



## IAPD Report

# ROGER WILLIAM BOWLIN

CRD# 1905652

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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

### ROGER WILLIAM BOWLIN (CRD# 1905652)

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 **05/04/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	AURORA SECURITIES	CRD# 46147	04/30/2021
<b>IA</b>	SECURE ASSET MANAGEMENT, L.L.C.	CRD# 144046	06/04/2021

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **32** 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>	CONCORDE ASSET MANAGEMENT, LLC	140367	Mercer Island, WA	05/23/2016 - 04/30/2021
<b>B</b>	CONCORDE INVESTMENT SERVICES, LLC	151604	Mercer Island, WA	05/23/2016 - 04/30/2021
<b>B</b>	INDEPENDENT FINANCIAL GROUP, LLC	7717	Issaquah, WA	12/12/2008 - 05/19/2016

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
Customer Dispute	17



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

### Employment 1 of 2

Firm Name: **AURORA SECURITIES**  
Main Address: 2565 WEST MAPLE  
TROY, MI 48084  
Firm ID#: 46147

Regulator	Registration	Status	Date
<b>B</b> FINRA	Direct Participation Programs	Approved	04/30/2021
<b>B</b> FINRA	General Securities Representative	Approved	04/30/2021
<b>B</b> Alaska	Agent	Approved	09/20/2024
<b>B</b> Arizona	Agent	Approved	04/30/2021
<b>B</b> California	Agent	Approved	04/30/2021
<b>B</b> Colorado	Agent	Approved	05/03/2021
<b>B</b> Connecticut	Agent	Approved	07/18/2025
<b>B</b> Delaware	Agent	Approved	03/20/2024
<b>B</b> District of Columbia	Agent	Approved	03/12/2024
<b>B</b> Florida	Agent	Approved	04/30/2021
<b>B</b> Georgia	Agent	Approved	07/15/2021
<b>B</b> Hawaii	Agent	Approved	04/30/2021
<b>B</b> Idaho	Agent	Approved	04/12/2022



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Illinois	Agent	Approved	05/08/2025
<b>B</b> Indiana	Agent	Approved	04/03/2023
<b>B</b> Louisiana	Agent	Approved	04/18/2025
<b>B</b> Maryland	Agent	Approved	06/22/2023
<b>B</b> Massachusetts	Agent	Approved	07/30/2024
<b>B</b> Michigan	Agent	Approved	03/25/2024
<b>B</b> Minnesota	Agent	Approved	04/29/2024
<b>B</b> Montana	Agent	Approved	03/06/2025
<b>B</b> Nevada	Agent	Approved	01/11/2024
<b>B</b> New York	Agent	Approved	03/23/2023
<b>B</b> North Carolina	Agent	Approved	05/07/2026
<b>B</b> North Dakota	Agent	Approved	03/06/2025
<b>B</b> Ohio	Agent	Approved	12/06/2024
<b>B</b> South Carolina	Agent	Approved	03/25/2024
<b>B</b> Tennessee	Agent	Approved	03/25/2026
<b>B</b> Texas	Agent	Approved	10/19/2021
<b>B</b> Utah	Agent	Approved	03/22/2023
<b>B</b> Virginia	Agent	Approved	10/14/2024
<b>B</b> Washington	Agent	Approved	04/30/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Wisconsin	Agent	Approved	04/24/2024
<b>B</b> Wyoming	Agent	Approved	11/19/2025

### Branch Office Locations

50 California St  
San Francisco, CA 94111

10510 Northup Way  
Suite 150  
Kirkland, WA 98033

### Employment 2 of 2

Firm Name: **SECURE ASSET MANAGEMENT, L.L.C.**  
 Main Address: 2565 WEST MAPLE RD  
 TROY, MI 48084  
 Firm ID#: 144046

Regulator	Registration	Status	Date
<b>IA</b> Washington	Investment Adviser Representative	Approved	06/04/2021

### Branch Office Locations

**SECURE ASSET MANAGEMENT, L.L.C.**  
1 Market Street  
36th Floor  
San Francisco, CA 94105

**SECURE ASSET MANAGEMENT, L.L.C.**  
10510 Northup Way  
Suite 150  
Kirkland, WA 98033



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	06/27/1990
Direct Participation Programs Representative Examination (S22)	Series 22	12/07/1988

#### State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/30/1994
Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/1988

