IAPD Report

BRUCE CAMERON AMMAN

CRD# 2130243

Section Title | Page(s)

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

BRUCE CAMERON AMMAN (CRD# 2130243)

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 **03/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PVG ASSET MANAGEMENT CORP	CRD# 105541	10/28/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	LPL FINANCIAL LLC	6413	Golden, CO	09/10/2008 - 07/17/2020
B	LPL FINANCIAL LLC	6413	GOLDEN, CO	09/09/2008 - 07/17/2020
B	CITIGROUP GLOBAL MARKETS INC.	7059	DENVER, CO	05/29/2007 - 07/31/2008

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
Criminal	2
Termination	1
Judgment/Lien	3

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PVG ASSET MANAGEMENT CORP**

Main Address: 6898 S. UNIVERSITY BLVD.
SUITE 100
CENTENNIAL, CO 80122

Firm ID#: 105541

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	10/28/2020

Branch Office Locations

PVG ASSET MANAGEMENT CORP
6898 S. UNIVERSITY BLVD.
SUITE 100
CENTENNIAL, CO 80122

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	08/26/2003
B	General Securities Representative Examination (S7)	Series 7	04/30/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/30/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/08/1991

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	09/10/2008 - 07/17/2020	LPL FINANCIAL LLC	CRD# 6413	Golden, CO
B	09/09/2008 - 07/17/2020	LPL FINANCIAL LLC	CRD# 6413	GOLDEN, CO
B	05/29/2007 - 07/31/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DENVER, CO
IA	05/29/2007 - 07/31/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	DENVER, CO
IA	05/31/2006 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	DENVER, CO
B	01/30/2006 - 05/29/2007	CITICORP INVESTMENT SERVICES	CRD# 23988	DENVER, CO
IA	04/26/2001 - 01/05/2006	MORGAN STANLEY	CRD# 7556	DENVER, CO
B	02/11/1999 - 01/05/2006	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	09/17/1993 - 11/06/1998	PIPER JAFFRAY INC.	CRD# 665	MINNEAPOLIS, MN
B	05/31/1991 - 09/27/1993	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO

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
09/2020 - Present	PVG Asset Management Corporation	President of PVG Family Office , Investment Adviser Representative	Y	Centennial, CO, United States
08/2015 - 07/2020	LPL FINANCIAL	FINANCIAL ADVISOR, Managing Director - the Amman Gleason Group	Y	DENVER, CO, United States

Registration & Employment History

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.

No information reported.

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
Criminal	2
Termination	1
Judgment/Lien	3

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:	
Date Initiated:	04/20/2022
Docket/Case Number:	2020067292901
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC
Product Type:	Other: private placement
Allegations:	Without admitting or denying the findings, Amman consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving one of his member firm customers without providing prior written notice to the firm. The findings stated that the customer, a sophisticated investor, was selling partnership interests in a limited partnership which would generate large capital gains and he wanted to invest in a specialized tax-advantaged investment that would offset those gains. Amman introduced the customer to a third party with experience in these types of investments. In addition to making the introduction, Amman also provided information about the customer to the third party, participated in two phone calls with the customer and the third party, and facilitated the wire transfer out of the customer’s firm account used to fund the investment. The customer invested approximately $3.5 million in the investment, which was a security and structured as a private placement. The customer did not complain. In

	addition, when asked on an annual firm questionnaire whether he had participated in a private securities transaction, Amman incorrectly answered "no."
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:	04/20/2022
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:	12 months
Start Date:	05/02/2022
End Date:	05/01/2023
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:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/20/2022
Docket/Case Number:	2020067292901
Employing firm when activity occurred which led to the regulatory action:	LPL Financial LLC

Product Type:	Other: private placement
Allegations:	Without admitting or denying the findings, Amman consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving one of his member firm customers without providing prior written notice to the firm. The findings stated that the customer, a sophisticated investor, was selling partnership interests in a limited partnership which would generate large capital gains and he wanted to invest in a specialized tax-advantaged investment that would offset those gains. Amman introduced the customer to a third party with experience in these types of investments. In addition to making the introduction, Amman also provided information about the customer to the third party, participated in two phone calls with the customer and the third party, and facilitated the wire transfer out of the customer's firm account used to fund the investment. The customer invested approximately $3.5 million in the investment, which was a security and structured as a private placement. The customer did not complain. In addition, when asked on an annual firm questionnaire whether he had participated in a private securities transaction, Amman incorrectly answered "no."
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:	04/20/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	12 months
Start Date:	05/02/2022
End Date:	05/01/2023
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:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	The switch from advisory to brokerage was always in the best interest of the client

(clients understood). All transactions were discussed with each client. For years I was not paid advisory fees for clients in advisory based accounts at LPL Financial. Therefore, I slowly transitioned my clients from "advisory" to "brokerage" accounts. I did not breach fiduciary duty with any client as every transaction was discussed for the reasoning of the transaction. The SEC provided a letter dated August 21, 2021 stating "Based on the information we have at this date; we do not intend to recommend an enforcement action by the Commission against Mr. Amman."

