



IAPD Report

SHAWN DUANE SOKOLOSKY

CRD# 2507013

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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

SHAWN DUANE SOKOLOSKY (CRD# 2507013)

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 **03/31/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA POLLUX WEALTH MANAGEMENT	CRD# 324455	08/08/2023

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
IA FRONTIER WEALTH MANAGEMENT, LLC	144344	WICHITA, KS	08/08/2012 - 09/07/2021
IA DIMENSIONS FINANCIAL GROUP	107686	WICHITA, KS	03/24/1998 - 06/28/2012
IA DIMENSIONS-FINANCIAL CONSULTANTS, INC.	115930	WICHITA, KS	01/21/2004 - 12/12/2005

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
Termination	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: **POLLUX WEALTH MANAGEMENT**
Main Address: 1313 N WEBB RD
STE 160
WICHITA, KS 67206
Firm ID#: 324455

	Regulator	Registration	Status	Date
	Kansas	Investment Adviser Representative	Approved	08/08/2023
	Texas	Investment Adviser Representative	Restricted Approval	04/04/2024

Branch Office Locations

POLLUX WEALTH MANAGEMENT
1313 N WEBB RD
STE 160
WICHITA, KS 67206



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



Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 General Securities Representative Examination (S7)	Series 7	01/07/1998
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/01/1994

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	03/24/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/26/1994

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
IA	08/08/2012 - 09/07/2021	FRONTIER WEALTH MANAGEMENT, LLC	CRD# 144344	WICHITA, KS
IA	03/24/1998 - 06/28/2012	DIMENSIONS FINANCIAL GROUP	CRD# 107686	WICHITA, KS
IA	01/21/2004 - 12/12/2005	DIMENSIONS-FINANCIAL CONSULTANTS, INC.	CRD# 115930	WICHITA, KS
B	08/02/1994 - 12/31/2003	THE O.N. EQUITY SALES COMPANY	CRD# 2936	CINCINNATI, OH

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	Pollux Wealth Management	Investment Advisor	Y	Wichita, KS, United States
09/2021 - 06/2023	Unemployed	Unemployed	N	Wichita, KS, United States
06/2012 - 08/2021	FRONTIER WEALTH MANAGEMENT LLC	ADVISOR	Y	KANSAS CITY, MO, 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.

Virtuous Ventures LLC

- financial services company that invests in small private equity deals - 1313 N Webb Rd, STE 130, Wichita KS 67206 - employee - 6/2025 - <1hr - all during trading hours - offer products

Wildcat Capital LLC

- financial services company that invests in Dynamo Capital LLC - 1313 N Webb Rd, STE 130, Wichita KS 67206 - employee - 6/2025 - 10-20hrs - 50% during trading hours - offer products

Leawood ICT LLC

- financial services company that places capital in Venture Capital - 1313 N Webb Rd, STE 130, Wichita KS 67206 - employee - 7/2025 - <1hr - all during trading hours - offer products



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
Termination	1

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:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist
Date Initiated:	09/03/2021
Docket/Case Number:	3-20526
Employing firm when activity occurred which led to the regulatory action:	Frontier Wealth Management, LLC
Product Type:	Options Other: Synthetic futures positions

Allegations: The SEC deems it appropriate and in the public interest that public administrative and cease-and-desist proceedings be, and hereby are, instituted pursuant to Section 8A of the Securities Act of 1933, Sections 203(e), 203(f) and 203(k) of the Investment Advisers Act of 1940, and Section 9(b) of the Investment Company Act of 1940 against Frontier Wealth Management, LLC ("Frontier") and Shawn Sokolosky ("Sokolosky") (Frontier and Sokolosky hereinafter collectively, "Respondents"). The Commission finds that: this matter concerns Frontier's failure to adopt and implement written policies and procedures reasonably designed to prevent its investment advisory representatives ("IARs") from recommending certain types of complex products to clients for whom they were not suitable. In January 2016, Frontier, a Missouri-based registered investment adviser, created the Frontier Permo Fund ("Feeder Fund"), a private feeder fund, which provided its clients access to invest in Fund A, which was managed by a third-party advisor ("Advisor A"). Fund A purported to use complex option strategies and synthetic futures positions to generate returns. Fund A disclosed that its strategy carried



