



IAPD Report

QUENTIN LEROY ROBB

CRD# 2825002

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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

QUENTIN LEROY ROBB (CRD# 2825002)

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 **07/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	06/23/2026

QUALIFICATIONS

This representative is currently registered in **1** 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
IA	PARSONEX ADVISORY SERVICES, INC.	160275	FORT COLLINS, CO	06/15/2015 - 09/16/2015
B	PARSONEX SECURITIES, INC.	144412	Fort Collins, CO	06/15/2015 - 09/16/2015
IA	GIRARD SECURITIES, INC.	18697	FORT COLLINS, CO	01/23/2015 - 06/03/2015

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
Termination	2
Financial	2
Judgment/Lien	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 1 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **VANDERBILT SECURITIES, LLC**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 5953

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/27/2026
B	Utah	Agent	Approved	06/23/2026

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 112694

	Regulator	Registration	Status	Date
IA	Utah	Investment Adviser Representative	Approved	06/23/2026

Branch Office Locations

CONSOLIDATED PORTFOLIO REVIEW CORP

1124 South Jordan Parkway, Suite D
South Jordan, UT 84095



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 3 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	06/13/2000
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	06/12/2000
	General Securities Principal Examination (S24)	Series 24	03/17/2000

General Industry/Product Exams

	Exam	Category	Date
	General Securities Representative Examination (S7TO)	Series 7TO	05/26/2026
	Securities Industry Essentials Examination (SIE)	SIE	01/05/2024
	National Commodity Futures Examination (S3)	Series 3	02/19/2002
	General Securities Representative Examination (S7)	Series 7	02/10/1998

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	05/10/2024
	Uniform Investment Adviser Law Examination (S65)	Series 65	08/05/1998
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/17/1998



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	06/15/2015 - 09/16/2015	PARSONEX ADVISORY SERVICES, INC.	CRD# 160275	FORT COLLINS, CO
B	06/15/2015 - 09/16/2015	PARSONEX SECURITIES, INC.	CRD# 144412	Fort Collins, CO
IA	01/23/2015 - 06/03/2015	GIRARD SECURITIES, INC.	CRD# 18697	FORT COLLINS, CO
B	11/14/2014 - 06/03/2015	GIRARD SECURITIES, INC.	CRD# 18697	FORT COLLINS, CO
IA	11/14/2014 - 01/26/2015	UNITED CAPITAL FINANCIAL ADVISERS	CRD# 134600	FORT COLLINS, CO
IA	03/06/2014 - 11/24/2014	WADDELL & REED	CRD# 866	FT. COLLINS, CO
B	03/04/2014 - 11/24/2014	WADDELL & REED	CRD# 866	FT. COLLINS, CO
B	10/01/2012 - 01/16/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	FT COLLINS, CO
IA	10/01/2012 - 01/16/2014	J.P. MORGAN SECURITIES LLC	CRD# 79	FT COLLINS, CO
B	10/06/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FT COLLINS, CO
IA	10/06/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FT COLLINS, CO
B	06/01/2009 - 10/12/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ENGLEWOOD, CO
IA	06/01/2009 - 10/12/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ENGLEWOOD, CO
B	07/07/2005 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ENGLEWOOD, CO
IA	07/07/2005 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ENGLEWOOD, CO
IA	08/10/2000 - 07/07/2005	MORGAN STANLEY	CRD# 7556	DENVER, CO
B	06/05/2000 - 07/07/2005	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY



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	02/12/1998 - 05/30/2000	ZIONS INVESTMENT SECURITIES, INC.	CRD# 17776	SALT LAKE CITY, UT

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
01/2026 - Present	Consolidated Portfolio Review Corp	Investment Advisor Representative	Y	Woodbury, NY, United States
03/2025 - Present	Vanderbilt Securities, LLC	Non-Registered Fingerprinted.	Y	Woodbury, NY, United States
04/2022 - 03/2025	Transitional Broker LLC/Lone Peak Advisers	Registered Rep	Y	Draper, UT, United States
03/2018 - 04/2022	Patriot Arms Corp.	Chief Financial Officer	N	Windsor, CO, United States
09/2015 - 03/2018	One World Translation	Chief Financial Officer	N	Longmont, CO, 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) Granite Canyon Wealth Management- Investment related. Start date: 08/01/2022. Address: 1124 South Jordan Parkway, Ste. D, South Jordan, UT 84095. Title: Investment Advisor and Registered Rep. Duties: Business development including networking, practice management, marketing and client service. Time spent during regular hours: 60%.

