 1 of 2

Firm Name: **CABIN SECURITIES, INC.**

Main Address: 6240 W 135TH STREET  
SUITE 214  
OVERLAND PARK, KS 66223

Firm ID#: 137608

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	11/04/2025
 FINRA	General Securities Representative	Approved	11/04/2025
 Utah	Agent	Approved	11/04/2025
 Washington	Agent	Approved	11/04/2025

#### Branch Office Locations

**ARI FINANCIAL SERVICES, INC.**

Mayflower, UT

#### Employment 2 of 2

Firm Name: **CABIN ADVISORS, LLC**

Main Address: 6240 W. 135TH STREET  
SUITE 214  
OVERLAND PARK, KS 66223

Firm ID#: 312547

Regulator	Registration	Status	Date
 Utah	Investment Adviser Representative	Approved	11/04/2025

#### Branch Office Locations

**CABIN ADVISORS, LLC**

Mayflower, UT



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

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	03/03/1997

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/16/1987
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/09/1986

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/06/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/10/1986

### 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	10/16/2024 - 10/16/2025	QUINCY WELLS ADVISORS, LLC	CRD# 307477	Mayflower Mtn., UT
B	09/30/2024 - 10/16/2025	GREAT POINT CAPITAL LLC	CRD# 114203	CHICAGO, IL
B	09/14/2023 - 09/17/2024	OSAIC WEALTH, INC.	CRD# 23131	PROVO, UT
IA	09/14/2023 - 09/17/2024	OSAIC WEALTH, INC.	CRD# 23131	PROVO, UT
IA	11/03/2011 - 09/15/2023	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	Heber City, UT
B	11/11/2010 - 09/15/2023	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	Heber City, UT
IA	11/18/2008 - 12/19/2012	VALUED WEALTH ADVISORS, LLC	CRD# 146586	SALT LAKE CITY, UT
B	05/28/1992 - 10/25/2010	OMNI BROKERAGE, INC.	CRD# 16878	SALT LAKE CITY, UT
IA	01/26/2004 - 11/17/2008	OMNI INVESTMENT ADVISORS INC	CRD# 110364	SALT LAKE CITY, UT
B	10/26/1990 - 05/01/1992	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	
B	03/23/1990 - 10/29/1990	FAHNESTOCK & CO., INC.	CRD# 249	NEW YORK, NY
B	12/01/1988 - 03/23/1990	B.C. CHRISTOPHER SECURITIES CO.	CRD# 60	KANSAS CITY, MO
B	05/28/1987 - 12/14/1988	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	
B	10/13/1986 - 06/09/1987	WADDELL & REED, INC.	CRD# 866	

### 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
10/2025 - Present	Cabin Advisors, LLC	Investment Advisor Representative	Y	Overland Park, KS, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2025 - Present	Cabin Securities Inc	Registered Representative	Y	Overland Park, KS, United States
09/2024 - 10/2025	Great Point Advisors, LLC	Investment Advisor Representative	Y	Chicago, IL, United States
09/2024 - 10/2025	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
09/2006 - 10/2025	VONDERHARR WAGNER ASSOCIATES, LLC	MANAGER	N	SALT LAKE CITY, UT, United States
09/2023 - 09/2024	OSAIC	Registered Assistant	Y	Provo, UT, United States
11/2010 - 09/2023	INDEPENDENT FINANCIAL GROUP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, 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.

Robert L. Vonderharr CPA- Owner, CPA; Salt Lake City UT; Since January 1984; Not investment related; Income tax preparation; Approx. 1 hour per month during normal trading hours. Any securities activities will be supervised through Cabin Securities, Inc. | Member FINRA

Vonderharr Investment Properties, LLC; Diversified Real Estate holdings and Equity Investments; Member; Personal, Not for Compensation; Investment Related; Any securities activities will be supervised through Cabin Securities, Inc.| Member FINRA

Vintage Woods Homeowners Association Inc. Supervision and Management of 22 home Development near Shelby North Carolina; not investment related



## 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	3

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	INDEPENDENT FINANCIAL GROUP, LLC
<b>Allegations:</b>	Alleges he was put into non-liquid positions despite a request not to be.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$214,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Client alleges this is what he lost; however, this has not been verified and does not seem to consider the current value and/or distributions that have been taken.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	07/25/2019
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/28/2019
<b>Settlement Amount:</b>	\$5,000.00

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

In the interest of avoiding further issues, the claim was settled for a nominal payment. The client was upset with the disclosures made by the Sponsor, not the representative; however, he blamed the representative since he is the one who made the investment. There was no finding of guilt or liability. The client's primary issue was with a single DPP investment in Colony Northstar Healthcare REIT. The client and the representative mutually discussed and agreed prior to application that this asset could supplement his social security income. The client also agreed that this asset class (healthcare) was a growing and stable sector and, as such, would be suitable for his investment income and growth needs.

The basis for the client's complaint rests upon the REIT Sponsor's poor mismanagement causing Northstar to suspend its dividend and temporarily reduce its NAV price for the REIT.

Suitability was never an issue brought up by the client before or during the application process for the Colony Northstar REIT. The client also has a high degree of liquidity as the result of recently liquidated holdings as well as bank account CDs and additional available funds.

Suitability and liquidity are not at issue in this matter. In addition, the client is raising issues with investments done many years ago as 1031 exchanges where he requested the transactions and where all of the relevant risks and disclosures were made during the process.

**Disclosure 2 of 3****Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

OMNI BROKERAGE, INC. / OMNI INVESTMENT ADVISORS, INC.

**Allegations:**

CUSTOMER CLAIMS THAT CERTAIN ILLIQUID INVESTMENTS WERE NOT SUITABLE INVESTMENT TYPES.

**Product Type:**

Direct Investment-DPP &amp; LP Interests

**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:**

10/15/2004

**Complaint Pending?**

No

**Status:**

Withdrawn

**Status Date:**

12/31/2004

**Settlement Amount:****Individual Contribution Amount:****Broker Statement** The customer complaint was withdrawn upon written response from the then



Broker/Dealer management. Furthermore, the customer has made no further inquiries into this matter. As of Sept. 2019, no communication has been received from the customer for the past 12 years or about the year 2006.

### Disclosure 3 of 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	OMNI BROKERAGE, INC / OMNI INVESTMENT ADVISORS, INC
<b>Allegations:</b>	CUSTOMER CLAIMS THAT CERTAIN ILLIQUID INVESTMENTS WERE NOT SUITABLE INVESTMENT TYPES.
<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$94,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/27/2004
<b>Complaint Pending?</b>	No
<b>Status:</b>	Withdrawn
<b>Status Date:</b>	12/31/2004
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	As indicated above, the complaint was dropped by the customer upon written response from the then Broker/Dealer management. Furthermore, the customer has made no further inquiries into this matter. As of Sept. 2019, no communication has been received from the customer for the past 12 years or about the year 2006.



## End of Report

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