speculative and substantial risks with high volatility. From January 2016 to February 2018 (the "Relevant Period"), approximately 177 Frontier retail clients invested approximately \$45 million into the Feeder Fund. In February 2018, due to extreme volatility in U.S. equity markets, Fund A lost about 35% of its value, resulting in losses of approximately \$16 million to Frontier's clients who invested in the Feeder Fund. During the Relevant Period, Frontier delegated broad autonomy over client investment recommendations to its IARs. Frontier, however, did not provide them with adequate policies, procedures, training, and supervision concerning the features and risks of complex products like the Feeder Fund or whether such products were suitable for clients. Without adequate policies, procedures, training, and supervision in place at Frontier, certain IARs failed to reasonably assess whether the Feeder Fund was suitable for each client. Consequently, certain clients with low risk tolerances and conservative trading preferences invested in the Feeder Fund. Frontier adviser Shawn Sokolosky recommended that approximately fifty (50) of his clients invest in the Feeder Fund without adequately assessing whether the product was suitable for them. Sokolosky did not adequately consider each of his client's risk tolerances, investment objectives, or financial circumstances when recommending the Feeder Fund, which rendered certain recommendations unsuitable for his clients. Sokolosky also did not adequately understand the Feeder Fund's trading strategy, underlying investments, and risks. He misrepresented the Feeder Fund's risks and made misleading statements about the fees associated with the Feeder Fund. Under the circumstances described above, Frontier willfully violated Section 206(4) of the Advisers Act and Rule 206(4)-7 thereunder and failed reasonably to supervise its IARs within the meaning of Section 203(e)(6) of the Advisers Act and Sokolosky willfully violated Sections 17(a)(2) and 17(a)(3) of the Securities Act and Section 206(2) of the Advisers Act.

Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	09/03/2021
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Prohibition 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?	Yes



(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?

Yes

(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

No

(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?

No

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

Broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO

Duration:

12 Months



Start Date: 09/13/2021

End Date: 09/12/2022

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$100,000.00

Portion Levied against individual: \$100,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

Respondents have submitted Offers of Settlement (the "Offers") which the Commission has determined to accept. As a result of the conduct described herein, Sokolosky willfully violated Sections 17(a)(2) and 17(a)(3) of the Securities Act and Section 206(2) of the Advisers Act. Accordingly, it is hereby ordered that: Respondent Sokolosky cease and desist from committing or causing any violations and any future violations of Section 17(a) of the Securities Act and Section 206(2) of the Advisers Act; Sokolosky be, and hereby is, suspended from association with any investment adviser, broker, dealer, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization ("NRSRO") for a period of 12 months, effective on the second Monday following the entry of this Order; Respondent Sokolosky is prohibited from serving or acting as an employee, officer, director, member of an advisory board, investment adviser or depositor of, or principal underwriter for, a registered investment company or affiliated person of such investment adviser, depositor, or principal underwriter for a period of 12 months, effective on the second Monday following the entry of this Order; and Sokolosky shall pay a civil penalty of \$100,000 to the SEC.

Reporting Source: Firm

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 09/03/2021

Docket/Case Number: 3-20526

Employing firm when activity occurred which led to the regulatory action: Frontier Wealth Management, LLC

Product Type: Other: Private fund purported to use complex option strategies and synthetic futures positions to generate returns

Allegations: Mr. Sokolosky recommended that approximately fifty (50) of his clients invest in the Feeder Fund without adequately assessing whether the product was suitable for them. Sokolosky did not adequately consider each of his client's



risk tolerances, investment objectives, or financial circumstances when recommending the Feeder Fund, which rendered certain recommendations unsuitable for his clients. Sokolosky also did not adequately understand the Feeder Fund's trading strategy, underlying investments, and risks. He misrepresented the Feeder Fund's risks and made misleading statements about the fees associated with the Feeder Fund.