2) Bar Chloe - passive investment - 4% interest

3) Oz Marketing LLC. Not Investment related. Start date: 08/18/2025. Address: 450 N. Main Street, Layton, UT 84041. Title: Auto Marketing Rep. Duties: Help automotive dealerships develop and implement a marketing strategy to drive business growth. Time spent during regular hours: 40%.



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
Termination	2
Financial	2
Judgment/Lien	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 2

Reporting Source: Regulator

Regulatory Action Initiated By: MASSACHUSETTS

Sanction(s) Sought: Undertaking

Date Initiated: 08/27/2015

Docket/Case Number: R-2015-0052

URL for Regulatory Action:

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

Product Type: No Product

Allegations: ON JUNE 16, 2015, PASI SUBMITTED TO FINRA'S CRD AN APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U-4) (THE "APPLICATION") SEEKING REGISTRATION OF ROBB AS AN INVESTMENT ADVISER REPRESENTATIVE IN MASSACHUSETTS. SINCE 2008, ROBB HAS BEEN THE SUBJECT OF FIVE (5) DISCLOSURES INDICATING THAT HE HAS EXPERIENCED PERSONAL FINANCIAL DISTRESS, AS REPORTED ON THE CRD. THESE DISCLOSURES INCLUDE FIVE (5) COMPROMISES WITH CREDITORS, OF WHICH ALL HAVE BEEN SATISFIED AND RELEASED. ALL FIVE (5) OF THESE DISCLOSURES WERE NOT REPORTED PROMPTLY ON HIS FORM U-4 WITH THE CRD OR THE DIVISION AS REQUIRED BY 950 MASS. CODE REGS. 12.203(5). ADDITIONALLY, AS REPORTED ON THE CRD,



ROBB IS THE SUBJECT OF A TERMINATION. ON OR ABOUT DECEMBER 23, 2013, J.P. MORGAN SECURITIES, LLC TERMINATED ROBB AS ITS AGENT FOR FAILING TO ACCURATELY VERIFY THE NET WORTH OF A CLIENT, WHICH RESULTED IN AN OVER-ESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. ADDITIONALLY, ROBB DEPOSITED A SMALL SUM OF HIS PERSONAL MONEY INTO ANOTHER CLIENT'S ACCOUNT TO CORRECT A DEFICIT IN THE CLIENT'S IRA ACCOUNT. ROBB MAINTAINS THAT HE ACTED HONESTLY, AND IN THE BEST INTEREST OF HIS CLIENT, WITH RESPECT TO THESE EVENTS, AND BLAMES J.P. MORGAN SECURITIES, LLC FOR "TARNISHING" HIS "OTHERWISE SPOTLESS" RECORD. THE ABOVE-STATED DISCLOSURE INCIDENTS REGARDING ROBB HAVE MOVED THE DIVISION TO PLACE CONDITIONS ON HIS REGISTRATION AS AN INVESTMENT ADVISER REPRESENTATIVE OF PASI.

