



IAPD Report

BRIAN DOUGLAS ORTON

CRD# 2465566

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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

BRIAN DOUGLAS ORTON (CRD# 2465566)

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 **08/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	CORIENT	CRD# 319448	02/21/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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
	COLUMBIA PACIFIC WEALTH MANAGEMENT	156225	SEATTLE, WA	05/26/2015 - 08/31/2023
	KIBBLE & PRENTICE HOLDING COMPANY	127672	SEATTLE, WA	10/06/2005 - 05/01/2015
	KIBBLE & PRENTICE, INC.	110380	SEATTLE, WA	11/19/2002 - 12/15/2003

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

Employment 1 of 1

Firm Name: **CORIENT**
Main Address: 830 BRICKELL PLAZA
SUITE 4800
MIAMI, IL 33131
Firm ID#: 319448

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Restricted Approval	02/22/2023
 Washington	Investment Adviser Representative	Approved	02/21/2023

Branch Office Locations

CORIENT
1910 FAIRVIEW AVE E
SUITE 200
SEATTLE, WA 98102



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	05/05/1997
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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:

	Registration Dates	Firm Name	ID#	Branch Location
IA	05/26/2015 - 08/31/2023	COLUMBIA PACIFIC WEALTH MANAGEMENT	CRD# 156225	SEATTLE, WA
IA	10/06/2005 - 05/01/2015	KIBBLE & PRENTICE HOLDING COMPANY	CRD# 127672	SEATTLE, WA
IA	11/19/2002 - 12/15/2003	KIBBLE & PRENTICE, INC.	CRD# 110380	SEATTLE, WA
IA	05/14/2002 - 10/15/2002	HARRIS INVESTOR SERVICES LLC	CRD# 42159	SEATTLE , WA

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
07/2023 - Present	Corient Services LLC	Employee	N	Miami, FL, United States
01/2023 - Present	Corient	Partner & Wealth Advisor	Y	SEATTLE, WA, United States
05/2015 - 08/2023	Columbia Pacific Wealth Management	RELATIONSHIP MANAGER	Y	SEATTLE, WA, United States
01/2022 - 07/2023	CIPW Service Company, LLC	Employee	N	Toronto, Canada

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
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: Firm

Employing firm when activities occurred which led to the complaint: D.A. DAVIDSON & CO.

Allegations: TRUSTEE CLAIMS D.A. DAVIDSON SHOULD CONTRIBUTE TO COSTS AND DAMAGE THE TRUSTEE INCURRED WHEN DEFENDING A LAWSUIT FILED AGAINST HIS GUARDIANSHIP COMPANY BY TRUST CLIENTS. TRUSTEE CLAIMS THE TRUST CLIENTS' DAMAGES ULTIMATELY RESULTED BECAUSE THE FINANCIAL CONSULTANT FAILED TO PROMPTLY RECOMMEND DIVERSIFICATION AT THE TIME HE TOOK OVER AS BROKER OF RECORD ON TWO IMPROPERLY STRUCTURED TRUST ACCOUNTS AND CONTINUED TO MAKE RECOMMENDATIONS THAT FAILED TO PROPERLY DIVERSIFY THE ACCOUNTS. THE LOSSES IN THE TRUSTS OCCURRED APPROXIMATELY 9 YEARS PRIOR TO THE CLAIM BROUGHT BY THE TRUSTEE.

Product Type: No Product

Alleged Damages: \$225,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC repair or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/01/2010

Complaint Pending? No



Status: Settled
Status Date: 08/06/2010
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: D.A. DAVIDSON & CO.

Allegations: TRUSTEE CLAIMED D.A. DAVIDSON SHOULD CONTRIBUTE TO COSTS AND DAMAGE THE TRUSTEE INCURRED WHEN DEFENDING A LAWSUIT FILED AGAINST HIS GUARDIANSHIP COMPANY BY TRUST CLIENT. TRUSTEE CLAIMED THE TRUST CLIENT'S DAMAGES ULTIMATELY RESULTED BECAUSE THE FINANCIAL CONSULTANT FAILED TO PROMPTLY RECOMMEND DIVERSIFICATION AT THE TIME HE TOOK OVER AS BROKER OF RECORD ON TWO TRUST ACCOUNTS AND CONTINUED TO MAKE RECOMMENDATIONS THAT FAILED TO PROPERLY DIVERSIFY THE ACCOUNTS. THE LOSSES IN THE TRUSTS OCCURRED IN 2001, APPROXIMATELY 9 YEARS PRIOR TO THE CLAIM BROUGHT BY THE TRUSTEE.-----<

