



IAPD Report

DAVID JAMES HOLLANDER

CRD# 2493724

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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

DAVID JAMES HOLLANDER (CRD# 2493724)

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 **04/03/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA LIBERTY WEALTH MANAGEMENT, LLC	CRD# 286001	05/22/2018

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
B LIBERTY GROUP, LLC	106036	MOUNTAIN VIEW, CA	05/01/2001 - 12/05/2018
IA LIBERTY WEALTH MANAGEMENT, LLC	106036	MOUNTAIN VIEW, CA	10/22/2008 - 10/10/2018
IA WILDWOOD ASSET MANAGEMENT LLC	153601	OAKLAND, CA	08/25/2011 - 01/09/2013

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

Employment 1 of 1

Firm Name: **LIBERTY WEALTH MANAGEMENT, LLC**
Main Address: 411 30TH STREET
2ND FLOOR
OAKLAND, CA 94609
Firm ID#: 286001

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	05/22/2018
	Texas	Investment Adviser Representative	Restricted Approval	05/18/2022

Branch Office Locations

LIBERTY WEALTH MANAGEMENT, LLC
411 30TH STREET
2ND FLOOR
OAKLAND, CA 94609





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



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	05/07/2001
	General Securities Principal Examination (S24)	Series 24	04/11/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/07/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/18/1994
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/15/1994

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	05/01/2001 - 12/05/2018	LIBERTY GROUP, LLC	CRD# 106036	MOUNTAIN VIEW, CA
IA	10/22/2008 - 10/10/2018	LIBERTY WEALTH MANAGEMENT, LLC	CRD# 106036	MOUNTAIN VIEW, CA
IA	08/25/2011 - 01/09/2013	WILDWOOD ASSET MANAGEMENT LLC	CRD# 153601	OAKLAND, CA
IA	10/09/2003 - 05/30/2008	LIBERTY GROUP, LLC	CRD# 114110	OAKLAND, CA
B	02/05/1999 - 08/07/2001	KW SECURITIES CORPORATION	CRD# 8237	SMITHTOWN, NY
B	09/12/1997 - 01/21/1999	ROUND HILL SECURITIES, INC.	CRD# 35223	ALAMO, CA
B	07/19/1995 - 09/24/1997	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/14/1994 - 07/21/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY

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
09/2024 - Present	Liberty Realty Management, Company, LLC,	Owner	Y	Oakland, CA, United States
10/2021 - Present	Liberty Tax Planners, LLC	Owner	Y	Oakland, CA, United States
04/2021 - Present	Liberty Alternative Asset Management, LLC	Owner & Managing Member	Y	Oakland, CA, United States
05/2018 - Present	Liberty Wealth Management, LLC	Chief Executive Officer, Founder, IAR	Y	Oakland, CA, United States
05/2014 - Present	PYA Management, LLC	Manager	N	Oakland, CA, United States
02/2006 - Present	Lifetime Planning Marketing, Inc.	President & Insurance Agent	Y	Oakland, CA, United States
01/2006 - Present	Liberty Group Holdings, Inc.	President & Co-Owner	Y	Oakland, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/1994 - Present	Hollander & Hollander, PC	Attorney	N	OAKLAND, CA, United States
05/2001 - 09/2020	Liberty Group, LLC (CRD# 106036)	President, CEO, Registered Representative of BD (Principal)	Y	OAKLAND, CA, 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.

Name: The Agency. Address: 331 Foothill Rd #100 Beverly Hills, CA 90210. Title: Referral agent. Description: Investment related - real estate brokerage services. Duties: Referral agent only. Start date: 01.2025. Monthly hours: 0 trading hrs / 4 non-trading hrs

Name: Julia Morgan School. Address: 5000 MacArthur Blvd, Oakland, CA. Title: Finance Committee Member. Description: Non-investment-related. Private nonprofit school. Duties: Non-compensated; board and committee participation. Start Date: 01/2016. Monthly Hours: 0 trading / 1 non-trading

The below OBAs have the same address: 411 30th St. #200, Oakland, CA 94609:

Lifetime Planning Marketing, Inc.; Hollander & Hollander, PC; Liberty Group Holdings, Inc.; Liberty Tax Planners, LLC; Liberty Alternative Asset Mgmt, LLC; Liberty Realty Mgmt Co., LLC; PYA Sports Mgmt, LLC; Turn 2 Drivers Club; Summit Auto, LLC; Protect Your Assets Radio Show & Podcast; Trustee Engagements.