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:

08/27/2015

Sanctions Ordered:

Undertaking

Other: THE DIVISION APPROVED ROBB'S APPLICATION FOR REGISTRATION IN MASSACHUSETTS AS AN AGENT OF PASI UPON THE CONDITIONS SET FORTH BELOW, WHICH ARE EFFECTIVE FOR TWO (2) YEARS FROM THE DATE OF ENTRY OF THE ORDER: A) PASI SHALL NOTIFY THE DIVISION IN WRITING, WITHIN TEN DAYS OF NOTICE, OF ANY FINANCIAL EVENT OF ROBB'S REQUIRING DISCLOSURE OR AMENDMENT ON ROBB'S FORM U4; B) ROBB SHALL BE SUPERVISED, ON A HEIGHTENED BASIS; C) ROBB SHALL NOT EXERCISE DISCRETION OVER MASSACHUSETTS CUSTOMER ACCOUNTS; D) PASI SHALL NOT PERMIT ROBB TO HAVE ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH PASI; E) SHOULD ROBB BECOME THE SUBJECT OF ANY WRITTEN OR ORAL CUSTOMER COMPLAINT CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PASI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF PASI'S RECEIPT OF SUCH COMPLAINT; F) SHOULD ROBB BECOME THE SUBJECT OF ANY REGULATORY INVESTIGATION, INTERNAL INVESTIGATION, ARBITRATION PROCEEDING, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PASI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF THE INVESTIGATION, PROCEEDING, OR LITIGATION; G) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE RECEIPT OF ANY CUSTOMER COMPLAINT, ORAL OR WRITTEN, CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT AS A REGISTERED REPRESENTATIVE; H) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE INITIATION OF ANY ARBITRATION PROCEEDING, REGULATORY INVESTIGATION, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS; I) ROBB SHALL NOTIFY HIS SUPERVISOR OF ANY INACCURACY IN ANY REPRESENTATION MADE TO THE DIVISION HEREIN OR THE BREACH OF ANY PROVISION OF HIS UNDERTAKINGS AND REPRESENTATIONS; AND

Regulator Statement

J) TWO (2) YEARS AFTER THE ENTRY OF THE ORDER, ROBB SHALL SUBMIT TO PASI AND THE DIRECTOR AN AFFIDAVIT STATING THAT HE HAS FULLY



COMPLIED WITH ALL CONDITIONS OF THE ORDER REFERENCED IN PART 10 OF THE UNDERTAKINGS, OR, IN THE EVENT THAT ROBB CANNOT SUBMIT THE REQUIRED AFFIDAVIT, HE SHALL INSTEAD SUBMIT A STATEMENT EXPLAINING WHY.

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Reporting Source:	Individual
Regulatory Action Initiated By:	State of Massachusetts
Sanction(s) Sought:	Undertaking
Date Initiated:	08/27/2015
Docket/Case Number:	R-2015-0052
Employing firm when activity occurred which led to the regulatory action:	PARSONEX SECURITIES, INC.
Product Type:	No Product
Allegations:	ON JUNE 16, 2015, PASI SUBMITTED TO FINRA'S CRD AN APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U-4) (THE "APPLICATION") SEEKING REGISTRATION OF ROBB AS AN INVESTMENT ADVISER REPRESENTATIVE IN MASSACHUSETTS. SINCE 2008, ROBB HAS BEEN THE SUBJECT OF FIVE (5) DISCLOSURES INDICATING THAT HE HAS EXPERIENCED PERSONAL FINANCIAL DISTRESS, AS REPORTED ON THE CRD. THESE DISCLOSURES INCLUDE FIVE (5) COMPROMISES WITH CREDITORS, OF WHICH ALL HAVE BEEN SATISFIED AND RELEASED. ALL FIVE (5) OF THESE DISCLOSURES WERE NOT REPORTED PROMPTLY ON HIS FORM U-4 WITH THE CRD OR THE DIVISION AS REQUIRED BY 950 MASS. CODE REGS. 12.203(5). ADDITIONALLY, AS REPORTED ON THE CRD, ROBB IS THE SUBJECT OF A TERMINATION. ON OR ABOUT DECEMBER 23, 2013, J.P. MORGAN SECURITIES, LLC TERMINATED ROBB AS ITS AGENT FOR FAILING TO ACCURATELY VERIFY THE NET WORTH OF A CLIENT, WHICH RESULTED IN AN OVER-ESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. ADDITIONALLY, ROBB DEPOSITED A SMALL SUM OF HIS PERSONAL MONEY INTO ANOTHER CLIENT'S ACCOUNT TO CORRECT A DEFICIT IN THE CLIENT'S IRA ACCOUNT. ROBB MAINTAINS THAT HE ACTED HONESTLY, AND IN THE BEST INTEREST OF HIS CLIENT, WITH RESPECT TO THESE EVENTS, AND BLAMES J.P. MORGAN SECURITIES, LLC FOR "TARNISHING" HIS "OTHERWISE SPOTLESS" RECORD. THE ABOVE-STATED DISCLOSURE INCIDENTS REGARDING ROBB HAVE MOVED THE DIVISION TO PLACE CONDITIONS ON HIS REGISTRATION AS AN INVESTMENT ADVISER REPRESENTATIVE OF PASI.
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:	08/27/2015

