



IAPD Report

TODD CHARLES BAUMAN

CRD# 2605865

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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

TODD CHARLES BAUMAN (CRD# 2605865)

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 **05/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BAUMAN WEALTH ADVISORS	CRD# 153061	03/19/2010

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	APPLIED INVESTMENT TECHNOLOGY, INC	120427	LAS VEGAS, NV	05/28/2009 - 08/23/2011
B	NEVWEST SECURITIES CORPORATION	46464	HENDERSON, NV	02/28/2005 - 04/16/2007
IA	BAUMAN, TODD	134678	LAS VEGAS, NV	01/04/2006 - 12/31/2006

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	2
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: **BAUMAN WEALTH ADVISORS**
Main Address: 10501 W GOWAN RD
SUITE #100
LAS VEGAS, NV 89129
Firm ID#: 153061

	Regulator	Registration	Status	Date
	Nevada	Investment Adviser Representative	Approved	03/19/2010
	Texas	Investment Adviser Representative	Restricted Approval	09/18/2025

Branch Office Locations

BAUMAN WEALTH ADVISORS
10501 W GOWAN RD
SUITE #100
LAS VEGAS, NV 89129



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, 1 general industry/product exam, 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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B General Securities Representative Examination (S7)	Series 7	06/22/1995
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/12/2004
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B Uniform Securities Agent State Law Examination (S63)	Series 63	04/12/1995
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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	05/28/2009 - 08/23/2011	APPLIED INVESTMENT TECHNOLOGY, INC	CRD# 120427	LAS VEGAS, NV
B	02/28/2005 - 04/16/2007	NEVWEST SECURITIES CORPORATION	CRD# 46464	HENDERSON, NV
IA	01/04/2006 - 12/31/2006	BAUMAN, TODD	CRD# 134678	LAS VEGAS, NV
IA	05/11/2004 - 03/07/2005	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	LAS VEGAS, NV
B	01/29/2004 - 03/07/2005	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	CHARLOTTE, NC
B	08/01/2003 - 09/24/2003	CAMDEN SECURITIES, INC.	CRD# 18305	LOS ANGELES, CA
B	06/28/2001 - 09/20/2001	NEVWEST SECURITIES CORPORATION	CRD# 46464	LAS VEGAS, NV
B	01/26/1999 - 06/08/2000	SECURITIES AMERICA, INC.	CRD# 10205	LAVISTA, NE
B	07/29/1997 - 01/11/1999	DELTA EQUITY SERVICES CORPORATION	CRD# 15650	BOLTON, MA
B	08/01/1996 - 07/22/1997	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
B	06/23/1995 - 08/14/1996	RFCA FINANCIAL SERVICES, INC.	CRD# 16562	TORRANCE, CA

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
10/2025 - Present	Bauman Tax Solutions, LLC	Managing Member	N	Las Vegas, NV, United States
12/2020 - Present	Anchor Mortgage	Loan Originator	Y	Las Vegas, NV, United States
09/2016 - Present	APA, LLC dba Asset Protection of America	Manager	Y	Las Vegas, NV, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2010 - Present	BAUMAN ADVISORY GROUP, LLC	MANAGING MEMBER/IAR	Y	LAS VEGAS, NV, United States
11/2008 - Present	BAUMAN FINANCIAL GROUP	Officer/Insurance Agent	Y	LAS VEGAS, NV, United States
08/2010 - 09/2016	ASSET PROTECTION OF AMERICA, INC.	Managing Member	N	LAS VEGAS, NV, 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. APA, LLC dba Asset Protection of America; NON-INVESTMENT RELATED; Manager; 09/2016 ; Manager; LAS VEGAS, NV; 15 HOURS PER MONTH, Approximate hours during trading spent on the other business 4 HOURS.
2. Anchor Mortgage; NON-INVESTMENT RELATED Loan Originator; 12/2020;5765 S. RAINBOW BLVD STE 109 LAS VEGAS NV 89118; Approximate hours a month spent on the other business 12 HOURS; Approximate hours during trading spent on the other business 4 HOURS; Briefly describe your duties relating to the other business. PROCURRING LEADS FOR THE FIRM
3. Bauman Financial Group; INVESTMENT RELATED; Officer/Insurance Agent; 11/2008; LAS VEGAS, NV; INSURANCE SERVICES; OFFICER/INSURANCE AGENT; 11/2008; Approximate hours a month spent on the other business 80+ HOURS; Approximate hours during trading spent on the other business 80+ HOURS.
4. Bauman Tax Solutions, LLC; Not investment related; Managing Member; 10/2025; Las Vegas, NV; Tax Services; Approximate hours a month spent on the other business 10+ HOURS; Approximate hours during trading spent on the other business 10+ HOURS.



