



IAPD Report

ERIK CHRISTOPHER WEIR

CRD# 2009973

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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

ERIK CHRISTOPHER WEIR (CRD# 2009973)

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 **01/02/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TAVERIK CAPITAL, LLC	CRD# 156594	07/29/2011

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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	FIRST ALLIED SECURITIES, INC.	32444	SIMPSONVILLE, SC	08/23/2005 - 03/30/2010
IA	WEIR CAPITAL MANAGEMENT LLC	109614	WALNUT CREEK, CA	02/26/1999 - 04/01/2005

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	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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TAVERIK CAPITAL, LLC**
Main Address: 201 RIVERPLACE
SUITE 500
GREENVILLE, SC 29601
Firm ID#: 156594

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	07/25/2019
IA	California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA	Georgia	Investment Adviser Representative	Approved	05/16/2017
IA	South Carolina	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

TAVERIK CAPITAL, LLC
201 RIVERPLACE
SUITE 500
GREENVILLE, SC 29601



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/27/1994
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PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	08/23/2005 - 03/30/2010	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SIMPSONVILLE, SC
IA	02/26/1999 - 04/01/2005	WEIR CAPITAL MANAGEMENT LLC	CRD# 109614	WALNUT CREEK, CA

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
02/2011 - Present	WCM GLOBAL WEALTH, LLC	MANAGER	Y	SIMPSONVILLE, SC, United States
10/2005 - Present	WEIR CAPITAL MANAGEMENT, LLC	PRESIDENT	Y	SIMPSONVILLE, SC, 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. CHRISTOPHER KENDALL, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - LLC MANAGES SEVERAL SMALL REG D OFFERINGS (SEE BELOW) - MANAGING MEMBER - START DATE: 9/15/03 - 1 HOUR A MONTH NOT DURING TRADING HOURS
2. CHARLESTON PLACE AT LAKE GREENWOOD, LLC - 5503 HIGHWAY 72/221 E. GREENWOOD, SC 29649 - REAL ESTATE DEVELOPMENT, REG-D OFFERING, MANAGED BY CHRISTOPHER KENDALL, LLC - START DATE: 6/1/2007 - 2 HOURS PER MONTH DURING TRADING HOURS
3. MARKET POINT DRIVE, LLC - ONE MARKET POINT DRIVE, GREENVILLE, SC 29601 - RESTAURANT, REG D OFFERING - RESTAURANT, REG-D OFFERING - PARTIAL OWNER, MANAGED BY CHRISTOPHER KENDALL, LLC - START DATE: 7/1/2007 - REQUIRES NO TIME COMMITMENT
4. DEEP WATER POINT LLC - 5503 HIGHWAY 72/221 E. GREENWOOD, SC 29649 - REAL ESTATE DEVELOPMENT, REG-D OFFERING, MANAGED BY CHRISTOPHER KENDALL, LLC - START DATE: 1/1/2008 - 1 HOUR PER MONTH DURING TRADING HOURS
5. ECW PARTNERS, LLC - 225 EAST MAIN STREET SALEM, SC 29676 - DOLLAR GENERAL STORE - OWNER - NO TIME COMMITMENT
6. WCM GLOBAL WEALTH LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - INVESTMENT ADVISER FIRM - START DATE: 7/29/2011 - 70 HOURS A MONTH, 60 HOURS DURING TRADING HOURS
7. AVIATION VENTURES, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - LLC MANAGES SEVERAL SMALL REG-D OFFERINGS - MANAGING MEMBER
8. AV REAL ESTATE FUND, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY AVIATION VENTURES, LLC - 5 HOURS A MONTH, 5 HOURS DURING TRADING HOURS
9. AVIATION VENTURES SERIES FUND II LLC, SERIES THREE - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGED BY AVIATION VENTURES, LLC - 5 HOURS A MONTH, 5 HOURS DURING TRADING HOURS
10. SC RE-DEVELOPMENT PARTNERS, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY WCM GLOBAL WEALTH, LLC - 3 HOURS A MONTH, 3 HOURS DURING TRADING HOURS
11. REEDY RIVER FALLS, LLC - 201 RIVERPLACE, SUITE 500 GREENVILLE, SC 29601 - LLC MANAGES SEVERAL SMALL REG-D OFFERINGS - MANAGING MEMBER - NO TIME COMMITMENT
12. SC STRATEGIC OPPORTUNITY FUND, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGED BY REEDY RIVER FALLS, LLC - 25 HOURS A MONTH, 20 HOURS DURING TRADING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