**Disclosure 2 of 2**

Reporting Source: Regulator
Regulatory Action Initiated By: MASSACHUSETTS

Sanction(s) Sought: Undertaking

Date Initiated: 08/27/2015

Docket/Case Number: R-2015-0052

URL for Regulatory Action:

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

Product Type: No Product

Allegations: ON OR ABOUT JUNE 15, 2015, PSI SUBMITTED TO THE CRD OF FINRA AN APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U-4) (THE "APPLICATION") SEEKING REGISTRATION OF ROBB AS A BROKER-DEALER AGENT OF PSI IN MASSACHUSETTS. SINCE 2008, ROBB HAS BEEN THE SUBJECT OF SIX (6) DISCLOSURES INDICATING THAT HE HAS EXPERIENCED PERSONAL FINANCIAL DISTRESS, AS REPORTED ON THE CRD. THESE DISCLOSURES INCLUDE SIX (6) COMPROMISES WITH CREDITORS, OF WHICH ALL HAVE BEEN SATISFIED AND RELEASED. ALL SIX (6) OF THESE DISCLOSURES WERE NOT REPORTED PROMPTLY ON HIS FORM U-4 WITH THE CRD OR THE DIVISION AS REQUIRED BY 950 MASS. CODE REGS. 12.203(5). AS REPORTED ON THE CRD, ON OR ABOUT DECEMBER 23, 2013, J.P. MORGAN SECURITIES, LLC TERMINATED ROBB AS ITS AGENT FOR FAILING TO ACCURATELY VERIFY THE NET WORTH OF A CLIENT, WHICH RESULTED IN AN OVER-ESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. ADDITIONALLY, ROBB DEPOSITED A SMALL SUM OF HIS PERSONAL MONEY INTO ANOTHER CLIENT'S ACCOUNT TO CORRECT A DEFICIT IN THE CLIENT'S IRA ACCOUNT. ROBB MAINTAINS THAT HE ACTED HONESTLY, AND IN THE BEST INTEREST OF HIS CLIENT, WITH RESPECT TO THESE EVENTS, AND BLAMES J.P. MORGAN SECURITIES, LLC FOR "TARNISHING" HIS "OTHERWISE SPOTLESS" RECORD. THE ABOVE-STATED DISCLOSURE INCIDENTS REGARDING ROBB HAVE MOVED THE DIVISION TO PLACE CONDITIONS ON HIS REGISTRATION AS AN AGENT OF PSI.

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: 08/27/2015

Sanctions Ordered: Undertaking
Other: THE DIVISION APPROVED ROBB'S APPLICATION FOR REGISTRATION IN MASSACHUSETTS AS AN AGENT OF PSI UPON THE CONDITIONS SET FORTH BELOW, WHICH ARE EFFECTIVE FOR TWO (2) YEARS FROM THE DATE OF ENTRY OF THE ORDER: A) PSI SHALL NOTIFY THE DIVISION IN WRITING, WITHIN TEN DAYS OF NOTICE, OF ANY FINANCIAL EVENT OF



