



IAPD Report

DAVID HENRY HOHIMER

CRD# 2146704

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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

DAVID HENRY HOHIMER (CRD# 2146704)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/22/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA HOHIMER WEALTH MANAGEMENT, LLC	CRD# 300140	04/25/2019

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
B WELLS FARGO CLEARING SERVICES, LLC	19616	SEATTLE, WA	02/19/2009 - 04/24/2019
IA WELLS FARGO CLEARING SERVICES, LLC	19616	SEATTLE, WA	02/19/2009 - 04/24/2019
B UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ	02/09/2007 - 03/03/2009

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



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: **HOHIMER WEALTH MANAGEMENT, LLC**
Main Address: ONE UNION SQUARE
600 UNIVERSITY STREET, SUITE 2401
SEATTLE, WA 98101
Firm ID#: 300140

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	04/25/2019

Branch Office Locations

HOHIMER WEALTH MANAGEMENT, LLC
ONE UNION SQUARE
600 UNIVERSITY STREET, SUITE 2401
SEATTLE, WA 98101





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/14/2006
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/15/2006

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	12/20/2003
 General Securities Representative Examination (S7)	Series 7	06/17/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	06/25/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/1991

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
B	02/19/2009 - 04/24/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SEATTLE, WA
IA	02/19/2009 - 04/24/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	SEATTLE, WA
B	02/09/2007 - 03/03/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	02/09/2007 - 03/03/2009	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	12/27/2001 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	SEATTLE, WA
B	11/13/2001 - 02/09/2007	MCDONALD INVESTMENTS INC.	CRD# 566	SEATTLE, WA
B	04/22/1998 - 11/09/2001	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	03/03/1998 - 04/16/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY
B	08/21/1992 - 03/11/1998	CIBC OPPENHEIMER CORP.	CRD# 630	NEW YORK, NY
B	02/04/1992 - 07/20/1992	THOMAS JAMES ASSOCIATES, INC.	CRD# 15609	ROCHESTER, NY
B	06/20/1991 - 08/27/1991	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE

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
06/2020 - Present	LENDINCO	OWNER	N	SEATTLE, WA, United States
06/2020 - Present	RISK & LIABILITY CONSULTANTS LLC	OWNER AND LICENSED INSURANCE AGENT	N	SEATTLE, WA, United States
04/2019 - Present	Hohimer Wealth Management LLC	Managing Member	Y	Seattle, WA, United States
11/2016 - 04/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SEATTLE, WA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SEATTLE, WA, 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) LENDIN CO LLC; NON-INV RELATED; 600 UNIVERSITY STREET SUITE 2401, SEATTLE, WA 98101; PROVIDES RESIDENTIAL LENDING SERVICES; TITLE: OWNER; START: JUNE 2020; 30 HOURS/MONTH; 0 HOURS DURING TRADING; OWNER OF FIRM PROVIDING RESIDENTIAL LENDING SERVICES
- 2) RISK & LIABILITY CONSULTANTS LLC; NON-INV RELATED; 600 UNIVERSITY STREET SUITE 2401, SEATTLE, WA 98101; CONNECTS SMALL BUSINESS OWNERS AND INVESTORS WITH LOANS FOR BUSINESS AND COMMERCIAL USES; TITLE: OWNER AND LICENSED INSURANCE AGENT; START JUNE 2020; 1 HOUR/MONTH; 0 HOURS DURING TRADING; OWNER AND INSURANCE AGENT CONNECTING INDIVIDUALS WITH LOANS
- 3) HWM Tax & Accounting Solutions, LLC; Non-Inv Related; UNIVERSITY STREET SUITE 2401, SEATTLE, WA 98101; PROVIDES TAX ADVISORY AND ACCOUNTING SERVICES; TITLE: OWNER; START AUGUST 2025; 20 HOURS/MONTH; 0 HOURS DURING TRADING HOURS.
and accounting services



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

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:	Regulator
Employing firm when activities occurred which led to the complaint:	MCDONALD INVESTMENTS INC.
Allegations:	MISREPRESENTATIONS AND OMISSIONS; NEGLIGENCE; SUITABILITY; BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	CLOSED-END FUNDS
Alleged Damages:	\$500,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #06-01149
Date Notice/Process Served:	03/01/2006
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/26/2007
Disposition Detail:	HOHIMER IS JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY CLAIMANT \$325,165.88 IN COMPENSATORY DAMAGES

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: UNSUITABLE INVESTMENT PURCHASES WERE MADE FROM 9/2003 - 3/2004

Product Type: Other

Other Product Type(s): CLOSED-END MUTUAL FUNDS

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 08/12/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/01/2006

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 06-01149](#)

Date Notice/Process Served: 03/01/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/26/2007

Monetary Compensation Amount: \$391,766.13

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MCDONALD INVESTMENTS INC.

Allegations: UNSUITABLE INVESTMENT PURCHASES WERE MADE FROM 9/2003 - 3/2004

Product Type: Other

Other Product Type(s): CLOSED-END FUNDS

Alleged Damages: \$500,000.00

Customer Complaint Information

Date Complaint Received: 08/12/2004

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 03/14/2006



Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 06-01149](#)

Date Notice/Process Served: 03/14/2006

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/26/2007

Monetary Compensation Amount: \$391,766.13

Individual Contribution Amount: \$0.00

Broker Statement

THE CLIENT ACKNOWLEDGED RECEIVING WRITTEN AND VERBAL DISCLOSURES REGARDING 15 INVESTMENTS PURCHASES. THE UNSUITABILITY CLAIM RELATED TO THE DISCLOSURE OF THE DEGREE OF RISK OF FIVE OF THE 15 INVESTMENTS. I WAS NOT REQUIRED OR REQUESTED TO MAKE ANY CONTRIBUTION TO THE AWARD.



End of Report

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