HOURS. 13. SC STRATEGIC OPPORTUNITY II FUND, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGED BY REEDY RIVER FALLS, LLC - 10 HOURS A MONTH, 8 HOURS DURING TRADING HOURS. 14. WTA GROUP, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - LLC MANAGES SEVERAL SMALL REG-D OFFERINGS, MANAING MEMBER - 10 HOURS A MONTH, 8 HOURS DURING TRADING HOURS. 15. WTA EQUITY FUND, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY WTA GROUP LLC - 1 HOURS A MONTH, 1 HOUR DURING TRADING HOURS. 16. WTA P&A FUND, LLC - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY WTA GROUP LLC - 1 HOURS A MONTH, 1 HOUR DURING TRADING HOURS. 17. WTA DEVELOPMENT FUND LLC, SERIES ONE - INVESTMENT RELATED - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY WTA GROUP LLC - 1 HOURS A MONTH, 1 HOUR DURING TRADING HOURS. 18. EDISTO RIVER INVESTORS, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - MANAGED BY CHRISTOPHER KENDALL, LLC - 10 HOURS A MONTH, 8 HOUR DURING TRADING HOURS. 19. WCM DEVELOPEMENT LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - 4 HOURS A MONTH, 4 HOURS DURING TRADING HOURS. 20. 201 RIVERPLACE OFFICE, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGING MEMBER, NO TIME COMMITTMENT. 21. MAGNOLIA HALL PLANTATION, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601 - NO TIME COMMITTMENT. 22. WCM PLANNING GROUP, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGING MEMBER, 1 HOUR A MONTH, 1 HOUR DURING TRADING HOURS. 23 WEIR CAPITAL MANAGEMENT, LLC - 201 RIVERPLACE SUITE 500 GREENVILLE, SC 29601, MANAGING MEMBER, NO TIME COMMITTMENT.



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	1
Termination	1

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.

Allegations: CLIENT IS ALLEGING 1.) NEGLIGENCE; 2.) NEGLIGENT SUPERVISION; 3.) FRAUD; 4.) BREACH OF FIDUCIARY DUTY; AND 5.) UNJUST ENRICHMENT FROM THE PERIOD JUNE 2008 TO APRIL 2009.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Equipment Leasing
Real Estate Security
Other: EXCHANGE TRADED FUNDS

Alleged Damages: \$500,000.00

Arbitration Information

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

Docket/Case #: 10-01238

Date Notice/Process Served: 04/14/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/21/2011



Monetary Compensation Amount: \$170,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST ALLIED SECURITIES, INC.

Allegations: CLIENT IS ALLEGING 1.) NEGLIGENCE; 2.) NEGLIGENT SUPERVISION; 3.) FRAUD; 4.) BREACH OF FIDUCIARY DUTY; AND 5.) UNJUST ENRICHMENT FROM THE PERIOD JUNE 2008 TO APRIL 2009.

Product Type: Annuity-Variable
Direct Investment-DPP & LP Interests
Equipment Leasing
Real Estate Security
Other: EXCHANGE TRADED FUNDS

Alleged Damages: \$500,000.00

Arbitration Information

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

Docket/Case #: 10-01238

Date Notice/Process Served: 04/14/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/21/2011

