IAPD Report

DAVID CHARLES VOGT

CRD# 3065080

Section Title | **Page(s)**

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

DAVID CHARLES VOGT (CRD# 3065080)

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 **01/08/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STRATEGIC WEALTH PARTNERS, LLC	CRD# 156670	01/08/2024

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	STRATEGIC WEALTH PARTNERS, LLC	156670	COTOPAXI, CO	05/04/2011 - 12/31/2023
IA	AXA ADVISORS, LLC	6627	FALLS CHURCH, VA	04/15/1999 - 05/04/2011
B	AXA ADVISORS, LLC	6627	FALLS CHURCH, VA	06/07/1998 - 05/04/2011

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

DISCLOSURE INFORMATION

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STRATEGIC WEALTH PARTNERS, LLC**
Main Address: COTOPAXI, CO
Firm ID#: 156670

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026

Branch Office Locations

STRATEGIC WEALTH PARTNERS, LLC
COTOPAXI, 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, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	06/03/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/06/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/03/1998

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

User Guidance

www.adviserinfo.sec.gov

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	05/04/2011 - 12/31/2023	STRATEGIC WEALTH PARTNERS, LLC	CRD# 156670	COTOPAXI, CO
IA	04/15/1999 - 05/04/2011	AXA ADVISORS, LLC	CRD# 6627	FALLS CHURCH, VA
B	06/07/1998 - 05/04/2011	AXA ADVISORS, LLC	CRD# 6627	FALLS CHURCH, VA
B	06/07/1998 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	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
03/2011 - Present	STRATEGIC WEALTH PARTNERS LLC	MANAGING MEMBER	Y	Cotopaxi, CO, United States
05/1998 - Present	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	NOT PROVIDED	Y	FALLS CHURCH, VA, 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.

OTHER OUTSIDE INSURANCE BROKERAGE BUSINESS.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

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

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

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

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

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

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

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

DISCLOSURE EVENT DETAILS

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

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Customer Dispute	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Virginia State Corporation Commission
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Other: Withdraw registration by May 1, 2021
Date Initiated:	02/04/2021
Docket/Case Number:	SEC-2020-00039
URL for Regulatory Action:	https://www.scc.virginia.gov/DocketSearch#/caseDetails/141266
Employing firm when activity occurred which led to the regulatory action:	Strategic Wealth Partners LLC
Product Type:	Other: Private Placement
Allegations:	David Vogt misrepresented different fund classes of a private placement run by Strategic Wealth Partners and David Vogt, by utilizing leverage when disclosure documents said it would not. These classes of the fund were also labeled "conservative" which was not an accurate representation of the activity that occurred. Lastly, Strategic Wealth Partners and David Vogt recommended 2 clients invest almost half of their Liquid Net Worth in the private placement which was unsuitable.
Current Status:	Final
Resolution:	Settled

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:	02/04/2021
Sanctions Ordered:	Bar (Temporary/Time Limited) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	All Capacities
Duration:	5 years
Start Date:	05/01/2021
End Date:	04/30/2026
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$20,000.00
Portion Levied against individual:	$20,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	01/15/2021
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	Virginia State Corporation Commission
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	06/06/2020
Docket/Case Number:	SEC-2020-00039
Employing firm when activity occurred which led to the regulatory action:	Strategic Wealth Partners, LLC
Product Type:	Direct Investment-DPP & LP Interests
Allegations:	THAT VOGT AND SWP MISLEAD INVESTORS BY DESCRIBING IN THE PPM OF BLACK DIAMOND INVESTMENT PARTNERS (BDIP) THAT THERE WOULD BE A SHARE CLASS LABELED "CONSERVATIVE" AND YET THOSE SHARES WERE TRADED USING SHORT SALES AND OPTIONS WHICH THE DIVISION CONSIDERS "AGGRESSIVE" INVESTMENT METHODS. THE DIVISION

