IAPD Report

ALAN DIXON BEUGG

CRD# 3004268

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

ALAN DIXON BEUGG (CRD# 3004268)

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 **01/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	01/22/2014
IA	KOVITZ INVESTMENT GROUP PARTNERS, LLC	CRD# 282241	01/08/2025
IA	FOCUS PARTNERS WEALTH, LLC	CRD# 159289	01/07/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	KOVITZ INVESTMENT GROUP PARTNERS, LLC	282241	Cincinnati, OH	07/01/2024 - 12/31/2024
IA	IFAM CAPITAL	175084	DENVER, CO	04/15/2015 - 07/03/2024
IA	IFM CAPITAL ADVISORS, LLC	169587	GREENWOOD VILLAGE, CO	01/29/2014 - 03/24/2015

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
Customer Dispute	3

Report Summary

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

Employment 1 of 3

Firm Name: **FOCUS PARTNERS WEALTH, LLC**

Main Address: 190 CARONDELET PLAZA
SUITE 600
ST. LOUIS, MO 63105

Firm ID#: 159289

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	01/07/2026
IA	Ohio	Investment Adviser Representative	Approved	01/07/2026

Branch Office Locations

FOCUS PARTNERS WEALTH, LLC
2133 S Timberline Rd
Suite 120
Fort Collins, CO 80525

FOCUS PARTNERS WEALTH, LLC
Cincinnati, OH

FOCUS PARTNERS WEALTH, LLC
Denver, CO

FOCUS PARTNERS WEALTH, LLC
7875 Montgomery Road
Suite 42
Cincinnati, OH 45236

Employment 2 of 3

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Address: 80 STATE STREET
ALBANY, NY 12207

Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/22/2014
B	Arizona	Agent	Approved	01/22/2014
B	California	Agent	Approved	01/22/2014

Qualifications

	Regulator	Registration	Status	Date
B	Colorado	Agent	Approved	01/22/2014
B	Florida	Agent	Approved	01/22/2014
B	Georgia	Agent	Approved	01/22/2014
B	Iowa	Agent	Approved	11/01/2021
B	Kentucky	Agent	Approved	03/06/2025
B	Louisiana	Agent	Approved	10/25/2021
B	North Carolina	Agent	Approved	01/22/2014
B	South Dakota	Agent	Approved	01/22/2014
B	Utah	Agent	Approved	02/04/2014
B	Virginia	Agent	Approved	01/23/2014
B	Washington	Agent	Approved	03/05/2025
B	Wisconsin	Agent	Approved	10/28/2021
B	Wyoming	Agent	Approved	01/22/2014

Branch Office Locations

2133 S. Timberline Road
Suite 120
FORT COLLINS, CO 80525

Employment 3 of 3

Firm Name: **KOVITZ INVESTMENT GROUP PARTNERS, LLC**

Main Address: 10 S WACKER DRIVE
SUITE 2600
CHICAGO, IL 60606

Firm ID#: 282241

Qualifications

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	01/08/2025
IA	Ohio	Investment Adviser Representative	Approved	01/31/2025

Branch Office Locations

KOVITZ INVESTMENT GROUP PARTNERS, LLC
Cincinnati, OH

KOVITZ INVESTMENT GROUP PARTNERS, LLC
Denver, CO

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	02/20/1998

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/19/1998

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	07/01/2024 - 12/31/2024	KOVITZ INVESTMENT GROUP PARTNERS, LLC	CRD# 282241	Cincinnati, OH
IA	04/15/2015 - 07/03/2024	IFAM CAPITAL	CRD# 175084	DENVER, CO
IA	01/29/2014 - 03/24/2015	IFM CAPITAL ADVISORS, LLC	CRD# 169587	GREENWOOD VILLAGE
B	10/19/2007 - 01/29/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	DENVER, CO
IA	10/19/2007 - 01/29/2014	UBS FINANCIAL SERVICES INC.	CRD# 8174	DENVER, CO
IA	02/22/2001 - 10/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ENGLEWOOD, CO
B	11/02/1999 - 10/29/2007	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	ENGLEWOOD, CO
B	02/26/1998 - 09/10/1999	SALOMON SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY

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	Focus Partners Wealth, LLC	Senior Wealth Advisor	Y	St. Louis, MO, United States
01/2014 - Present	PURSHE KAPLAN STERLING INVESTMENTS, INC.	REGISTERED REPRESENTATIVE	Y	ALBANY, NY, United States
07/2024 - 01/2026	Kovitz Investment Group Partners, LLC	Principal	Y	Cincinnati, OH, United States
03/2015 - 07/2024	IFAM CAPITAL	PARTNER	Y	Denver, 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.

Focus Partners Wealth. Investment-related. At registered location. RIA. Financial Advisor. Start date: 01/2026. 180 hrs/month; all

Registration & Employment History

OTHER BUSINESS ACTIVITIES

during trading hours. Provide advice to clients.

