



## IAPD Report

# ADRIAN VINCENT DAY

CRD# 2424570

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

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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

### ADRIAN VINCENT DAY (CRD# 2424570)

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 **02/20/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADRIAN DAY ASSET MANAGEMENT	CRD# 105985	06/17/1991

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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
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No information reported.

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	2



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

### Employment 1 of 1

Firm Name: **ADRIAN DAY ASSET MANAGEMENT**  
Main Address: LOTS 81-82, STREET C, STE. 206  
DORADO, PR 00646  
Firm ID#: 105985

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	12/19/2013
	Puerto Rico	Investment Adviser Representative	Approved	01/13/2020
	Texas	Investment Adviser Representative	Restricted Approval	05/12/2006

### Branch Office Locations

**ADRIAN DAY ASSET MANAGEMENT**  
LOTS 81-82, STREET C, STE. 206  
DORADO, PR 00646



## 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	12/14/1993
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### 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:

No information reported.

### 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
11/2019 - Present	EURO PACIFIC ASSET MANAGEMENT LLC	PORTFOLIO MANAGER	Y	DORADO, PR, United States
06/1991 - Present	GLOBAL STRATEGIC MANAGEMENT, INC	CHAIRMAN	Y	ANNAPOLIS, MD, United States
12/1986 - Present	INVESTMENT ANALYST/ GLOBAL ANALYST	OTHER - EDITOR	N	ANNAPOLIS, MD, United States
01/1981 - Present	INVESTMENT CONSULTANTS INTERNATIONAL	PRESIDENT	N	ANNAPOLIS, MD, 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.

INVESTMENT CONSULTANTS INTERNATIONAL D.B.A. ADRIAN DAY'S GLOBAL ANALYST. THE BUSINESS IS NOT "INVESTMENT-RELATED". ADDRESS: PO BOX 6644, ANNAPOLIS, MD 21401. GLOBAL ANALYST IS AN E-MAIL PUBLICATION. START DATE OF INVESTMENT CONSULTANTS INTERNATIONAL IS 01/1981. MR. DAY DEVOTES APPROXIMATELY 8 HOURS PER MONTH, 2 HOURS DURING SECURITIES TRADING HOURS. ADRIAN DAY IS THE EDITOR OF THIS PUBLICATION.

EURO PACIFIC ASSET MANAGEMENT LLC. LOTS 81-82, STREET C, STE 204, DORADO, PR 00646. PORTFOLIO MANAGER. 25 HOURS PER WEEK.



## 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	2

### 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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	COMMODITIES FUTURE TRADING COMMISSION
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Other Sanction(s) Sought:</b>	CIVIL PENALTY \$5,000. NOT TO SEEK REGISTRATION FOR TWO YEARS.
<b>Date Initiated:</b>	10/31/1991
<b>Docket/Case Number:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	
<b>Product Type:</b>	Commodity Option(s)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	I RECOMMENDED A FIRM THAT MAY HAVE BEEN TRADING COMMODITIES ON U.S. CONTRACT MARKETS AND OPERATING COMMODITY POOL WHILE NOT REGISTERED.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	09/29/1992
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,000.00
<b>Other Sanctions Ordered:</b>	NOT TO SEEK REGISTRATION FOR TWO YEARS



**Sanction Details:**

SEE ANSWERS ABOVE. ADRIAN DAY AND ADRIAN DAY'S INVESTMENT ANALYST NOT TO SEEK REGISTRATION FOR TWO YEARS. DAY CIVIL PENALTY, \$5,000, 10/1992. ADRIAN DAY AND ADRIAN DAY'S INVESTMENT ANALYST CEASE & DESIST FROM VIOLATION VARIOUS SECTIONS