ROBB'S REQUIRING DISCLOSURE OR AMENDMENT ON ROBB'S FORM U4; B) ROBB SHALL BE SUPERVISED, ON A HEIGHTENED BASIS; C) ROBB SHALL NOT EXERCISE DISCRETION OVER MASSACHUSETTS CUSTOMER ACCOUNTS; D) PSI SHALL NOT PERMIT ROBB TO HAVE ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH PSI; E) SHOULD ROBB BECOME THE SUBJECT OF ANY WRITTEN OR ORAL CUSTOMER COMPLAINT CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PSI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF PSI'S RECEIPT OF SUCH COMPLAINT; F) SHOULD ROBB BECOME THE SUBJECT OF ANY REGULATORY INVESTIGATION, INTERNAL INVESTIGATION, ARBITRATION PROCEEDING, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PSI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF THE INVESTIGATION, PROCEEDING, OR LITIGATION; G) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE RECEIPT OF ANY CUSTOMER COMPLAINT, ORAL OR WRITTEN, CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT AS A REGISTERED REPRESENTATIVE; H) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE INITIATION OF ANY ARBITRATION PROCEEDING, REGULATORY INVESTIGATION, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS; I) ROBB SHALL NOTIFY HIS SUPERVISOR OF ANY INACCURACY IN ANY REPRESENTATION MADE TO THE DIVISION HEREIN OR THE BREACH OF ANY PROVISION OF HIS UNDERTAKINGS AND REPRESENTATIONS; AND

Regulator Statement

J) TWO (2) YEARS AFTER THE ENTRY OF THE ORDER, ROBB SHALL SUBMIT TO PSI AND THE DIRECTOR AN AFFIDAVIT STATING THAT HE HAS FULLY COMPLIED WITH ALL CONDITIONS OF THE ORDER REFERENCED IN PART 10 OF THE UNDERTAKINGS, OR, IN THE EVENT THAT ROBB CANNOT SUBMIT THE REQUIRED AFFIDAVIT, HE SHALL INSTEAD SUBMIT A STATEMENT EXPLAINING WHY.

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Reporting Source: Individual

Regulatory Action Initiated By: State of Massachusetts

Sanction(s) Sought: Undertaking

Date Initiated: 08/27/2015

Docket/Case Number: R-2015-0052

Employing firm when activity occurred which led to the regulatory action: Parsonex Securities, Inc.

Product Type: No Product

Allegations: ON OR ABOUT JUNE 15, 2015, PSI SUBMITTED TO THE CRD OF FINRA AN APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U-4) (THE "APPLICATION") SEEKING REGISTRATION OF ROBB AS A BROKER-DEALER AGENT OF PSI IN MASSACHUSETTS. SINCE 2008, ROBB HAS BEEN THE SUBJECT OF SIX (6) DISCLOSURES INDICATING THAT HE HAS EXPERIENCED PERSONAL FINANCIAL DISTRESS, AS REPORTED ON THE CRD. THESE DISCLOSURES INCLUDE SIX (6) COMPROMISES WITH CREDITORS, OF WHICH ALL HAVE BEEN SATISFIED AND RELEASED. ALL SIX (6) OF THESE DISCLOSURES WERE NOT REPORTED PROMPTLY ON HIS FORM U-4 WITH THE CRD OR THE DIVISION AS REQUIRED BY 950 MASS.



CODE REGS. 12.203(5). AS REPORTED ON THE CRD, ON OR ABOUT DECEMBER 23, 2013, J.P. MORGAN SECURITIES, LLC TERMINATED ROBB AS ITS AGENT FOR FAILING TO ACCURATELY VERIFY THE NET WORTH OF A CLIENT, WHICH RESULTED IN AN OVER-ESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. ADDITIONALLY, ROBB DEPOSITED A SMALL SUM OF HIS PERSONAL MONEY INTO ANOTHER CLIENT'S ACCOUNT TO CORRECT A DEFICIT IN THE CLIENT'S IRA ACCOUNT. ROBB MAINTAINS THAT HE ACTED HONESTLY, AND IN THE BEST INTEREST OF HIS CLIENT, WITH RESPECT TO THESE EVENTS, AND BLAMES J.P. MORGAN SECURITIES, LLC FOR "TARNISHING" HIS "OTHERWISE SPOTLESS" RECORD. THE ABOVE-STATED DISCLOSURE INCIDENTS REGARDING ROBB HAVE MOVED THE DIVISION TO PLACE CONDITIONS ON HIS REGISTRATION AS AN AGENT OF PSI.