Monetary Compensation Amount: \$170,000.00

Individual Contribution Amount: \$0.00

Broker Statement CLAIMANT BROUGHT AN ACTION SEEKING DAMAGES AGAINST MR. WEIR, THE BROKERAGE FIRM FOR WHICH MR. WEIR WAS EMPLOYED AT THE TIME, AS WELL AS SEVERAL OTHER RESPONDENTS. CLAIMANT FILED HER CLAIM IN THE WAKE OF THE MARKET CRASH, DURING WHICH CLAIMANT'S ACCOUNTS, LIKE THE ACCOUNTS OF THE MAJORITY OF INVESTORS, DECLINED IN VALUE DUE TO MARKET FLUCTUATIONS. WHILE CLAIMANT'S ACCOUNT REGAINED VALUE IN SUBSEQUENT MONTHS, SHE SOUGHT TO ALLOCATE THE BLAME FOR THAT HISTORIC COLLAPSE TO HER FORMER BROKER AND OTHER RESPONDENTS. CLAIMANT REDEEMED AN ANNUITY ON OR ABOUT 6/2008 TO PAY FOR CERTAIN LIVING EXPENSES AND TO INVEST IN OTHER PRODUCTS THAT WOULD PROVIDE HER GREATER INCOME. AFTER THE MARKET BOTTOMED OUT IN THE SPRING OF 2009 AND IN THE MIDST OF TAX SEASON, CLAIMANT COMPLAINED OF THE INCOME TAX SHE WOULD HAVE TO PAY ON THE ANNUITY SHE REDEEMED. CLAIMANT WAS WELL AWARE OF THE TAX CONSEQUENCES OF REDEEMING THE ANNUITY BECAUSE SHE HAD BEEN TAKING DISTRIBUTIONS FOR MANY YEARS PRIOR AND PAYING TAXES ON THEM.



COMPLAINANT AND MR. WEIR HAD DISCUSSED SUCH TAX CONSEQUENCES AND COMPLAINANT SIGNED CERTAIN FORMS ACKNOWLEDGING THAT SHE WOULD BE LIABLE FOR SUCH TAXES. COMPLAINANT ALSO ALLEGED THAT MR. WEIR MADE UNSUITABLE INVESTMENTS WITH SOME OF THE REDEMPTION PROCEEDS. THIS IS UNTRUE AS THE PRODUCTS MR. WEIR RECOMMENDED WERE CONSISTENT WITH CLAIMANT'S INVESTMENT OBJECTIVE AND RISK TOLERANCE. FURTHER, MR. WEIR HAD NO DISCRETION OR CONTROL OVER THE SUB-ACCOUNTS IN THE ANNUITIES OR OVER CLAIMANT'S SUBSEQUENT PURCHASES. MR. WEIR COULD NOT HAVE MADE THESE SALES AND PURCHASES ABSENT COMPLAINANT'S CONSENT. THEREFORE, THERE WAS NO BREACH OF FIDUCIARY DUTY ABSENT DISCRETIONARY CONTROL. FINALLY, THERE WAS NO UNJUST ENRICHMENT AS CLAIMANT PAID REASONABLE FEES IN ACCORDANCE WITH HER AGREEMENT. THE BROKERAGE FIRM AND OTHER RESPONDENTS SETTLED WITH COMPLAINANT FOR \$170,000 IN ORDER TO AVOID THE SIGNIFICANT COST OF DEFENDING A LAWSUIT. WEIR DID NOT PERSONALLY CONTRIBUTE ANY FUNDS TO THE SETTLEMENT.



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: Individual

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Discharged

Termination Date: 11/30/1994

Allegations: N/A
FIRM ALLEGED THAT I WAS SOLICITING CUSTOMERS
TO TRANSFER THIER ACCOUNTS TO ANOTHER FIRM.

Product Type:

Other Product Types:

Broker Statement I VOLUNTARILTY RESIGNED AND SUBMITTED A LETTER
OF RESIGNATION
I DISAGREE WITH MERRILL LYNCHS CHARACTERIZATION
OF MY DEPARTURE AS A TERMINATION. I VOLUNTARILY RESIGNED AND
SUBMITTED A LETTER OF RESIGNATION. I AM MERELY CHECKING YES TO
22N1 TO FACILIATE THE TRANSFER OF MY LICENSE.



End of Report

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