



IAPD Report

ROBERT BROOK HANSEN

CRD# 2676150

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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

ROBERT BROOK HANSEN (CRD# 2676150)

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 **07/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADAMS-HANSEN & ASSOCIATES	CRD# 156719	02/25/2014

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	CENTAURUS FINANCIAL, INC.	30833	CHAMPLIN, MN	08/24/2011 - 09/10/2012
IA	CENTAURUS FINANCIAL, INC.	30833	CHAMPLIN, MN	08/24/2011 - 09/10/2012
B	WORKMAN SECURITIES CORPORATION	31898	CHAMPLIN, MN	07/05/2005 - 08/25/2011

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

Employment 1 of 1

Firm Name: **ADAMS-HANSEN & ASSOCIATES**
Main Address: 13911 RIDGEDALE DRIVE
SUITE 170
MINNETONKA, MN 55305
Firm ID#: 156719

Regulator	Registration	Status	Date
IA Minnesota	Investment Adviser Representative	Approved	02/25/2014
IA Texas	Investment Adviser Representative	Restricted Approval	04/27/2021

Branch Office Locations

ADAMS-HANSEN & ASSOCIATES
13911 RIDGEDALE DRIVE
SUITE 170
MINNETONKA, MN 55305



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 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	03/29/2000

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	02/22/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/28/1995

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	04/25/2000
Uniform Securities Agent State Law Examination (S63)	Series 63	11/28/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/24/2011 - 09/10/2012	CENTAURUS FINANCIAL, INC.	CRD# 30833	CHAMPLIN, MN
IA	08/24/2011 - 09/10/2012	CENTAURUS FINANCIAL, INC.	CRD# 30833	CHAMPLIN, MN
B	07/05/2005 - 08/25/2011	WORKMAN SECURITIES CORPORATION	CRD# 31898	CHAMPLIN, MN
IA	07/05/2005 - 08/25/2011	WORKMAN SECURITIES CORPORATION	CRD# 31898	CHAMPLIN, MN
IA	08/30/2001 - 08/17/2005	SII INVESTMENTS, INC.	CRD# 2225	CHAMPLIN, MN
B	08/03/2001 - 08/17/2005	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	11/29/1995 - 07/31/2001	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, 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
09/2000 - Present	CREATIVE WEALTH STRATEGIES, LLC DBA ADAMS-HANSEN & ASSOCIATES	OWNER/INVESTMENT ADVISOR REPRESENTATIVE/INSURANCE AGENT	Y	CHAMPLIN, MN, 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.

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
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

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 09/27/2012

Docket/Case Number: [2010025107701](#)

Employing firm when activity occurred which led to the regulatory action: WORKMAN SECURITIES CORPORATION

Product Type: Other: PRIVATE SECURITIES AND STOCK WARRANTS

Allegations: NASD CONDUCT RULES 2110, 3040: HANSEN PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING WRITTEN NOTICE OR RECEIVING WRITTEN APPROVAL FROM HIS MEMBER FIRM. HANSEN PARTICIPATED IN CUSTOMERS' PURCHASE OF SHARES OF ENTITIES. HANSEN RECEIVED STOCK WARRANTS FROM ONE OF THE ENTITIES AND HE OWNED AND OPERATED ANOTHER.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

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: 09/27/2012
Sanctions Ordered: 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? No

(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?

(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



(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?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: THREE MONTHS
Start Date: 10/01/2012
End Date: 12/31/2012

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00

Payment Plan:
Is Payment Plan Current:
Date Paid by individual:
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, HANSEN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM OCTOBER 1, 2012, THROUGH DECEMBER 31, 2012.

Reporting Source: Individual



Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Date Initiated:	10/01/2012
Docket/Case Number:	2010025107701
Employing firm when activity occurred which led to the regulatory action:	WORKMAN SECURITIES INC.
Product Type:	No Product
Allegations:	TWO PRIVATE SECURITIES OFFERED TO CLIENTS VIA REG D. THE BROKER-DEALER AT THE TIME WAS MADE AWARE BUT FAILED TO FILE APPROPRIATE PAPERWORK.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	09/27/2012
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	10/01/2012
End Date:	01/01/2013
Broker Statement	MR. HANSEN BROUGHT THE TRANSACTIONS TO HIS BROKER-DEALER, DISCLOSING THE REG D FILING AND THE LARGER BUSINESS PLANS. HE DID NOT COMPLETE A PRIVATE SECURITIES TRANSACTION FROM NOR DID HE GET A COUNTER SIGNATURE FROM HIS BROKER-DEALER. FINRA LEVIED A THREE MONTH SUSPENSION TAKING EFFECT OCTOBER 1ST, 2012.



