



IAPD Report

IGOR SHAYKEVICH

CRD# 2713783

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

IGOR SHAYKEVICH (CRD# 2713783)

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 **11/22/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TUCKER ASSET MANAGEMENT LLC	CRD# 174844	11/19/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	NEW ENGLAND SECURITIES	615	NEW YORK, NY	06/13/2002 - 10/07/2004
B	WORLD GROUP SECURITIES, INC.	114473	DULUTH, GA	04/12/2002 - 06/25/2002
B	WMA SECURITIES, INC.	32625	DULUTH, GA	06/14/1996 - 04/12/2002

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

Employment 1 of 1

Firm Name: **TUCKER ASSET MANAGEMENT LLC**

Main Address: 1520 WEST CANAL COURT
SUITE 100
LITTLETON, CO 80120

Firm ID#: 174844

	Regulator	Registration	Status	Date
	Wisconsin	Investment Adviser Representative	Approved	11/19/2021

Branch Office Locations

TUCKER ASSET MANAGEMENT LLC

5205 N Ironwood Rd
Suite 102
Glendale, WI 53217



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/13/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/17/2004
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/18/1996



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	06/13/2002 - 10/07/2004	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	04/12/2002 - 06/25/2002	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	06/14/1996 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA

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
08/2021 - Present	Tucker Asset Management LLC	Investment Adviser Representative	Y	Littleton, CO, United States
09/2006 - Present	INDEPENDENT SOLUTIONS LLC	AGENT-FIXED ANNUITIES & INSURANCE	Y	MILWAUKEE, WI, United States
04/2002 - Present	NEW ENGLAND FINANCIAL	AGENT	Y	WAUKESHA, WI, United States
03/2002 - Present	1ST TECH STAFFING	ENGINEERING DESIGN	N	MINNEAPOLIS, 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.

- 1.) D.B.A INDEPENDENT SOLUTIONS MILWAUKEE, WI(NOT A REGISTERED CORPORATION) OWNER -OPERATOR SALES OF INSURANCE AND OTHER NON-SECURITIES RELATED PRODUCTS
4/2001-PRESENT
- 2.) 1ST TECH STAFFING (NON-SECURITIES RELATED)
ENGINEERING CONTRACTOR ON AN AS NEEDED BASIS



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:	Individual
Regulatory Action Initiated By:	State of Wisconsin, Department of Financial Institutions, Division of Securities ("Division")
Sanction(s) Sought:	Disgorgement Undertaking Other: Heightened Supervision
Date Initiated:	08/19/2020
Docket/Case Number:	DFI Case No: S-240386 (LX) & S-240443 (LX)
Employing firm when activity occurred which led to the regulatory action:	Igor Shaykevich d/b/a Independent Solutions
Product Type:	Other: Alternative Investment
Allegations:	The state alleged that the alternative investments sold through Pension Income LLC by Mr. Shaykevich were inappropriate.
Current Status:	Pending
Limitation Details:	Heightened Supervision for a period of 18 months beginning August 25, 2021
Resolution:	Undertaking
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:	08/25/2021
Sanctions Ordered:	Disgorgement Undertaking
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Disgorgement
Total Amount:	\$188,135.13
Portion Levied against individual:	\$188,135.13
Payment Plan:	Monthly payments of \$2,250 beginning 09/01/2021
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Shaykevich ("Applicant") entered into an Undertaking with the State of Wisconsin, Department of Financial Institutions, Division of Securities ("Division") on August 25, 2021 in resolving an investigation of the Applicant by the Division. The undertaking provided that: (a) the Applicant disgorge \$188,135.13 in profits from income stream investments by certain investors and that the Applicant adhere to a Payment Agreement relating to the disgorgement amount, interest and payment dates; (b) the Applicant follow a Heightened Supervision Letter requiring the Applicant's activities to be supervised by a new employer, a registered investment advisory firm; and (c) the Applicant disclose two specific investment-related, consumer-initiated, written complaints in any U-4 filing made by him.
Disclosure 2 of 2	
Reporting Source:	Individual
Regulatory Action Initiated By:	Office of the Wisconsin Commissioner of Insurance ("Commissioner")
Sanction(s) Sought:	Other: Stipulation and Order
Date Initiated:	11/19/2020
Docket/Case Number:	19-C43305
Employing firm when activity occurred which led to the regulatory action:	Igor Shaykevich DBA Independent Solutions LLC
Product Type:	Annuity-Fixed
Allegations:	The Commissioner alleged that Applicant violated Sections 628.34(1) and 628.347 of the Wisconsin statutes which prohibit misrepresentations and establish suitability standards in connection with offer and sale of annuities.
Current Status:	Final
Resolution:	Stipulation and 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:	11/19/2020
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:	\$9,999.00
Portion Levied against individual:	\$9,999.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	03/24/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Applicant entered into a Stipulation and Order with the Office of the Wisconsin Commissioner of Insurance ("Commissioner") on November 19, 2020. The Commissioner alleged that the Applicant violated Sections 628.34(1) and 628.347 of the Wisconsin statutes which prohibit misrepresentations and establish suitability standards in connection with the offer and sale of annuities. The Applicant did not contest the allegations and paid a forfeiture of \$9,999.



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:	Igor Shaykevich d/b/a Independent Solutions LLC
Allegations:	[REDACTED] purchased an alternative investment from Pension Income LLC. On the recommendation of Mr. Shaykevich. On January 31st, 2020 [REDACTED] filled a written complaint claiming that the investments were inappropriate. Mr. Shaykevich has agreed to pay the profits received though the pension income stream investment plus interest.
Product Type:	Other: Alternative Investment
Alleged Damages:	\$41,515.66
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:	01/31/2020
Complaint Pending?	No
Status:	Settled
Status Date:	09/01/2021
Settlement Amount:	\$10,996.87
Individual Contribution Amount:	\$10,996.87

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Igor Shaykevich d/b/a Independent Solutions
Allegations:	[REDACTED] purchased an alternative investment from Pension Income LLC. On the recommendation of Mr. Shaykevich. On January 13th, 2020 [REDACTED] filled a written complaint claiming that the investments were inappropriate. Mr. Shaykevich has agreed to pay the profits received though the pension income stream investment plus interest.
Product Type:	Other: Alternative Investment
Alleged Damages:	\$39,300.00



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: 01/13/2020

Complaint Pending? No

Status: Settled

Status Date: 09/01/2021

Settlement Amount: \$11,483.04

Individual Contribution
Amount: \$11,483.04



End of Report

This page is intentionally left blank.