



IAPD Report

LOUIS CHARLES TAYLOR

CRD# 3059966

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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

LOUIS CHARLES TAYLOR (CRD# 3059966)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TWM WEALTH MANAGEMENT CORP	CRD# 321103	09/30/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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	CROWN CAPITAL SECURITIES, L.P.	6312	WEST LINN, OR	07/07/2004 - 08/17/2022
B	FIRST INVESTORS CORPORATION	305	EDISON, NJ	06/10/1998 - 07/09/2004

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TWM WEALTH MANAGEMENT CORP**
Main Address: 1969 WILLAMETTE FALLS DRIVE
SUITE 230
WEST LINN, OR 97068
Firm ID#: 321103

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	08/17/2023
IA	Oregon	Investment Adviser Representative	Approved	09/30/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/29/2023
IA	Washington	Investment Adviser Representative	Approved	05/29/2025

Branch Office Locations

TWM WEALTH MANAGEMENT CORP
1969 WILLAMETTE FALLS DRIVE
SUITE 230
WEST LINN, OR 97068



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


Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/25/2004
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/09/1998

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/01/2022
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/30/1998

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
B	07/07/2004 - 08/17/2022	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	WEST LINN, OR
B	06/10/1998 - 07/09/2004	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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
05/2010 - Present	TWM Wealth Management Corp	Owner for entity which provides financial services. The types of services have changed over the years from broker dealer services, which are no longer offered, to investment advisory and financial planning services.	Y	West Linn, OR, United States
07/2004 - 08/2022	CROWN CAPITAL SECURITIES, LP	REGISTERED REP	Y	ORANGE, CA, United States
09/2013 - 08/2016	ZON COMPOUNDING, LLC	OWNER	N	LAKE OSWEGO, OR, 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.

Project Charles LLC
Title: Sole Managing Partner

Nature of Business: Holding Company

Project Charles LLC is a holding company through which Mr. Taylor maintains ownership interests in several affiliated businesses including TWM Wealth Management Corp., VVRX Pharmacy Billing Solutions, Voyage Venture LLC, Einnor Projects LLC, and Einnor Capital LLC.

Compensation: Ownership distributions and profit participation.
Time Commitment: Part time.

Einnor Capital LLC
Title: Chief Executive Officer and Fund Manager



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Nature of Business: Private Investment Fund Manager

Einnor Capital LLC sponsors and manages private investment funds focused on acquiring and managing music intellectual property assets including music catalogs consisting of master recording rights and publishing rights. These assets generate royalty income through streaming platforms, performance royalties, synchronization licensing, and other music licensing channels.

Compensation: Management fees of approximately 2 percent of committed capital, carried interest of approximately 20 percent of profits after investor preferred returns, salary of approximately \$150,000 annually once the fund reaches full capital capacity, and potential ownership distributions.

Time Commitment: Part time.

Einnor Projects LLC

Title: Managing Partner

Nature of Business: Investment Advisory and Operational Support

Einnor Projects LLC provides advisory, operational, and administrative support services to affiliated investment entities including funds managed by Einnor Capital LLC.

Compensation: Ownership distributions or related compensation.

Time Commitment: Part time.

VVRX Pharmacy Billing Solutions

Title: Founder and Chief Executive Officer

Nature of Business: Healthcare Services Platform

VVRX Pharmacy Billing Solutions provides administrative and operational services to medical practices implementing physician dispensing programs.

Compensation: Salary and ownership distributions.

Time Commitment: Part time.

Voyage Venture LLC

Title: Managing Member

Nature of Business: Investment and Business Development

Voyage Venture LLC is a private investment and business development entity that may hold investments in operating businesses and venture opportunities.

Compensation: Ownership distributions.

Time Commitment: Part time.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Customer Dispute	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Monetary Penalty other than Fines
Date Initiated:	05/06/2025
Docket/Case Number:	S-23-3686-24-CO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	TWM Wealth Management Corp.
Product Type:	No Product
Allegations:	Louis Taylor was the control person of investment adviser in violation of the Washington Securities Act.
Current Status:	Final
Resolution:	Consent



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:

05/06/2025

Sanctions Ordered:

Cease and Desist
Other: Fines \$7500.00

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$7,500.00

Portion Levied against individual:

\$7,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

04/17/2025

Was any portion of penalty waived?

No

Amount Waived:

Reporting Source:

Individual

Regulatory Action Initiated By:

Washington DFI

Sanction(s) Sought:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement

Date Initiated:

05/06/2025

Docket/Case Number:

S-23-3686-24-CO01

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

TWM Wealth Management Corp

Product Type:

No Product

Allegations:

Date
5/6/2025, Regulatory Final
Initiated By Washington
Allegations: Louis Taylor was the control person of investment adviser in violation of the Washington Securities Act.
Resolution: Consent
Sanctions: Cease and Desist
Sanctions: Fines \$7500.00

Current Status:

Final

Resolution:

Consent

Does the order constitute a

Yes



final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Resolution Date: 05/06/2025

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)
Disgorgement
Other: It was further ordered that TWM Wealth Management Corp and Louis C Taylor shall be jointly and severally liable for and shall disgorge to Washington clients fees totally \$133,172.62.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$9,000.00

Portion Levied against individual: \$9,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 04/16/2025

Was any portion of penalty waived? No

Amount Waived:



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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CROWN CAPITAL SECURITIES, LP
Allegations:	THE CLIENT ALLEGES THAT THE OIL & GAS PROGRAM THEY PURCHASED WAS NOT SUITABLE GIVEN THEIR FINANCIAL SITUATION.
Product Type:	Oil & Gas
Alleged Damages:	\$150,000.00
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:	05/10/2010
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/07/2012
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	REPRESENTATIVE FEELS THE COMPLAINT IS WITHOUT MERIT AND THE CUSTOMER SIGNED OFF THAT HE MET ALL SUITABILITY REQUIREMENTS WHICH WAS THE BASIS FOR THE RECOMMENDATION.



End of Report

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