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:	SSI INVESTMENTS, INC AND WORKMAN SECURITIES CORPORATION
Allegations:	ALLEGATIONS, AS STATED IN A DEMAND LETTER, INCLUDE SELLING AWAY OF TWO UNSUITABLE INVESTMENTS AND POOR INVESTMENT ADVICE. ACTIVITIES OCCURRED FROM JUNE 2005 TO SEPTEMBER 2008.
Product Type:	Other: STOCK IN A PRIVATELY HELD COMPANY
Alleged Damages:	\$200,000.00
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:	03/25/2011
Complaint Pending?	No
Status:	Settled
Status Date:	07/20/2011
Settlement Amount:	\$40,000.00
Individual Contribution Amount:	\$30,000.00

Broker Statement	R. BROOK HANSEN CLU, CHFC, AEP, CAP INTRODUCED CERTAIN ACCREDITED INVESTORS TO TWO (2) POTENTIAL INVESTMENTS IN COMPANIES THAT FALL WITHIN THE SECURITIES AND EXCHANGE COMMISSION'S (SEC) REGULATION D (REFERRED TO AS REG D OFFERINGS). MR. HANSEN SERVED FOR A TIME AS THE CFO OF ONE FIRM, AND AS THE CEO OF ANOTHER. HE WAS NEVER COMPENSATED FOR THE PURCHASE OF SHARES OF THESE FIRMS BUT OWNED (OWNS) SHARES (SOME VIA STOCK OPTIONS, SOME VIA PURCHASE) IN BOTH FIRMS. LAWSUITS THAT BEGAN AT CLOSE TO \$2,000,000 DOLLARS WERE SETTLED FOR LESS THAN THE COST OF DEFENSE. A TESTAMENT TO THEIR LACK OF STRENGTH. THE BROKER DEALER MR. HANSEN WAS ALIGNED WITH AT THE TIME TREATED THESE AS OUTSIDE BUSINESS TRANSACTIONS AND WERE DISCLOSED TO AND TREATED AS SUCH BY WORKMAN SECURITIES CORPORATION (THE BROKER DEALER) AND R. BROOK HANSEN, THE LICENSED REGISTERED REPRESENTATIVE. IN FACT THESE TRANSACTIONS ARE, AND SHOULD HAVE BEEN CONSIDERED TO BE AND TREATED AS, PRIVATE SECURITIES TRANSACTIONS. NEITHER HANSEN NOR WORKMAN SECURITIES CORPORATION TREATED THEM CORRECTLY.
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WORKMAN SECURITIES CORPORATION HAS LOST ITS ABILITY TO OPERATE FOR HAVING BEEN INVOLVED IN SEVERAL SIMILARY DISCLOSED TRANSACTIONS, MR. HANSEN RECEIVED WHAT FINRA INVESTIGATORS REFERRED TO AS THE "SMALLEST" PENALTY THEY COULD IMPOSE.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: SII INVESTMENTS INCORPORATED, CREATIVE WEALTH STRATEGIES AND WORKMAN SECURITIES CORPORATION

Allegations: ALLEGATIONS, AS STATED IN A DEMAND LETTER, IMPROPER ADVICE IN A FINANCIAL PLAN THAT RESULTED IN SEVERAL NON-EXEMPT PROHIBITED TRANSACTIONS IN AN ESOP AND BREECH OF FIDUCIARY DUTY WITH RESPECT TO INVESTMENTS MADE BY A CHARITABLE REMAINDER TRUST. ACTIVITIES OCCURRED FROM 11/2004 TO 8/2010.

Product Type: Other: FINANCIAL ADVICE ON ESOP AAND CRT

Alleged Damages: \$1,737,661.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES IN EXCESS OF THIS AMOUNT PLUS ATTORNEYS' FEES.

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: 09/14/2010

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/21/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement REGISTERED REPRESENTATIVE STATES: "HE DISAGREES WITH THE ALLEGATIONS CONTAINED IN THE DEMAND LETTER AND WILL VIGOROUSLY DEFEND HIMSELF."



End of Report

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