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:	UBS FINANCIAL SERVICES INC/ 43129483-2009-190
Allegations:	CLAIMANT ALLEGES THAT UBS RECOMMENDED AN UNSUITABLE ASSET ALLOCATIO. TIME FRAME: DECEMBER 2007-MAY 2009
Product Type:	Mutual Fund Other: EQUITIES
Alleged Damages:	$591,884.11
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-06703
Filing date of arbitration/CFTC reparation or civil litigation:	12/07/2009

Customer Complaint Information

Date Complaint Received:	12/07/2009
Complaint Pending?	No

Status:	Settled
Status Date:	11/12/2010
Settlement Amount:	$297,483.00
Individual Contribution Amount:	$0.00
Broker Statement	THESE CLIENTS WERE REFERRED TO OUR TEAM BY THEIR CPA. I REPEATEDLY SUGGESTED SHE SELL HER FLORIDA HOUSE AND SHE REFUSED WHICH LEFT PAYING FOR 2 HOUSES, 1 SHE DID NOT NEED AND COULDN'T AFFORD. THE CLIENTS MADE A GREAT DEAL OF MONEY DURING THE BULL MARKETS OF THE MID 2000'S. THEY BOTH HAD VERY HIGH SPENDING NEEDS. WHEN THE MARKET TURNED NEGATIVE THEY SOUGHT TO RECOUP THE DROP IN VALUE FORGETTING THAT THEY HAD SPENT ALL OF THEIR PROFITS. THE CPA WAS INVOLVED AT EVERY STAGE IN THIS INVESTMENT PLAN AND GIVEN THE HIGH INCOME NEEDS THE PORTFOLIO WAS INVESTED TO ACHIEVE THAT REQUIRED RETURN. THE ACCOUNT NOT ONLY HAD A POSITIVE RETURN SINCE WE STARTED BUT BEAT THE INDEX. THE FIRM SETTLED THIS AGAINST MY WISHES FOR BUSINESS REASONS TO AVOID THE COST OF LITIGATION.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME? CLAIMANT ALLEGES UNSUITABLE RECOMMENDATIONS DURING THE PERIOD FROM OCT. 2007 TO 2008.
Product Type:	Other: EQUITIES
Alleged Damages:	$436,428.76
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	09-05732
Filing date of arbitration/CFTC reparation or civil litigation:	10/13/2009

Customer Complaint Information

Date Complaint Received:	10/13/2009
Complaint Pending?	No
Status:	Settled
Status Date:	05/20/2010
Settlement Amount:	$325,000.00
Individual Contribution	$0.00

Amount:

Broker Statement THESE CLIENTS WERE REFERRED TO OUR TEAM BY THEIR CPA. THE CLIENTS MADE A GREAT DEAL OF MONEY DURING THE BULL MARKETS OF THE MID 2000'S. THEY BOTH HAD VERY HIGH SPENDING NEEDS. WHEN THE MARKET TURNED NEGATIVE THEY SOUGHT TO RECOUP THE DROP IN VALUE FORGETTING THAT THEY HAD SPENT ALL OF THEIR PROFITS. THE CPA WAS INVOLVED AT EVERY STAGE IN THIS INVESTMENT PLAN AND GIVEN THE HIGH INCOME NEEDS THE PORTFOLIO WAS INVESTED TO ACHIEVE THAT REQUIRED RETURN. THE ACCOUNT NOT ONLY HAD A POSITIVE RETURN SINCE WE STARTED BUT BEAT THE INDEX. THE FIRM SETTLED THIS CASE AGAINST MY WISHES FOR BUSINESS REASONS TO AVOID THE COST OF LITIGATION.

Disclosure 3 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: OCTOBER 26, 2007 TO JULY 28. 2009 THE ATTORNEY REPRESENTING HIS CLIENT ALLEGES THAT THE FINANCIAL ADVISORS PERSUADED THEIR CLIENT TO PURCHASE ANOTHER PRIVATE EQUITY INVESTMENT AT UBS EVEN THOUGH THEY WERE OVER-CONCENTRATED ALREADY. THE ATTORNEY ALSO ALLEGES THAT THEIR CLIENT WAS DAMAGED BY A FAILURE TO LIQUIDATE THEIR SECURITIES TO PURCHASE THEIR HOUSE AND IN ADDITION HAD TO PAY MARGIN INTEREST IN WHICH THEY FEEL SHOULD NEVER HAVE HAD TO BEEN PAID. THE ALLEGED DAMAGES AT UBS ARE ESTIMATED TO BE IN EXCESS OF $5,000.00.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE ALLEGED DAMAGES AT UBS ARE ESTIMATED TO BE IN EXCESS OF $5,000.00.
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:	07/29/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/17/2009
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I NEVER SPOKE TO OR MET WITH THIS CLIENT THEY WORKED WITH ANOTHER CONSULTANT AT UBS THAT I SHARE REVENUE WITH. THIS IS A

CLIENT WHO BEGAN INVESTING DURING A BULL MARKET AND MADE A LOT OF MONEY, UNFORTUNATELY HE ALSO SPENT A LOT OF MONEY. WHEN THE MARKET TURNED NEGATIVE THE ACCOUNT VALUE DROPPED WELL BELOW HIS ORIGINAL INVESTMENT BECAUSE HE HAD SPENT ALL OF HIS PROFITS ON A LAVISH LIFESTYLE EVEN THOUGH WE CONTINUALLY WARNED HIM ABOUT THIS. HIS ACCOUNT OUT PERFORMED THE SP500 STOCK INDEX WHILE IT WAS WITH US. THE FIRM SETTLED THIS ACCOUNT AGAINST MY ADVICE PURELY FOR BUSINESS REASONS GIVEN THE COST OF LITIGATION.

End of Report

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