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:

08/27/2015

Sanctions Ordered:

Undertaking

Other: THE DIVISION APPROVED ROBB'S APPLICATION FOR REGISTRATION IN MASSACHUSETTS AS AN AGENT OF PSI UPON THE CONDITIONS SET FORTH BELOW, WHICH ARE EFFECTIVE FOR TWO (2) YEARS FROM THE DATE OF ENTRY OF THE ORDER: A) PSI SHALL NOTIFY THE DIVISION IN WRITING, WITHIN TEN DAYS OF NOTICE, OF ANY FINANCIAL EVENT OF ROBB'S REQUIRING DISCLOSURE OR AMENDMENT ON ROBB'S FORM U4; B) ROBB SHALL BE SUPERVISED, ON A HEIGHTENED BASIS; C) ROBB SHALL NOT EXERCISE DISCRETION OVER MASSACHUSETTS CUSTOMER ACCOUNTS; D) PSI SHALL NOT PERMIT ROBB TO HAVE ANY PRINCIPAL, SUPERVISORY, OR MANAGERIAL DUTIES WHILE ASSOCIATED WITH PSI; E) SHOULD ROBB BECOME THE SUBJECT OF ANY WRITTEN OR ORAL CUSTOMER COMPLAINT CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PSI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF PSI'S RECEIPT OF SUCH COMPLAINT; F) SHOULD ROBB BECOME THE SUBJECT OF ANY REGULATORY INVESTIGATION, INTERNAL INVESTIGATION, ARBITRATION PROCEEDING, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS, PSI SHALL NOTIFY THE DIRECTOR, IN WRITING, WITHIN TEN (10) BUSINESS DAYS OF THE INVESTIGATION, PROCEEDING, OR LITIGATION; G) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE RECEIPT OF ANY CUSTOMER COMPLAINT, ORAL OR WRITTEN, CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT AS A REGISTERED REPRESENTATIVE; H) ROBB SHALL NOTIFY HIS SUPERVISOR OF THE INITIATION OF ANY ARBITRATION PROCEEDING, REGULATORY INVESTIGATION, OR SECURITIES-RELATED LITIGATION CONCERNING ALLEGATIONS ARISING FROM HIS CONDUCT OF SECURITIES BUSINESS; I) ROBB SHALL NOTIFY HIS SUPERVISOR OF ANY INACCURACY IN ANY REPRESENTATION MADE TO THE DIVISION HEREIN OR THE BREACH OF ANY PROVISION OF HIS UNDERTAKINGS AND REPRESENTATIONS;

Broker Statement

State of Massachusetts approved my application. All conditions and requirements made by the State of Massachusetts have been fulfilled.





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 2

Reporting Source: Firm

Firm Name: TRANSITIONAL BROKER LLC

Termination Type: Voluntary Resignation

Termination Date: 03/07/2025

Allegations: Quentin a nonauthorized individual signed and approved a mutual fund account application on behalf of a representative at the firm. This business was never submitted to compliance for approval.

Product Type: Mutual Fund

Firm Statement Quentin resigned from the firm on 3/7/2025. We discovered the issue on 3/21/2025 that he had signed off on the approval of a new account for another representative.

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Reporting Source: Individual

Firm Name: TRANSITIONAL BROKER LLC

Termination Type: Voluntary Resignation

Termination Date: 03/07/2025

Allegations: Quentin a nonauthorized individual signed and approved a mutual fund account application on behalf of a representative at the firm. This business was never submitted to compliance for approval.

