



IAPD Report

ASHER DOV WOLMARK

CRD# 2064857

<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

ASHER DOV WOLMARK (CRD# 2064857)

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 **01/16/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	145658	Skokie, IL	06/07/2013 - 01/16/2026
IA	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	145658	EVANSTON, IL	04/08/2008 - 04/25/2013
IA	ADVANCED EQUITIES, INC.	35545	CHICAGO, IL	03/21/2005 - 11/21/2005

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
Regulatory Event	1
Customer Dispute	1
Financial	2
Judgment/Lien	4



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 not currently registered as an Investment Adviser Representative.



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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/13/1997

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	06/07/2013 - 01/16/2026	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	CRD# 145658	Skokie, IL
IA	04/08/2008 - 04/25/2013	KINGSBURY CAPITAL INVESTMENT ADVISORS LLC	CRD# 145658	EVANSTON, IL
IA	03/21/2005 - 11/21/2005	ADVANCED EQUITIES, INC.	CRD# 35545	CHICAGO, IL
IA	12/10/2003 - 03/30/2005	FAHNESTOCK ASSET MANAGEMENT	CRD# 249	MINNEAPOLIS, MN
IA	06/28/2002 - 01/02/2004	MCDONALD INVESTMENTS INC.	CRD# 566	CHICAGO, IL

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
04/2008 - Present	KINGSBURY CAPITAL INVESTMENT ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHICAGO, IL, United States
03/2015 - 12/2019	KINGSBURY CAPITAL, INC.	PRESIDENT	Y	EVANSTON, IL, 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) DHC 2016 MANAGEMENT LLC
1560 SHERMAN AVE, SUITE 510
EVANSTON IL 60201
MANAGING MEMBER
SINCE 11/2016
MANAGES DHC 2016 LLC WHICH WILL MAKE A PRIVATE INVESTMENT IN DOSH, LLC



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
Customer Dispute	1
Financial	2
Judgment/Lien	4

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:	ILLINOIS
Sanction(s) Sought:	Revocation
Date Initiated:	02/07/2013
Docket/Case Number:	1200438
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	KINGSBURY CAPITAL LLC KINGSBURY CAPITAL INVESTMENT ADVISORS LLC
Product Type:	No Product
Allegations:	ON FEBRUARY 7, 2013, THE ILLINOIS DEPARTMENT OF SECURITIES ENTERED A NOTICE OF HEARING AGAINST THE RESPONDENT ASHER DOV WOLMARK FOR FAILING TO PAY THE FINAL ASSESSMENT OF A TAX ADMINISTERED BY THE ILLINOIS DEPARTMENT OF REVENUE.
Current Status:	Final
Resolution:	Order



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:	04/04/2013
Sanctions Ordered:	Revocation Other: RESPONDENT ASHER DOV WOLMARK'S REGISTRATION AS A REGISTERED INVESTMENT ADVISER REPRESENTATIVE IS REVOKED IN THE STATE OF ILLINOIS.
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	GENERAL SECURITIES PRINCIPAL, FINANCIAL OPERATIONS PRINCIPAL, ALL CAPACITIES, ETC
Duration:	
Start Date:	04/04/2013
End Date:	
Regulator Statement	ON APRIL 4, 2013, A DEFAULT JUDGMENT WAS GRANTED AGAINST RESPONDENT ASHER DOV WOLMARK. THE ALLEGATIONS IN THE NOTICE OF HEARING THAT RESPONDENT WOLMARK VIOLATED SECTION 8.E(1)(O) OF THE ILLINOIS SECURITIES ACT OF 1953 IN THIS CASE WERE DEEMED ADMITTED. AS A RESULT, RESPONDENT ASHER DOV WOLMARK'S REGISTRATION AS A REGISTERED INVESTMENT ADVISER REPRESENTATIVE IS REVOKED IN THE STATE OF ILLINOIS.
<hr/>	
Reporting Source:	Individual
Regulatory Action Initiated By:	STATE OF ILLINOIS
Sanction(s) Sought:	Revocation
Date Initiated:	02/07/2013
Docket/Case Number:	1200438
Employing firm when activity occurred which led to the regulatory action:	KINGSBURY CAPITAL LLC KINGSBURY CAPITAL INVESTMENT ADVISORS LLC
Product Type:	Other: TAX ISSUE - UNRELATEDS TO SECURITIES ACTIVITIES
Allegations:	ALLEGATION - MR. WOLMARK FAILED TO PAY FINAL ASSESSMENT OF A TAX ADMINISTERED BY THE ILLINOIS DEPARTMENT OF REVENUE
Current Status:	Final
Resolution:	Order



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: 04/04/2013

Sanctions Ordered: Revocation

Broker Statement

MR. WOLMARK FAILED TO PAY A TAX ADMINISTERED BY THE STATE OF ILLINOIS AND AS A RESULT OF SUCH NON-PAYMENT HAD HIS ILLINOIS SALESPERSON AND INVESTMENT ADVISER REPRESENTATIVE LICENSE TEMPORARILY REVOKED. UNFORTUNATELY MR. WOLMARK WAS IN THE MIDST OF AN ACRIMONIOUS DIVORCE PROCEEDING IN WHICH THE RESPONSIBILITY OF WHO OWED THE TAX WAS AT ISSUE. MR. WOLMARK PAID HIS TAX OBLIGATION TO THE STATE AND HIS STATE SECURITIES LICENSES HAVE BEEN REINSTATED AND ARE CURRENT. MR. WOLMARK SIGNED A PROVISIONAL REGISTRATION AGREEMENT WHICH WAS ACCEPTED BY THE STATE OF ILLINOIS ON 6/7/2013.