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 2

Reporting Source:	Individual
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	ON 6/12/04 I WAS CHARGED WITH DISTURBING THE PEACE IN HERMOSA BEACH, CA. THIS IS WHAT WAS NEGOITIATED AFTER BEING ARRESTED FOR INTERUPTING AN INVESTIGATION AND DISTURBING THE PEACE.
Court Details:	CASE NUMBER 4SB05085 MISDEMEANOR CHARGE OF DISTURBING THE PEACE IN SOUTHWEST COURT OF TORRANCE, CA.
Charge Date:	06/12/2004
Charge Details:	CASE NUMBER 4SB05085 HERMOSA BEACH 1)ONE COUNT 2)MISDEMEANOR CHARGE OF DISTURBING THE PEACE 3)GUILTY 4)N/A 1 COUNT OBSTRUCTING, MISDEMEANOR, NOT GUILTY
Felony?	No
Current Status:	Final
Status Date:	09/15/2004
Disposition Details:	CASE NUMBER 4SB05085 MISDEMEANOR CHARGE OF DISTURBING THE PEACE IN SOUTHWEST COURT OF TORRANCE, CA. OBSTRUCTION DISMISSED.
Broker Statement	MEANWHILE A SEALED COURT DOCUMENT WILL FOLLOW. DISMISSED

Disclosure 2 of 2

Reporting Source:	Individual
Court Details:	COURT ARIZONA JDS 0047-09-891
Charge Date:	02/21/1987
Charge Details:	I WAS CHARGED WITH MISDEMEANOR SHOPLIFTING (VALUE LESS THAN $100.00) AND FALSE INFORMATION TO A POLICE OFFICER.
Felony?	No
Current Status:	Final
Status Date:	02/21/1987
Disposition Details:	MISDEMEANOR- AN EIGHT HOUR CLASS
Broker Statement	IN 1987 I WAS INVOLVED IN AN INCIDENT THAT ENDED IN COMPLETE EXPUNCTION. I WAS CHARGED WITH MISDEMEANOR SHOPLIFTING AND FALSE INFORMATION TO A POLICE OFFICER. THIS INCIDENT INCLUDED SEVERAL PEOPLE WHOM WERE INVOLVED IN THE WRONGFUL TAKING OF PROPERTY FROM A DEPARTMENT STORE. AT THE TIME I WAS SOCIAL CHAIRMAN FOR A FRATERNITY AND WAS HELD RESPONSIBLE. THE MISDEMEANOR CHARGE CAME BECAUSE THE VALUE WAS LESS THAN ON HUNDRED DOLLARS. THE FALSE INFORMATION WAS A FALSE BIRTHDATE GIVEN.

I ACCEPT FULL RESPOSIBILITY FOR THE WRONGDOINGS THAT TOOK PLACE IN MY COLLEGE DAYS AND HAVE NO EXCUSES. THIS KIND OF ACTIVITY WAS AN ERROR IN JUDGEMENT, JUVENIAL AND EMBARRASSING.

I ASSURE YOU THIS INCIDENT IS NOT A REFLECTION OF MY INTEGRITY. I HAVE REQUESTED THE CHARGE INFORMATION FROM THE FEDERAL BUREAU OF INVESTIGATION AND ACCORDING TO THE INFORMATION FROM THE ARIZONA COURT SYSTEM; ALL ARREST DATA HAS BEEN DELETED FROM THE COURT FILETHE EVENT TOOK PLACE WHEN I WAS 18YRS. IT WAS A
FRATERNITY INCIDENT. THE ONLY REASON I WAS TAKEN INTO THE SCOTTSDALE POLICE DEPT. WAS BECAUSE I DI NOT HAVE ANY PROPER ID. I INFORMED THE POLICE OFFICER I WAS 17 YR OLD THINKING I WOULD BE LET OFF. THEREFORE I WAS CHARGED WITH A FALSE INFORMATION MISDEMEANOR. TO THE BEST OF MY KNOWLEDGE BOTH WERE EXPUNGED.

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:	Firm
Firm Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	06/19/2020
Allegations:	Use of short-term mutual fund product switches in brokerage accounts.
Product Type:	Mutual Fund

Judgment/Lien

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

Disclosure 1 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$21,799.60
Judgment/Lien Type:	Tax
Date Filed with Court:	08/06/2019
Date Individual Learned:	09/18/2019
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	ARAPAHO COUNTY, CO
Docket/Case #:	D9078609
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEAR 2018. I am the Petitioner, and my former wife was the Respondent. I have been working with the IRS and the State of Colorado for years now regarding the liens, this originated from my divorce.

Disclosure 2 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	$32,450.19
Judgment/Lien Type:	Tax
Date Filed with Court:	07/19/2018
Date Individual Learned:	05/15/2019
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	SEATTLE, WA
Docket/Case #:	D8074693
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEARS 2015, 2016 & 2017. I have been working with the IRS and the State of Colorado for years now regarding the liens, this originated from my divorce.

Disclosure 3 of 3

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$97,803.99
Judgment/Lien Type:	Tax

Date Filed with Court:	05/13/2016
Date Individual Learned:	06/01/2016
Type of Court:	County
Name of Court:	Arapahoe County Clerk and Recorder
Location of Court:	Littleton, CO
Docket/Case #:	D6053166
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX 2008, 2010, 2011, 2012, 2013 & 2014. I have been working with the IRS and the State of Colorado for years now regarding the liens, this originated from my divorce.

End of Report

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