



IAPD Report

AIRIS ALEXANDER ABOLINS

CRD# 2891011

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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

AIRIS ALEXANDER ABOLINS (CRD# 2891011)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CREDIT UNION INVESTMENT SERVICES	CRD# 144871	04/28/2023

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
IA	FIRST OAK WEALTH MANAGEMENT, LLC	288316	RALEIGH, NC	09/01/2017 - 05/13/2021
IA	FIRST OAK WEALTH MANAGEMENT, LLC	288316	RALEIGH, NC	06/21/2017 - 07/12/2017
IA	GREAT LAKES & ATLANTIC WEALTH MANAGEMENT AND ADVISORY PARTNERS	170037	Raleigh, NC	05/01/2017 - 06/20/2017

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
Customer Dispute	3



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: **CREDIT UNION INVESTMENT SERVICES**
Main Address: 801 HILLSBOROUGH STREET
3RD FLOOR
RALEIGH, NC 27603
Firm ID#: 144871

	Regulator	Registration	Status	Date
	North Carolina	Investment Adviser Representative	Approved	04/28/2023

Branch Office Locations

CREDIT UNION INVESTMENT SERVICES
801 Hillsborough St.
3rd Floor
Raleigh, NC 27603



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/06/2009
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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	09/01/2017 - 05/13/2021	FIRST OAK WEALTH MANAGEMENT, LLC	CRD# 288316	RALEIGH, NC
IA	06/21/2017 - 07/12/2017	FIRST OAK WEALTH MANAGEMENT, LLC	CRD# 288316	RALEIGH, NC
IA	05/01/2017 - 06/20/2017	GREAT LAKES & ATLANTIC WEALTH MANAGEMENT AND ADVISORY PARTNERS	CRD# 170037	Raleigh, NC
IA	04/03/2017 - 04/20/2017	GREAT LAKES & ATLANTIC WEALTH MANAGEMENT AND ADVISORY PARTNERS	CRD# 170037	Raleigh, NC
IA	10/07/2009 - 04/03/2017	DAVIS WEALTH MANAGEMENT	CRD# 150441	DURHAM, NC

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
03/2023 - Present	Credit Union Investment Services	Investment Advisor Rep	Y	Raleigh, NC, United States
10/2021 - Present	State Employees' Credit Union	Sr. Retirement Planner	Y	Raleigh, NC, United States
04/1999 - Present	LEGALSHIELD (FNA PRE-PAID LEGAL SERVICES)	SALES	N	Raleigh, NC, United States
03/2023 - 09/2023	SECU Brokerage Services	Registered Rep	Y	Raleigh, NC, United States
05/2021 - 09/2021	Unemployed	Unemployed	N	Raleigh, NC, United States
06/2017 - 04/2021	FIRST OAK WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	RALEIGH, NC, United States
04/2017 - 06/2017	FIRST OAK WEALTH MANAGEMENT, LLC	INTERNAL ASSISTANT	Y	RALEIGH, NC, United States
04/2017 - 06/2017	GREAT LAKES & ATLANTIC WEALTH MANAGEMENT	INVESTMENT ADVISER REPRESENTATIVE	Y	CHARLOTTE, NC, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2009 - 04/2017	DWM ADVISORS, LLC	SENIOR VP FOR RESEARCH & ANALYTICS, CHIEF INVESTMENT OFFICER	Y	DURHAM, NC, 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.

State Employees' Credit Union. Investment Related Business. Nature: Financial Services. OSJ Office Address: Raleigh, NC

LEGALSHIELD(4/99 TO PRESENT):

NOT INVESTMENT RELATED, 4914 MOREHEAD DR. RALEIGH, NC 27612, INDEPENDENT ASSOCIATE, 1 hour per month, none during trading hours. No longer active in sales, trailing income only.