### 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	05/23/2016 - 04/30/2021	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	Mercer Island, WA
B	05/23/2016 - 04/30/2021	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	Mercer Island, WA
B	12/12/2008 - 05/19/2016	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	Issaquah, WA
IA	12/12/2008 - 05/19/2016	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	Issaquah, WA
B	10/18/2007 - 12/15/2008	EPLANNING SECURITIES, INC.	CRD# 46000	EDMONDS, WA
IA	10/17/2007 - 12/15/2008	EPLANNING ADVISORS INC	CRD# 109184	ROSEVILLE, CA
IA	06/23/2000 - 10/18/2007	PACIFIC WEST FINANCIAL CONSULTANT INC	CRD# 108728	SEATTLE, WA
B	06/19/2000 - 10/18/2007	PACIFIC WEST SECURITIES, INC.	CRD# 6390	EDMONDS, WA
B	05/07/1994 - 07/19/2000	PACIFIC HARBOR SECURITIES, INC.	CRD# 8755	HIGHLAND, UT
B	06/04/1993 - 04/08/1994	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL
B	06/21/1990 - 05/26/1992	LANEY & COMPANY	CRD# 8755	HIGHLAND, UT
B	12/08/1988 - 10/25/1989	HALLIDAY CAPITAL PARTNERS, INC.	CRD# 16547	

### 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
06/2021 - Present	Secure Asset Management LLC	Investment Advisor Representative	Y	Kirkland, WA, United States
04/2021 - Present	Aurora Securities, Inc.	Registered Representative	Y	Kirkland, WA, United States
05/2016 - 04/2021	Concorde Asset Management, LLC	Investment Adviser Representative	Y	Livonia, MI, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2016 - 04/2021	Concorde Investment Services, LLC	Registered Representative	Y	Livonia, MI, 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. Advisor Board Member-"Washington Policy Center". Non-Profit Providing Non-Partisan Studies For WA state since 06/2010. Non-Investment Related. Approx. 5% Time Spent. Business conducted at 1100 Olive Way, Suite 1500 Seattle, WA 98101.
2. 100% Owner of Real Estate Transition Solutions, LLC. Consulting to real estate owners providing feasibility, resources, and cost analysis for development or enhancement of their property since 2011. Investment related. 25% during business hours in 10510 Northup Way, Suite 150 Kirkland, WA.
3. Riverwalk Holdings, Chelan, WA. Investment Related. Real estate rental property providing rental income since June 2014. 1-5 hrs/mo outside business hours, 1-5 hrs/mo during business hours.
4. R.W. Bowlin Investment Solutions, Inc. Investment Related. 10510 Northup Way, Suite 150 Kirkland, WA 98033. Securities DBA. Owner/President. Duties include securities related activities and recommendations/placement. 11-20 hrs/mo outside business hours, 21-40 hrs/mo during business hours.
5. Riverwalk 2, 3 and 4. Business conducted at 10510 Northup Way, Suite 150, Kirkland, WA 98033. Investment-Related. Real estate rental property. Start date September 2021. 1-5 hrs/mo outside business hours, 1-5 hrs/mo during trading hours.
6. Secure Asset Management, LLC. Investment related. Business conducted at 10510 Northup Way, Suite 150 Kirkland, WA 98033. Investment Advisor Representative. Start date: May 2021. Part time during trading hours.



## 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	17

### 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 17

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AURORA SECURITIES
<b>Allegations:</b>	Customer alleges unsuitable investment recommendation in real estate security.
<b>Product Type:</b>	Real Estate Security
<b>Alleged Damages:</b>	\$345,555.00

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA Dispute Resolution
<b>Docket/Case #:</b>	26-00570
<b>Date Notice/Process Served:</b>	03/23/2026
<b>Arbitration Pending?</b>	Yes

#### Disclosure 2 of 17

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AURORA SECURITIES
<b>Allegations:</b>	Customer alleges unsuitable investment recommendation in real estate security.



**Product Type:** Real Estate Security

**Alleged Damages:** \$1,533,004.26

**Arbitration Information**

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

**Docket/Case #:** 26-00130

**Date Notice/Process Served:** 02/26/2026

**Arbitration Pending?** Yes

**Disclosure 3 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges unsuitable investment recommendation in real estate securities investments.

**Product Type:** Real Estate Security

**Alleged Damages:** \$200,000.00

**Arbitration Information**

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

**Docket/Case #:** 26-00604

**Date Notice/Process Served:** 03/23/2026

**Arbitration Pending?** Yes

**Disclosure 4 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimants allege unsuitable recommendations of a real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$300,000.00

**Arbitration Information**

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

**Docket/Case #:** 26-00517

**Date Notice/Process Served:** 03/23/2026



**Arbitration Pending?** Yes

#### Disclosure 5 of 17

**Reporting Source:** Individual

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

**Allegations:** Customer alleges unsuitable investment recommendation in real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 26-00788

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/31/2026

#### Customer Complaint Information

**Date Complaint Received:** 04/14/2026

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

#### Disclosure 6 of 17

**Reporting Source:** Individual

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

**Allegations:** Claimants allege unsuitable investment recommendation in a real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$222,513.53

#### Arbitration Information

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

**Docket/Case #:** 26-00585

**Date Notice/Process Served:** 04/08/2026

**Arbitration Pending?** Yes



**Disclosure 7 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges unsuitable investment recommendation in a real estate securities investment.

