



IAPD Report

DAVID LEROY BARR

CRD# 1750094

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



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

DAVID LEROY BARR (CRD# 1750094)

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 **06/27/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TUCKER ASSET MANAGEMENT LLC	CRD# 174844	06/27/2022

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
B	PARK AVENUE SECURITIES LLC	46173	NEW YORK, NY	02/19/2003 - 07/30/2003
B	1717 CAPITAL MANAGEMENT COMPANY	4082	NEWARK, DE	03/31/1995 - 10/21/2002
B	PRINCOR FINANCIAL SERVICES CORPORATION	1137	DES MOINES, IA	02/21/1992 - 04/05/1995

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
Judgment/Lien	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: **TUCKER ASSET MANAGEMENT LLC**

Main Address: 1520 WEST CANAL COURT
SUITE 100
LITTLETON, CO 80120

Firm ID#: 174844

	Regulator	Registration	Status	Date
IA	Washington	Investment Adviser Representative	Approved	06/27/2022

Branch Office Locations

TUCKER ASSET MANAGEMENT LLC

Kennewick, WA



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/10/1987

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/10/2022
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/06/1987



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
B	02/19/2003 - 07/30/2003	PARK AVENUE SECURITIES LLC	CRD# 46173	NEW YORK, NY
B	03/31/1995 - 10/21/2002	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	02/21/1992 - 04/05/1995	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	DES MOINES, IA
B	12/11/1987 - 02/06/1992	CENTURY INVESTORS OF AMERICA, INC.	CRD# 5322	
B	12/11/1987 - 12/21/1987	MUTUAL SERVICE CORPORATION	CRD# 4806	

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
06/2022 - Present	Tucker Asset Management LLC	Investment Adviser Representative	Y	Littleton, CO, United States
01/2020 - Present	Dave Barr CLU LLC	Owner/Agent	Y	Kennewick, WA, United States
03/1995 - Present	PROVIDENT MUTUAL INS CO	AGENT - AGENT	N	PHILA, PA, United States
02/1993 - Present	GUARDIAN LIFE	AGENT	Y	BELLEVUE, WA, United States
05/1980 - Present	SELF EMPLOYED SALES INSURANCE	SALES	Y	GRANITE FALLS, WA, United States
05/2012 - 12/2019	David L. Barr, Sole Proprietor	Insurance Sales	Y	Kennewick, WA, 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.) Dave Barr CLU LLC; Investment Related; Kennewick, WA; Insurance Sales; Owner/Agent; Start Date 01/2020; Approximately 160 hours/month devoted to this business with the majority of time during securities trading hours; sell life, disability, health, and annuities



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
Judgment/Lien	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:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: Costs
Date Initiated:	03/07/2016
Docket/Case Number:	S-14-1603-15-SC01 S-14-1603-16-CO09
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Viatical Settlement
Allegations:	<p>S-14-1603-15-SC01 On March 7, 2016, the Securities Division entered a Statement of Charges and Notice of Intent to Enter Order to Cease and Desist against Life Partners, Inc. (LPI); Life Partners Holdings, Inc.; Brian Pardo, R. Scott Peden; David Barr; James Billington (Billington); Kim Butler (Butler); Gary Cassill (Cassill); Michael Chapman (Chapman); Tomas Delos Santos (Delos Santos); Neal Inscoe (Inscoe); John Ley (Ley); William Meyer (Meyer); Steven Minnich (Minnich); Tim Watters (Watters); Don Wells (Wells); Alliance of Professionals for Business, Inc. (APB); NW Retirement Solutions LLC (NW Retirement Solutions); NW Safe Retirement LLC (NW Safe Retirement); Partners Portfolio Solutions, Inc. (PPS); and Strategic Insurance Services, LLC (SIS) (collectively "Respondents").</p> <p>In the Statement of Charges, the Securities Division alleges that the Respondents</p>