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 UNION SECURITIES INC. (CURRENTLY KNOWN AS WACHOVIA SECURITIES INC.)
Allegations:	FLORIDA RESIDENT HAS COMPLAINED THAT FROM 1997 THROUGH 2000 HIS BROKER BREACHED HIS FIDUCIARY OBLIGATIONS, RECOMMENDED UNSUITABLE INVESTED AND CHURNED HIS ACCOUNT INVESTING PRIMARILY IN OPTIONS. HIS DEMAND IS \$1,631,877.72.
Product Type:	Options
Alleged Damages:	\$1,631,877.72

Customer Complaint Information

Date Complaint Received: 11/15/2002

Complaint Pending? No

Status: Denied

Status Date: 12/19/2002

Settlement Amount:

Individual Contribution Amount:

Firm Statement THE FIRM'S REVIEW OF THIS MATTER DID NOT REVEAL ANY SUPPORT FOR THE CLIENT'S CLAIMS. HIS DEMAND FOR RESTITUTION WAS DENIED IN FULL.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST UNION SECURITIES

Allegations: FLORIDA RESIDENT COMPLAINED THAT FROM 1997-2000, BROKER BREACHED FIDUCIARY OBLIGATIONS, RECOMMENDED UNSUITABLE INVESTMENTS AND CHURNED HIS ACCOUNT INVESTING PRIMARILY IN OPTIONS.

Product Type: Options

Alleged Damages: \$1,631,877.72

Customer Complaint Information

Date Complaint Received: 11/15/2002

Complaint Pending? No



Status:	Denied
Status Date:	12/19/2002
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	FIRST UNION SECURITIES REVIEWED THE MATTER AND DID NOT FIND ANY SUPPORT FOR THE CLIENT'S CLAIMS. FIRST UNION DENIED ALL CLAIMS.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 13
Action Date: 03/03/2016

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: UNITED STATE BANKRUPTCY COURT NORTHERN DISTRICT OF ILLINOIS
Location of Court: CHICAGO, IL
Docket/Case #: 16-07342
Action Pending? No
Disposition: Dismissed
Disposition Date: 11/08/2016

Broker Statement Chapter 11 bankruptcy was dismissed because it was filed in error and then refiled again as Chapter 13.

Disclosure 2 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 11
Action Date: 07/27/2017

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: UNITED STATE BANKRUPTCY COURT NORTHERN DISTRICT OF ILLINOIS
Location of Court: CHICAGO, IL
Docket/Case #: 17-22419
Action Pending? No
Disposition: Dismissed
Disposition Date: 09/12/2018



Judgment/Lien

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

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$40,879.30
Judgment/Lien Type: Tax
Date Filed with Court: 10/02/2018
Date Individual Learned: 10/02/2018
Type of Court: Federal Court
Name of Court: Federal
Location of Court: Chicago, IL
Docket/Case #: 1000237046
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$152,833.00
Judgment/Lien Type: Tax
Date Filed with Court: 07/12/2017
Date Individual Learned: 07/24/2017
Type of Court: Federal Court
Name of Court: Federal Court
Location of Court: Chicago, IL
Docket/Case #: 1719304075
Judgment/Lien Outstanding? Yes
Broker Statement This lien was part of the Chapter 11 Bankruptcy filing

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: MB Financial Bank
Judgment/Lien Amount: \$353,895.00
Judgment/Lien Type: Civil
Date Filed with Court: 05/04/2017
Date Individual Learned: 05/05/2017
Type of Court: State Court



Name of Court: Illinois
Location of Court: Cook County, IL
Docket/Case #: 16L11425
Judgment/Lien Outstanding? Yes
Broker Statement
This judgement from MB financial was part of the original chapter 13 bankruptcy filing on 3-3-2016. This bankruptcy was subsequently discharged by the bankruptcy trustee due to lawyer error of eligibility. As such, MB financial has refiled its judgement in advance of my refiling under the chapter 11 bankruptcy code.

Disclosure 4 of 4

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$33,661.00
Judgment/Lien Type: Tax
Date Filed with Court: 02/01/2013
Date Individual Learned: 02/10/2013
Type of Court: Federal Court
Name of Court: Federal Court
Location of Court: Chicago IL
Docket/Case #: 1303ZZ6174
Judgment/Lien Outstanding? Yes
Broker Statement
This lien is part of the Chapter 11 Bankruptcy



End of Report

This page is intentionally left blank.