Descriptions & Roles:

Name: Lifetime Planning Marketing, Inc. - Investment-related. Insurance field marketing org. Title: Owner & President. Duties: Mgmt & supervision. Start: 02/2006. Hours: 1 trading / 0 non-trading.

Name: Hollander & Hollander, PC - Non-investment-related law firm. Legal services incl. estate planning, litigation, elder law, tax planning. Title: Owner, Attorney & Managing Partner. Duties: Mgmt, supervision, legal/trustee services. Start: 06/2008. Hours: 2 trading / 18 non-trading.

Name: Liberty Group Holdings, Inc. - Investment-related. Holding company for affiliated entities under Liberty Group brand. Title: Co-Owner & President. Duties: Strategic oversight. Start: 12/2021. Hours: 0 trading / 1 non-trading quarterly.

Name: Liberty Tax Planners, LLC - Investment-related. Tax preparation firm. Title: Owner. Duties: Mgmt. Start: 10/2021. Hours: 0 trading / 3 non-trading.

Name: Liberty Alternative Asset Mgmt, LLC - Investment-related. Formed for investment in a private placement vehicle. Title: Owner & Managing Member. Duties: Mgmt. Start: 04/2021. Hours: 3 trading / 3 non-trading.

Name: Liberty Realty Mgmt Co., LLC - Investment-related. Real estate sales, leasing, tenant relations. Title: Owner. Duties: Mgmt. Start: 09/2024. Hours: 0 trading / 4 non-trading.

Name: PYA Sports Mgmt, LLC - Investment-related. Property mgmt firm. Title: Owner. Duties: Tenant relations. Start: 05/2014. Hours: 0 trading / 1 non-trading.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Name: Turn 2 Drivers Club - Non-investment-related. Private racecar club. Title: Owner, Board Member & Council. Duties: Board participation. Start: 01/2021. Hours: 1 trading / 4 non-trading.

Name: Summit Auto, LLC - Non-investment-related. Auto wholesaler. Title: Owner/Member. Duties: Mgmt. Start: 01/2018. Hours: 0 trading / 0.5 non-trading.

Name: Protect Your Assets Radio Show & Podcast - Investment-related. Legal and financial radio show/podcast. Title: Host. Duties: Host weekly segments. Start: 09/2009. Hours: 8 trading / 8 non-trading.

Name: Trustee Engagements - Investment-related. Trustee for family/unrelated trusts managed by LWM. Not adviser to accounts; potential conflicts mitigated via oversight and role separation. Title: Appointed Trustee. Start: 06/2004. Hours: 0 trading / 6 non-trading.



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	2

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:	Liberty Group LLC
Allegations:	Client alleges that he was not informed of the tax consequences of selling his variable annuity and that if he were, he would not have liquidated the annuity.
Product Type:	Annuity-Variable
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	16-00961
Filing date of arbitration/CFTC reparation or civil litigation:	04/16/2016

Customer Complaint Information

Date Complaint Received:	05/27/2016
Complaint Pending?	No



Status: Settled

Status Date: 07/23/2017

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 16-00961

Date Notice/Process Served: 05/27/2016

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/23/2017

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$35,000.00

Broker Statement Any and all allegations of wrongdoing are denied, with respect to the assertions made by the claimant. However, it was deemed desirable to resolve the dispute.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LIBERTY GROUP, LLC

Allegations: CLIENT PURCHASED INTERESTS IN TWO REAL ESTATE SECURITIES IN PRIVATE PLACEMENT TRANSACTIONS IN MARCH AND MAY OF 2006. CLIENT NOW ALLEGES THAT THE PRIVATE PLACEMENT MEMORANDUM FOR ONE SECURITY CONTAINS MISSTATEMENTS AND OMISSIONS AND THAT RESPONDENTS SHOULD HAVE DETECTED SAME THROUGH DUE DILIGENCE. CLIENT ALLEGES FRAUD, MISREPRESENTATION, NEGLIGENCE, BREACH OF CONTRACT AND BREACH OF FIDUCIARY DUTY.

Product Type: Direct Investment-DPP & LP Interests
Real Estate Security

Alleged Damages: \$500,000.00

Alleged Damages Amount Explanation (if amount not exact): WE BELIEVE THE CLAIM IS WITHOUT MERIT.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09-03019



Date Notice/Process Served:	06/12/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/20/2011
Monetary Compensation Amount:	\$122,500.00
Individual Contribution Amount:	\$0.00



End of Report

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