	FURTHER ALLEGES THAT TWO CLIENTS WERE ALLOWED TO INVEST APPROXIMATELY HALF OF THEIR LIQUID NET WORTH IN BDIP.
Current Status:	Final
Resolution:	Settled
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:	02/01/2021
Sanctions Ordered:	Bar (Temporary/Time Limited) Monetary Penalty other than Fines
Sanction 1 of 1	
Sanction Type:	Bar (Temporary/Time Limited)
Capacities Affected:	Withdraw registration by 5/1/21
Duration:	5 years
Start Date:	02/01/2021
End Date:	02/01/2026
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$20,000.00
Portion Levied against individual:	$20,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	01/20/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Mr. Vogt maintains his innocence in this matter.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Colorado
Sanction(s) Sought:	Undertaking
Date Initiated:	09/24/2020
Docket/Case Number:	2020-CDS-016
URL for Regulatory Action:	https://drive.google.com/file/d/1bJAV4Hkz756v_kCgh3SaxodadzevGkZ3/view

Employing firm when activity occurred which led to the regulatory action:	Strategic Wealth Partners, LLC
Product Type:	No Product
Allegations:	Vogt provided advisory services in Colorado requiring licensure as an investment advisory representative while not so licensed.
Current Status:	Final
Resolution:	Stipulation and 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:	09/24/2020
Sanctions Ordered:	Undertaking Other: For a period of three (3) years from the date of the Order, Vogt and his firm, Strategic Wealth Partners, LLC ("SWP"), shall engage a compliance consultant (under an agreement reviewed and accepted by the Division)to provide supervision over the advisory business conducted by SWP and Vogt, and conduct one (1) surprise examination during that period.

Reporting Source:	Individual
Regulatory Action Initiated By:	Colorado DORA
Sanction(s) Sought:	Other: REQUIRED TO CONTRACT WITH COMPLIANCE CONSULTANT TO SUPERVISE FURTHER ANNUAL REVIEWS, FILING REQUIREMENTS AND COMPLIANCE WITH LIC
Date Initiated:	08/06/2020
Docket/Case Number:	2020-CDS-016
Employing firm when activity occurred which led to the regulatory action:	Strategic Wealth Partners, LLC
Product Type:	No Product
Allegations:	THAT SWP AND DAVID VOGT DID NOT COMPLETE THEIR APPLICATIONS FOR REGISTRATION IN CO BEFORE ENGAGING IN INVESTMENT ADVISORY AND PLANNING.
Current Status:	Final
Limitation Details:	REQUIRED TO CONTRACT WITH COMPLIANCE CONSULTANT TO SUPERVISE FURTHER ANNUAL REVIEWS, FILING REQUIREMENTS AND COMPLIANCE WITH LICENSING AND REGISTRATION RULES.
Resolution:	Settled

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:	08/11/2020
Sanctions Ordered:	Other: REQUIRED TO CONTRACT WITH COMPLIANCE CONSULTANT TO SUPERVISE FURTHER ANNUAL REVIEWS, FILING REQUIREMENTS AND COMPLIANCE WITH LICENSING AND REGISTRATION RULES.

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES THAT SHE WAS UNAWARE THAT THE PROCEEDS FROM HER DECEASED HUSBAND'S ACCOUNT WERE INVESTED INTO A 2004 VARIABLE ANNUITY CONTRACT. CLIENT CLAIMS SHE WAS NEVER INFORMED THAT THE FUNDS WERE BEING INVESTED IN AN ANNUITY FOR THE BENEFIT OF HER SON; SHE NEVER SIGNED AN APPLICATION OR ACKNOWLEDGEMENT AND NEVER RECEIVED A COPY OF THE CONTRACT EXPLAINING THE PRODUCT, TERMS, OR CONDITIONS. ALTHOUGH DAMAGES ARE UNSPECIFIED, CLIENT WOULD LIKE TO BE PROVIDED WITH THE APPLICATION FOR THIS ANNUITY, COPY OF THE CONTRACT AND EVIDENCE OF HER AUTHORIZATION TO PLACE THESE FUNDS IN AN ANNUITY CONTRACT.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	02/07/2005
Complaint Pending?	No
Status:	Denied
Status Date:	03/11/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EQUITABLE LIFE
Allegations:	CLIENT ALLEGES SHE PURCHASED A 2000 ISSUE VARIABLE ANNUITY THAT WAS UNSUITABLE. CLIENT FURTHER ALLEGES SHE DID NOT KNOWINGLY AUTHORIZE THE TRANSACTION. CLIENT REQUESTED THAT THE FIRM MAKE HER ACCOUNT WHOLE, BUT SHE DID NOT SPECIFY ANY AMOUNT OF DAMAGES.
Product Type:	Annuity(ies) - Variable

Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	11/17/2000
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/18/2001
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

End of Report

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