



IAPD Report

ROBERT KENNETH CARGIN

CRD# 1825995

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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

ROBERT KENNETH CARGIN (CRD# 1825995)

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 **08/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WORLD CHOICE SECURITIES, INC.	CRD# 30933	04/03/2017
IA	WORLD CHOICE SECURITIES, INC.	CRD# 30933	03/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

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	REGIS ASSET MANAGEMENT LLC	125872	WESTERVILLE, OH	01/26/2016 - 12/31/2018
B	CAPITAL CITY SECURITIES, LLC	146001	ASHLAND, OH	05/29/2008 - 05/10/2018
IA	REGIS ASSET MANAGEMENT LLC	125872	WESTERVILLE, OH	04/11/2003 - 12/31/2015

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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

This individual has 9 inactive or suspended registration(s).

Employment 1 of 1

Firm Name: **WORLD CHOICE SECURITIES, INC.**

Main Address: 7650 RIVERS EDGE DRIVE
SUITE 260
COLUMBUS, OH 43235

Firm ID#: 30933

	Regulator	Registration	Status	Date
B	FINRA	Introducing BD/Finan Operation Principal	Suspended	04/03/2017
B	FINRA	General Securities Principal	Suspended	10/13/2017
B	FINRA	General Securities Representative	Suspended	10/13/2017
B	FINRA	Municipal Securities Principal	Suspended	10/13/2017
B	FINRA	Municipal Securities Representative	Suspended	10/13/2017
B	FINRA	Operations Professional	Suspended	10/13/2017
B	FINRA	Registered Options Principal	Suspended	10/13/2017
B	FINRA	Investment Banking Representative	Suspended	01/23/2018
B	FINRA	Investment Banking Principal	Suspended	10/01/2018
B	California	Agent	Approved	05/22/2018
B	Florida	Agent	Approved	05/04/2018
IA	Florida	Investment Adviser Representative	Approved	03/05/2026



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	05/22/2018
B	Maine	Agent	Approved	06/20/2024
B	Maryland	Agent	Approved	03/08/2023
B	Michigan	Agent	Approved	05/22/2018
B	Nebraska	Agent	Approved	01/29/2019
B	New York	Agent	Approved	07/18/2019
B	North Carolina	Agent	Approved	05/23/2018
IA	Ohio	Investment Adviser Representative	Approved	05/04/2018
B	Ohio	Agent	Approved	05/10/2018
B	Pennsylvania	Agent	Approved	05/22/2018
B	Tennessee	Agent	Approved	05/08/2019
B	Texas	Agent	Approved	01/23/2018
IA	Texas	Investment Adviser Representative	Approved	03/02/2018
B	Utah	Agent	Approved	09/13/2019
B	Washington	Agent	Approved	02/05/2019

Branch Office Locations

WORLD CHOICE SECURITIES, INC.

7650 Rivers Edge Drive
Suite 260
Columbus, OH 43235



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 4 principal/supervisory exams, 6 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	05/05/2011
 Registered Options Principal Examination (S4)	Series 4	07/21/1992
 Municipal Securities Principal Examination (S53)	Series 53	10/24/1991
 General Securities Principal Examination (S24)	Series 24	07/01/1991

General Industry/Product Exams

Exam	Category	Date
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	05/02/1997
 General Securities Representative Examination (S7)	Series 7	05/21/1988

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/18/1992



Qualifications

 PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/25/1988

 PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	01/26/2016 - 12/31/2018	REGIS ASSET MANAGEMENT LLC	CRD# 125872	WESTERVILLE, OH
B	05/29/2008 - 05/10/2018	CAPITAL CITY SECURITIES, LLC	CRD# 146001	ASHLAND, OH
IA	04/11/2003 - 12/31/2015	REGIS ASSET MANAGEMENT LLC	CRD# 125872	WESTERVILLE, OH
B	03/15/2000 - 10/09/2008	REGIS SECURITIES CORPORATION	CRD# 103711	ASHLAND, OH
B	04/25/1997 - 02/01/2000	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	01/10/1997 - 05/13/1997	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	10/09/1995 - 12/18/1996	THE HAMILTON-SHEA GROUP, INC.	CRD# 37526	POMPANO BEACH, FL
B	06/01/1990 - 10/04/1995	BANC ONE SECURITIES CORPORATION	CRD# 16999	CHICAGO, IL
B	05/10/1990 - 06/01/1990	BANC ONE SECURITIES, INC.	CRD# 17436	
B	08/28/1989 - 04/20/1990	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	05/25/1988 - 09/14/1989	MARION BASS SECURITIES CORPORATION	CRD# 7961	CHARLOTTE, NC

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
04/2017 - Present	World Choice Securities, Inc	FinOp, President, Investment Adviser Representative, Principal	Y	Eules, TX, United States
03/2003 - 12/2018	REGIS ASSET MANAGEMENT, LLC	MANAGING DIRECTOR	Y	WESTERVILLE, OH, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2009 - 05/2018	CAPITAL CITY SECURITIES, LLC	REGISTERED REPRESENTATIVE/PRINCIPAL	Y	COLUMBUS, OH, 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.

RFG PROPERTIES, LLC. SINCE 2003 NON-INVESTMENT RELATED; 5449 Lake Shore Avenue, Westerville, OH 43082, Property Management, Vacation property, APPROXIMATELY 4 HOURS PER MONTH, LESS THAN 1% OF TIME DURING TRADING HOURS, managing member.



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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	07/15/2026
Docket/Case Number:	2022076766203
Employing firm when activity occurred which led to the regulatory action:	World Choice Securities, Inc.
Product Type:	Other: Private securities transactions
Allegations:	Without admitting or denying the findings, Cargin consented to the sanctions and to the entry of findings that he executed 19 approval forms for private securities transactions (PSTs) that were dated between November 2021 and August 2022, when the transactions had occurred, which created the inaccurate impression that Cargin had pre-approved these transactions when he had not.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	07/15/2026



Sanctions Ordered:

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	Four months
Start Date:	08/05/2026
End Date:	12/04/2026

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/05/2026
Was any portion of penalty waived?	No

Amount Waived:

.....

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	07/15/2026
Docket/Case Number:	2022076766203
Employing firm when activity occurred which led to the regulatory action:	World Choice Securities, Inc



Product Type:	No Product
Allegations:	Respondent falsified documents
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	07/15/2026
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	4 months
Start Date:	08/05/2026
End Date:	12/04/2026
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/29/2026
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Forms created for FINRA submission contained dates of activity approved under Representatives participation as Outside Business Activity were viewed at requests as document title indicated. The Respondents signature approving the statement considered falsified having been backdated.



End of Report

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