Current Status: Final
Resolution: Settled
Resolution Date: 09/03/2021
Sanctions Ordered: Cease and Desist
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? Yes

(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? Yes

(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 No



(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?

No

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

Association with any investment adviser, broker, dealer, municipal securities dealer, municipal advisor, transfer agent

Duration:

12 months

Start Date:

09/13/2021

End Date:

09/13/2022

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$100,000.00

Portion Levied against individual:

\$0.00

Payment Plan:

Payment shall be made in four installments.

Is Payment Plan Current:

Yes

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Reporting Source:

Individual

Regulatory Action Initiated By:

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Prohibition
Suspension

Date Initiated:

09/03/2021

Docket/Case Number:

3-20526



Employing firm when activity occurred which led to the regulatory action:	Frontier Wealth Management, LLC
Product Type:	Other: Feeder Fund
Allegations:	Frontier adviser Shawn Sokolosky recommended that approximately fifty (50) of his clients invest in the Feeder Fund without adequately assessing whether the product was suitable for them. Sokolosky did not adequately consider each of his client's risk tolerances, investment objectives, or financial circumstances when recommending the Feeder Fund, which rendered certain recommendations unsuitable for his clients. Sokolosky also did not adequately understand the Feeder Fund's trading strategy, underlying investments, and risks. He misrepresented the Feeder Fund's risks and made misleading statements about the fees associated with the Feeder Fund.
Current Status:	Final
Resolution:	Order
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:	09/13/2021
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Prohibition Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	Broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO
Duration:	12 months
Start Date:	09/13/2021
End Date:	09/12/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$100,000.00
Portion Levied against individual:	\$100,000.00
Payment Plan:	Yes
Is Payment Plan Current:	No
Date Paid by individual:	06/09/2022
Was any portion of penalty waived?	No
Amount Waived:	



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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: Frontier Wealth Management, LLC

Termination Type: Permitted to Resign

Termination Date: 08/31/2021

Allegations: Mr. Sokolosky recommended that approximately fifty (50) of his clients invest in the Feeder Fund without adequately assessing whether the product was suitable for them. Sokolosky did not adequately consider each of his client's risk tolerances, investment objectives, or financial circumstances when recommending the Feeder Fund, which rendered certain recommendations unsuitable for his clients. Sokolosky also did not adequately understand the Feeder Fund's trading strategy, underlying investments, and risks. He misrepresented the Feeder Fund's risks and made misleading statements about the fees associated with the Feeder Fund.

Product Type: Other: Private fund which uses complex option strategies and synthetic futures positions.

Reporting Source: Individual

Firm Name: Frontier Wealth Management, LLC

Termination Type: Permitted to Resign

Termination Date: 08/31/2021

Allegations: Mr. Sokolosky recommended that approximately fifty (50) of his clients invest in the Feeder Fund without adequately assessing whether the product was suitable for them. Sokolosky did not adequately consider each of his client's risk tolerances, investment objectives, or financial circumstances when recommending the Feeder Fund, which rendered certain recommendations unsuitable for his clients. Sokolosky also did not adequately understand the Feeder Fund's trading strategy, underlying investments, and risks. He misrepresented the Feeder Fund's risks and made misleading statements about the fees associated with the Feeder Fund.

Product Type: Other: Feeder Fund

Broker Statement Frontier did not provide IARs with adequate policies, procedures, training, and supervision concerning the features and risks of complex products like the Feeder Fund or whether such products were suitable for clients. Without adequate policies, procedures, training, and supervision in place at Frontier, certain IARs failed to reasonably assess whether the Feeder Fund was suitable for each client.



End of Report

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