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	2
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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement
Date Initiated:	02/10/2026
Docket/Case Number:	S-25-3954-25-CO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Bauman Advisory Group LLC
Product Type:	No Product
Allegations:	Todd Bauman was the control person of investment adviser in violation of the Washington Securities Act.
Current Status:	Final
Resolution:	Consent
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: 02/10/2026
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
 Other: Fines \$7,500.00

Monetary Sanction 1 of 1

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

Total Amount: \$7,500.00

Portion Levied against individual: \$7,500.00

Payment Plan: No

Is Payment Plan Current:

Date Paid by individual: 02/11/2026

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: Washington Securities Division

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

Date Initiated: 02/04/2026

Docket/Case Number: S-25-3954-26-CO01

Employing firm when activity occurred which led to the regulatory action: Bauman Advisory Group, LLC

Product Type: Other: Fined for providing advisory services to Washington residents without being registered with the state, as required by WA regs

Allegations: Conducted business as an unregistered Investment Adviser Representative for the relevant time period

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: 02/04/2026

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

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

Total Amount: \$7,500.00



Portion Levied against individual: \$7,500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 02/03/2026

Was any portion of penalty waived? No

Amount Waived:

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: Nevada Securities Division

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

Date Initiated: 04/01/2021

Docket/Case Number: CIC20-116

Employing firm when activity occurred which led to the regulatory action: Bauman Advisory Group, LLC

Product Type: No Product

Allegations: Failure to maintain accurate financial books and records.

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: 04/05/2021

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

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

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 04/01/2021

Was any portion of penalty waived? No



Amount Waived:



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:	Bauman Advisory Group, LLC
Allegations:	Breach of fiduciary duty, for failure to invest funds, resulting in lost growth and unrealized future growth of portfolio.
Product Type:	No Product
Alleged Damages:	\$7,500.00
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:	07/05/2018
Complaint Pending?	No
Status:	Settled
Status Date:	11/28/2018
Settlement Amount:	\$7,500.00
Individual Contribution Amount:	\$7,500.00
Broker Statement	Without admitting or denying the allegations, Mr. Bauman decided to settle with the clients and refund their management fees.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	RFCA FINANCIAL SERVICES, INC.
Allegations:	UNSUITABILITY; FRAUD; BREACH OF FIDUCIARY DUTY
Product Type:	Investment Contract(s)
Alleged Damages:	\$215,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #99-02704
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Date Notice/Process Served: 06/13/1999
Arbitration Pending? No
Disposition: Award
Disposition Date: 10/19/2001
Disposition Detail: RESPONDENT BAUMAN IS JOINTLY AND SEVERALLY LIABLE AND SHALL PAY CLAIMANTS \$200,000 IN COMPENSATORY DAMAGES.

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Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: RFCA FINANCIAL SERVICES
Allegations: COMPANY STOPPED PAYING DIVIDENDS (IS STILL IN BUSINESS)
Product Type: Equity Listed (Common & Preferred Stock)
Alleged Damages: \$169,000.00

Customer Complaint Information

Date Complaint Received: 10/04/1999
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/19/2001

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE NUMBER: 99-02704

Date Notice/Process Served: 06/13/1999
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 10/19/2001
Monetary Compensation Amount: \$200,000.00
Individual Contribution Amount: \$200,000.00

Firm Statement ARBITRATION INFORMATION OBTAINED FROM U-6 FILING. MR. BAUMAN IS JOINTLY AND SEVERALLY LIABLE FOR COMPENSATORY DAMAGES OF 200000.00 AS NOTED IN THE U-6 FILING.

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: RFCA FINANCIAL SERVICES

Allegations: UNSUITABILITY, FRAUD AND BREACH OF FIDUCIARY DUTY

Product Type: Other: INVESTMENT CONTRACT(S) AND PREFERRED STOCK

Alleged Damages: \$215,000.00

Customer Complaint Information

Date Complaint Received: 10/14/1999

Complaint Pending? No

Status: Settled

Status Date: 10/04/1999

Settlement Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Arbitration Information

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

Docket/Case #: 99-02704

Date Notice/Process Served: 10/04/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2004

Monetary Compensation Amount: \$20,000.00

Individual Contribution Amount: \$20,000.00

Broker Statement ON JANUARY 09, 2004 BOTH MR. BAUMAN AND THE CLIENT SIGNED AN AGREEMENT TO SETTLE THE CUSTOMER COMPLAINT FOR \$20,000.00. AMOUNT HAS BEEN PAID IN FULL.



End of Report

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