**Product Type:** Real Estate Security

**Alleged Damages:** \$880,565.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 26-00520

**Filing date of arbitration/CFTC reparation or civil litigation:** 03/06/2026

**Customer Complaint Information**

**Date Complaint Received:** 03/23/2026

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 8 of 17**

**Reporting Source:** Individual

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

**Allegations:** Customer alleges unsuitable investment recommendations in real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution



**Docket/Case #:** 26-00192  
**Filing date of arbitration/CFTC reparation or civil litigation:** 01/25/2026

### Customer Complaint Information

**Date Complaint Received:** 02/09/2026  
**Complaint Pending?** No  
**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)  
**Status Date:** 01/25/2026  
**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

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

**Docket/Case #:** 26-00192  
**Date Notice/Process Served:** 01/25/2026  
**Arbitration Pending?** Yes

### Disclosure 9 of 17

**Reporting Source:** Individual  
**Employing firm when activities occurred which led to the complaint:** AURORA SECURITIES  
**Allegations:** Claimant alleges unsuitable investment recommendations in a real estate securities investment.  
**Product Type:** Real Estate Security  
**Alleged Damages:** \$5,000,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** No  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 26-00141  
**Filing date of arbitration/CFTC reparation or civil litigation:** 01/22/2026

### Customer Complaint Information

**Date Complaint Received:** 02/09/2026



**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 10 of 17**

**Reporting Source:** Individual

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

**Allegations:** Customer alleges unsuitable investment recommendations in real estate securities.

**Product Type:** Real Estate Security

**Alleged Damages:** \$4,300,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 26-00214

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/29/2026

### Customer Complaint Information

**Date Complaint Received:** 02/09/2026

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 11 of 17**

**Reporting Source:** Individual

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

**Allegations:** The customer alleges unsuitable investment recommendation of real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,450,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No



**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-02777

**Filing date of arbitration/CFTC reparation or civil litigation:** 12/17/2025

### Customer Complaint Information

**Date Complaint Received:** 01/21/2026

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 12 of 17

**Reporting Source:** Individual

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

**Allegations:** Customer alleges unsuitable investment recommendation in real estate security.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 26-00119

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/20/2026

### Customer Complaint Information

**Date Complaint Received:** 02/09/2026

**Complaint Pending?** No

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

**Status Date:** 01/20/2026

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

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

**Docket/Case #:** 26-00119

**Date Notice/Process Served:** 02/20/2026

**Arbitration Pending?** Yes

**Disclosure 13 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges the real estate securities investment recommendations were not suitable.

**Product Type:** Real Estate Security

**Alleged Damages:** \$600,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-02457

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/10/2025

**Customer Complaint Information**

**Date Complaint Received:** 11/17/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 14 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges unsuitable investment recommendation in a real estate securities investment.

**Product Type:** Real Estate Security



**Alleged Damages:** \$1,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-02558

**Filing date of arbitration/CFTC reparation or civil litigation:** 11/24/2025

### Customer Complaint Information

**Date Complaint Received:** 11/24/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 15 of 17

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges unsuitable investment recommendation.

**Product Type:** Real Estate Security

**Alleged Damages:** \$475,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-02197

**Filing date of arbitration/CFTC reparation or civil litigation:** 10/14/2025

### Customer Complaint Information

**Date Complaint Received:** 10/30/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 16 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges that investments recommended were unsuitable.

**Product Type:** Real Estate Security

**Alleged Damages:** \$1,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-02090

**Filing date of arbitration/CFTC reparation or civil litigation:** 09/30/2025

**Customer Complaint Information**

**Date Complaint Received:** 10/06/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 17 of 17**

**Reporting Source:** Individual

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

**Allegations:** Claimant alleges mismanagement of their account(s),

**Product Type:** Real Estate Security

**Alleged Damages:** \$5,000,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** No

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA Dispute Resolution

**Docket/Case #:** 25-01863



**Filing date of arbitration/CFTC reparation or civil litigation:** 09/05/2025

**Customer Complaint Information**

**Date Complaint Received:** 09/15/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**



## End of Report

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