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
Customer Dispute	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	DWM Advisors, LLC & First Oak Wealth Mgmt, LLC
Allegations:	Plaintiff alleges breaches of fiduciary duty, misrepresentations and other conduct in violation of the North Carolina securities laws by DWM Advisors, LLC and its related persons, including Mr. Abolins, and by First Oak Wealth Management, LLC and its related persons, including Mr. Abolins, relating to investments into private equity and private debt instruments purchased between 2009 and 2014. Mr. Abolins vehemently denies the substance of the allegations against him or that he did any wrongdoing in this matter whatsoever.
Product Type:	Other: Private Debt and Equity
Alleged Damages:	\$25,000.00
Alleged Damages Amount Explanation (if amount not exact):	Complaint alleged compensatory damages to be in excess of \$25,000

Civil Litigation Information

Type of Court:	State Court
Name of Court:	State of North Carolina General Court of Justice, Superior Court Division
Location of Court:	Mecklenburg County, North Carolina
Docket/Case #:	21CVS15763
Date Notice/Process Served:	10/01/2021
Litigation Pending?	No



Disposition: Settled

Disposition Date: 12/01/2025

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$225,000.00

Broker Statement Mr. Abolins alerted the Firm to the dismissal of the civil litigation on December 2, 2025. Plaintiff dismissed action with prejudice as to Mr. Abolins. The client and Mr. Abolins entered a settlement agreement and release of claims October 30, 2025. Mr. Abolins vehemently denies the substance of the allegations against him or that he did any wrongdoing in this matter whatsoever.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DWM ADVISORS, LLC

Allegations: Plaintiff alleges that DWM Advisors, LLC and certain other persons rendered improper investment advice and made express and implied misrepresentations of material facts regarding the placement and management of several private equity and private debt investments. Mr. Abolins vehemently denies the substance of the allegations or that he did any wrongdoing in this matter what so ever.

Product Type: Other: Private Debt and Equity

Alleged Damages: \$25,000.00

Alleged Damages Amount Explanation (if amount not exact): Plaintiff requests judgement for all compensatory damages to be in excess of \$25,000.

Civil Litigation Information

Type of Court: State Court

Name of Court: State of North Carolina General Court of Justice, Superior Court Division

Location of Court: Alamance County, North Carolina

Docket/Case #: 17 CVS 2161

Date Notice/Process Served: 12/02/2017

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/16/2018

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Broker Statement This case was settled and the claims dismissed. I vehemently deny the allegations against me. I was not required to, nor did I, pay any of the settlement funds.

**Disclosure 3 of 3**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: DWM Advisors, LLC

Allegations: Plaintiffs allege that DWM Advisors, LLC ("DWM") and its related persons including Mr. Abolins rendered improper investment advice and made express and implied misrepresentations of material facts related to the placement and management of several private equity and private debt investments. Mr. Abolins vehemently denies the substance of the allegations or that he engaged in any wrongdoing in this matter whatsoever. This case was settled on April 24, 2017, with claims dismissed pursuant to the settlement on May 10, 2017.

Product Type: Other: Private Equity and Private Debt

Alleged Damages: \$10,000.00

Alleged Damages Amount Explanation (if amount not exact): The Compliant alleges damages exceeding \$10,000 that would be proven at trial, without identifying a particular amount of compensatory damages.

Civil Litigation Information

Type of Court: State Court

Name of Court: State of North Carolina General Court of Justice

Location of Court: Wake County

Docket/Case #: 17CVW00993

Date Notice/Process Served: 01/25/2017

Litigation Pending? No

Disposition: Settled

Disposition Date: 04/24/2017

Monetary Compensation Amount: \$400,000.00

Individual Contribution Amount: \$400,000.00

Firm Statement Mr. Abolins vehemently denies the substance of the allegations or that he engaged in any wrongdoing in this matter whatsoever. This case was settled and claims against all parties involved, including Mr. Abolins, were dismissed. Mr. Abolins was not required to, nor did he, pay any of the settlement funds.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: DWM Advisors LLC

Allegations: Plaintiffs allege that DWM Advisors, LLC ("DWM") and its related persons including Mr. Abolins rendered improper investment advice and made express and implied misrepresentations of material facts of the placement and management of several private equity and private debt investments. Mr. Abolins vehemently denies the substance of the allegations or that he did any wrongdoing in this matter what so ever. This case was settled with DWM and all parties involved being dismissed of all claims including Mr. Abolins.



Product Type:	Other: Private Debt and Equity
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	The compliant alleged damages exceeding \$10000.00 that was settled for \$400,000

Civil Litigation Information

Type of Court:	State Court
Name of Court:	State of NC General Court of Justice
Location of Court:	Wake County
Docket/Case #:	17cvw00993
Date Notice/Process Served:	01/25/2017
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/24/2017
Monetary Compensation Amount:	\$400,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	This case was settled and the claims dismissed. I continue to deny the allegations against me. I was not required to, nor did I, pay any of the settlement funds.



End of Report

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