THE TWO TRUST ACCOUNTS IN THIS MATTER WERE TRUSTS FOR THE BENEFIT OF TWO CHILDREN. THE CHILDREN'S GRANDFATHER WAS APPOINTED THEIR GUARDIAN AFTER THE COURT DETERMINED THE FATHER A RISK TO HIS CHILDREN. THE GRANDFATHER ("GUARDIAN") HAD BEEN SEARCHING FOR A NEW TRUSTEE/ADVISOR WHO WOULD NOT SELL ALL THE BLUE CHIP STOCKS THAT THE PRIOR ADVISOR HAD PURCHASED (MANY HAD SIGNIFICANT CAPITAL GAINS). GUARDIAN ALSO WAS AN ACTIVE INVESTOR AND WANTED TO WORK WITH A TRUSTEE/ADVISOR THAT WOULD ACCOMMODATE GUARDIAN'S INVESTMENT PREFERENCES.--
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GUARDIAN INSTRUCTED THE TRUSTEE (AND ULTIMATELY THE FINANCIAL CONSULTANT) THAT HE SPECIFICALLY DID NOT WANT THE CHILDREN'S MONEY INVESTED PER A TYPICAL BOILERPLATE, GLOBALLY DIVERSIFIED ASSET ALLOCATION; RATHER GUARDIAN WANTED THE TRUST ASSETS TO BE INVESTED IN BLUE CHIP, US-BASED STOCKS THROUGH A BUY-AND-HOLD STRATEGY. GUARDIAN INSTRUCTED TRUSTEE (AND ULTIMATELY THE FINANCIAL CONSULTANT) THAT HE BELIEVED MANY OF THE PRE-EXISTING COMPANIES WITH LOW STOCK BASIS WOULD CONTINUE TO PERFORM WELL LONG TERM (DESPITE EXPECTED PERIODS OF VOLATILITY), AND GUARDIAN INSTRUCTED TRUSTEE (AND ULTIMATELY THE FINANCIAL CONSULTANT) THAT HE DID NOT WANT THE CHILDREN'S TRUST GENERATING CAPITAL GAIN TAXES UNLESS ABSOLUTELY NECESSARY.-----<

THE TRUST COMPANY AND TRUSTEE ASKED THE FINANCIAL CONSULTANT IF HE WOULD ACCOMMODATE THE GUARDIAN'S PREFERENCES, ASSURING THE GUARDIAN THAT HIS INVESTMENT GOALS WOULD BE HONORED. THROUGHOUT THE TIME FINANCIAL CONSULTANT WAS EMPLOYED BY D.A.DAVIDSON, THE GUARDIAN, TRUSTEE AND FINANCIAL CONSULTANT MAINTAINED A TRUSTED AND HARMONIOUS WORKING RELATIONSHIP. FINANCIAL CONSULTANT MAINTAINED REGULAR COMMUNICATION WITH BOTH THE TRUSTEE AND THE GUARDIAN, AND ALL TRADES AND CORRESPONDENCE WITH THE TRUSTEE AND THE GUARDIAN WERE FULLY DISCLOSED AND APPROVED BY D.A. DAVIDSON COMPLIANCE GROUP AND FINANCIAL CONSULTANT'S MANAGERS.-----



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 THROUGHOUT THE TIME FINANCIAL CONSULTANT MANAGED THE ACCOUNTS AND FOR SOMETIME THEREAFTER THE ACCOUNTS WERE INVESTED PRIMARILY IN THE BLUE CHIP STOCKS DISCUSSED WITH AND APPROVED BY BOTH THE TRUSTEE AND THE GUARDIAN. THE ACCOUNT HOLDINGS WERE PERIODICALLY REVIEWED WITH AND APPROVED BY THE TRUSTEE. IN NOVEMBER 2001 FINANCIAL CONSULTANT RESIGNED HIS EMPLOYMENT WITH D.A. DAVIDSON. AFTER THE GUARDIAN (GRANDFATHER) DIED, THE FATHER, WHOM THE FINANCIAL CONSULTANT NEVER HAD ANY CONTACT WITH DURING THE PERIOD FINANCIAL CONSULTANT DELIVERED SERVICES TO THE TRUST, TOOK OVER THE TRUST FOR THE TWO MINOR CHILDREN. OTHER THAN AS PART OF THE INVESTIGATION OF THE CLAIMS OF THE FATHER OF THE BENEFICIARIES OF THE TRUSTS, FINANCIAL CONSULTANT HAS NO OTHER FACTS WITH RESPECT TO THE TRANSACTIONS, RECOMMENDATIONS OR ANY OTHER INFORMATION REGARDING THE ACCOUNTS THAT OCCURRED AFTER FINANCIAL CONSULTANTS RESIGNATION FROM D.A. DAVIDSON.-----<
 DURING THE INVESTIGATION AND THROUGH SWORN TESTIMONY, D.A. DAVIDSON AND FINANCIAL CONSULTANT REAFFIRMED THAT THE ASSETS WERE MANAGED IN ACCORDANCE WITH THE WISHES OF THE GUARDIAN AND WERE MADE WITH THE EXPRESS APPROVAL OF THE TRUSTEE.-----<
 -----<
 D.A. DAVIDSON CHOSE TO SETTLE THE MATTER AND DID SO WITHOUT THE CONSENT OR APPROVAL OF THE FINANCIAL CONSULTANT. THE FINANCIAL CONSULTANT CONTINUES TO ASSERT THAT HIS OBLIGATIONS AND DUTIES TO THE TRUST WERE PROPERLY DISCLOSED AND MANAGED.

Product Type: No Product
Alleged Damages: \$225,000.00
Is this an oral complaint? No
Is this a written complaint? Yes
Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/01/2010
Complaint Pending? No
Status: Settled
Status Date: 08/06/2010
Settlement Amount: \$125,000.00
Individual Contribution Amount: \$0.00



End of Report

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