**Broker Statement**

THE CFTC INVESTIGATED AN INVESTMENT FIRM CALLED GOURLAY WOLFF LTD. IN LONDON, ENGLAND. DURING THE PERIOD 1986-1988, GOURLAY WOLFF OFFERED A MANAGED INVESTMENT PROGRAM IN WHICH INVESTORS TRADED IN INTEREST RATE SENSITIVE SECURITIES. STARTING IN THE FALL OF 1987, IN MY NEWSLETTER, ADRIAN DAY'S INVESTMENT ANALYST, I DESCRIBED THIS PROGRAM APPROVINGLY AND PROVIDED INFORMATION ON HOW TO INVEST IN THE PROGRAM. THE CFTC STATED THAT GOURLAY WOLFF MAY HAVE BEEN TRADING COMMODITIES ON U.S. CONTRACT MARKETS AND OPERATING A COMMODITY POOL. THE CFTC OPENED AN INVESTIGATION OF ME IN WHICH IT SOUGHT INFORMATION ABOUT GOURLAY WOLFF AND ABOUT MY ROLE IN PROMOTING THE PROGRAM. ON THE ADVICE OF COUNSEL, AND IN ORDER TO AVOID THE COST OF PROTRACTED PROCEEDINGS, WE MADE A SETTLEMENT OFFER, WITHOUT ADMITTING OR DENYING ANY ALLEGATIONS; THIS OFFER WAS SUBSEQUENTLY ACCEPTED BY THE CFTC (1992). "WITHOUT ANY ADJUDICATION ON THE MERITS," THE CFTC FOUND THAT DAY HAD VIOLATED CERTAIN SECTIONS ON THE COMMODITIES FUTURES TRADING ACT AND THE COMMISSIONS REGULATIONS (VIZ. SECTIONS 4C(B) AND 4D(1) OF THE ACT, ETC., ETC.) IN THE SETTLEMENT OFFER, ACCEPTED BY THE COMMISSION, I AGREED TO CEASE AND DESIST FROM VIOLATING THE ACT OR REGULATIONS; TO PAY A CIVIL PENALTY OF \$5,000; AND NOT TO SEEK REGISTRATION WITH CFTC FOR TWO YEARS. THIS SETTLEMENT TERMINATES MY INVOLVEMENT IN THE COMMISSION'S PROCEEDINGS IN THIS MATTER. THERE ARE NO OUTSTANDING MATTERS. THESE VIOLATIONS CONCERN REGISTRATION MATTERS AND AT NO TIME WAS ANY FRAUD EVER ASSERTED. THE ABOVE MATTER DID NOT AT ANY TIME INVOLVE GLOBAL STRATEGIC MANAGEMENT, THE APPLICANT.



## 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 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GLOBAL STRATEGIC MANAGEMENT

**Allegations:** SEE CIVIL JUDICIAL DRP FOR [CUSTOMER]

**Product Type:** Other

**Other Product Type(s):** MANAGED ACCOUNT

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 06/10/1999

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 06/10/1999

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** U.S. DISTRICT COURT FOR DISTRICT OF LARIMAR COUNTY, COLORADO, 99-S-1283

**Date Notice/Process Served:** 06/10/1999

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/10/2001

**Monetary Compensation Amount:** \$85,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SEE CIVIL JUDICIAL DRP FOR [CUSTOMER]

### Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** GLOBAL STRATEGIC MANAGEMENT



**Allegations:** SEE CIVIL JUDICIAL ACTION DRP FOR [CUSTOMER]

**Product Type:** Other

**Other Product Type(s):** MANAGED ACCOUNT

**Alleged Damages:**

**Customer Complaint Information**

**Date Complaint Received:** 12/05/1998

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 11/09/1998

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Court Details:** US DISTRICT COURT, IDAHO SOUTHERN DIVISION, CIV98-0444-S-EJL

**Date Notice/Process Served:** 12/05/1998

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/29/2000

**Monetary Compensation Amount:** \$10,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** SEE CIVIL JUDICIAL ACTION DRP FOR [CUSTOMER]



## End of Report

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