violated the Securities Act of Washington through the offer and sale of approximately \$17 million of Life Partners, Inc. life settlements to Washington residents from 2009 to 2014. Specifically, the Statement of Charges alleges that the Respondents violated RCW 21.20.010, the antifraud provision of the Securities Act, by misrepresenting or failing to disclose material information in connection with the sale of LPI life settlements. The Statement of Charges further alleges that the Respondents violated RCW 21.20.140, the unregistered securities provision of the Securities Act by selling unregistered securities. Finally, the Statement of Charges alleges that Billington, Butler, Cassill, Chapman, Delos Santos, Inscoe, Ley, Meyer, Minnich, Watters, Wells, APB, NW Retirement Solutions, NW Safe Retirement, PPS, and SIS violated RCW 21.20.040 by selling LPI life settlements while unregistered as a securities salesperson or broker-dealer in Washington. The Statement of Charges gives notice of the Securities Division's intent to enter an Order to Cease and Desist. Respondents have a right to request a hearing on the Statement of Charges.

Current Status:	Final
Resolution:	Consent
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	03/02/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$500.00
Portion Levied against individual:	\$500.00
Payment Plan:	No
Is Payment Plan Current:	
Date Paid by individual:	03/02/2017
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	No
Date Paid by individual:	03/02/2017



Was any portion of penalty waived?

No

Amount Waived:

Regulator Statement

S-14-1603-16-CO09 - David Barr - Consent Order

On March 2, 2017, the Securities Division entered into a Consent Order with Respondent David Barr. The Securities Division previously entered a Statement of Charges against Barr and various other respondents on March 7, 2016.

In the Statement of Charges, the Securities Division alleged that Barr violated the securities registration, securities salesperson, and antifraud provisions of the Securities Act of Washington in the offer and sale of Life Partners, Inc. life settlements. Without admitting or denying the Securities Division's allegations, Barr agreed to cease and desist from violating the Securities Act of Washington, to pay a fine of \$2,500, and to pay investigative costs of \$500. Barr waived his right to a hearing and judicial review of this matter.

Reporting Source:

Individual

Regulatory Action Initiated By:

Washington State Department of Financial Institutions

Sanction(s) Sought:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated:

03/07/2016

Docket/Case Number:

S-14-1603-16-CO09

Employing firm when activity occurred which led to the regulatory action:

Self-Employed

Product Type:

Viatical Settlement

Allegations:

Violation of RCW 21.20.140, 21.20.040, 21.20.010.

Current Status:

Final

Resolution:

Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

03/02/2017

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$7,200.00

Portion Levied against individual:

\$2,500.00



Payment Plan:	Paid in cash.
Is Payment Plan Current:	Yes
Date Paid by individual:	02/10/2017
Was any portion of penalty waived?	Yes
Amount Waived:	\$4,700.00
Broker Statement	Washington State Department of Financial Institutions sent letter to SEC stating "disqualification:" should not arise as a consequence of consent order S-14-1603-16-CO09.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	ALLEN COUNTY MUNICIPAL COURT , INDIANA
Judgment/Lien Amount:	\$1,700.00
Judgment/Lien Type:	Default
Date Filed:	06/17/1998
Court Details:	ALLEN COUNTY DISTRICT COURT, FORT WAYNE, INDIANA CASE NUMBER 2D019804SC7268
Judgment/Lien Outstanding?	Yes
Broker Statement	IN 1993-94 I FILED SUIT AGAINST EX-WIFE FOR UNPAID CHILD SUPPORT OF APX 20,000. I RETAINED AN ATTORNEY FOR \$1500. WHEN THE CASE SETTLED I WAS ONLY AWARDED 6,000. MY ATTORNEY PRESENTED ME WITH AN ADT'L BILL FOR SERVICES OF 1,000. I REFUSED TO PAY THE ADT'L BILL. HIS FIRM SUED ME.I WILL NOT PAY.



End of Report

This page is intentionally left blank.