Product Type: Mutual Fund

Broker Statement Quentin resigned from the firm on 3/7/2025. We discovered the issue on 3/21/2025 that he had signed off on the approval of a new account for another representative.

Disclosure 2 of 2

Reporting Source: Firm

Firm Name: J.P. MORGAN SECURITIES LLC

Termination Type: Discharged

Termination Date: 12/23/2013

Allegations: BANK DETERMINED THAT REGISTERED REP MAY HAVE FAILED TO ACCURATELY VERIFY THE NET WORTH OF A CLIENT WHICH RESULTED IN AN OVER-ESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. IN ADDITION, REGISTERED REP DEPOSITED \$35.48 OF HIS PERSONAL FUNDS INTO A CLIENT'S CHASE BANK CHECKING ACCOUNT IN ORDER TO CORRECT A DEFICIT CAUSED BY A CONTRIBUTION TO THE CLIENT'S IRA ACCOUNT THAT WAS RESCINDED BY THE CLIENT WITHIN THE SEVEN DAY IRA REVOCATION PERIOD.

Product Type: Other: MANAGED AND IRA

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Reporting Source:	Individual
Firm Name:	JP MORGAN CHASE
Termination Type:	Discharged
Termination Date:	12/23/2013
Allegations:	BANK ALLEDGED RR MAY HAVE FAILED TO VERIFY THE NET WORTH OF CLIENT, WHICH RESULTED IN AN OVERESTIMATE OF NET WORTH ON THE CLIENT'S ACCOUNT DOCUMENTS. IN ADDITION, RR DEPOSITED \$35.48 OF HIS PERSONAL FUNDS INTO A CLIENT'S CHECKING ACCT IN ORDER TO CORRECT A DEFICIT CAUSED BY A TRADE ERROR.
Product Type:	No Product
Broker Statement	These are both clients I know well and have worked with for along time. JPMorgan alleges not accurately verifying the net worth of a client resulting in an over-estimate of net worth. Allegation is false. Client was going thru a divorce and asked me to change the accurate and known net worth information on her accounts to benefit her in her divorce. I refused to do it or be party in anyway to her deception. Based on investment accounts, bank accounts and all disclosed assets net worth was reported accurately. Client made an annual contribution to her IRA account. JPMorgan charged the client a commission of \$38.45 two times for a single transaction in the IRA account when investing the funds. JPMorgan refused to correct the clear and obvious mistake and claimed that the client rescinded IRA contribution causing the error. Client did not rescind contribution as was validated by her account history, confirms and statements. After repeated attempts to have this corrected I compensated the client the overcharged amount of \$38.45 with personal funds. Account documents and records confirm all these facts. FINRA has investigated and reviewed all allegations and determined that no action should be taken.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 03/06/2018

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: US Bankruptcy Court
Location of Court: Denver, CO
Docket/Case #: 18-11604-JGR
Action Pending? No
Disposition: Discharged
Disposition Date: 07/09/2018

Broker Statement Due to extreme financial hardship and circumstances caused by divorce I was forced to file bankruptcy.

Disclosure 2 of 2

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 13
Action Date: 01/03/2017

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: US Bankruptcy Court
Location of Court: Denver, CO
Docket/Case #: 17-10020-JGR
Action Pending? No
Disposition: Dismissed
Disposition Date: 12/21/2017

Broker Statement Bankruptcy was rescinded and I asked the court to dismiss. Filing was dismissed on 12/21/2017.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$14,571.01
Judgment/Lien Type:	Tax
Date Filed with Court:	06/24/2019
Date Individual Learned:	11/03/2022
Type of Court:	State Court
Name of Court:	Larimer County Court, CO
Location of Court:	Fort Collins, CO
Docket/Case #:	20190034539
Judgment/Lien Outstanding?	Yes
Broker Statement	I was completely unaware of this lien. I have retained counsel and contacted the IRS to resolve this matter.



End of Report

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