



## IAPD Report

# Curtis Randall Green

CRD# 3160058

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

**i** 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

### Curtis Randall Green (CRD# 3160058)

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 **12/03/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	10/31/2016
<b>IA</b>	CORNERSTONE WEALTH MANAGEMENT, LLC	CRD# 164666	11/01/2016
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	12/03/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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>IA</b>	EDWARD JONES	250	RANCHO MIRAGE, CA	12/21/2007 - 11/01/2016
<b>B</b>	EDWARD JONES	250	RANCHO MIRAGE, CA	06/29/2001 - 11/01/2016
<b>B</b>	LIGHT SECURITIES	23660	OAKLAND, CA	07/18/2000 - 10/04/2000

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

### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	10/31/2016
<b>B</b>	Alabama	Agent	Approved	02/24/2021
<b>B</b>	Arizona	Agent	Approved	10/31/2016
<b>B</b>	Arkansas	Agent	Approved	11/11/2025
<b>B</b>	California	Agent	Approved	10/31/2016
<b>IA</b>	California	Investment Adviser Representative	Approved	12/03/2025
<b>B</b>	Colorado	Agent	Approved	11/27/2020
<b>B</b>	Connecticut	Agent	Approved	08/03/2020
<b>B</b>	Florida	Agent	Approved	12/06/2021
<b>B</b>	Idaho	Agent	Approved	02/23/2021
<b>B</b>	Illinois	Agent	Approved	10/27/2025
<b>B</b>	Indiana	Agent	Approved	12/15/2020
<b>B</b>	Iowa	Agent	Approved	08/06/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> New Mexico	Agent	Approved	11/17/2016
<b>B</b> New York	Agent	Approved	11/04/2019
<b>B</b> North Carolina	Agent	Approved	01/06/2021
<b>B</b> Ohio	Agent	Approved	05/02/2017
<b>B</b> Oklahoma	Agent	Approved	11/03/2016
<b>B</b> Oregon	Agent	Approved	10/31/2016
<b>B</b> Pennsylvania	Agent	Approved	10/31/2016
<b>B</b> Tennessee	Agent	Approved	04/27/2021
<b>B</b> Texas	Agent	Approved	10/31/2016
<b>B</b> Utah	Agent	Approved	11/07/2017
<b>B</b> Virginia	Agent	Approved	02/23/2021
<b>B</b> Washington	Agent	Approved	10/31/2016
<b>B</b> West Virginia	Agent	Approved	01/06/2017

### Branch Office Locations

**LPL FINANCIAL LLC**  
 34530 BOB HOPE DRIVE, SUITE A  
 RANCHO MIRAGE, CA 92270

### Employment 2 of 2

Firm Name: **CORNERSTONE WEALTH MANAGEMENT, LLC**  
 Main Address: 13358 MANCHESTER ROAD  
 SUITE 200  
 DES PERES, MO 63131  
 Firm ID#: 164666



### Qualifications

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	11/01/2016

### Branch Office Locations

**CORNERSTONE WEALTH MANAGEMENT, LLC**

34530 Bob Hope Dr., Suite A  
Rancho Mirage, CA 92270



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

General Securities Representative Examination (S7)	Series 7	07/17/2000
--	----------	------------

#### State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	12/19/2007
--	-----------	------------

Uniform Securities Agent State Law Examination (S63)	Series 63	09/02/2000
--	-----------	------------

### 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	12/21/2007 - 11/01/2016	EDWARD JONES	CRD# 250	RANCHO MIRAGE, CA
B	06/29/2001 - 11/01/2016	EDWARD JONES	CRD# 250	RANCHO MIRAGE, CA
B	07/18/2000 - 10/04/2000	LIGHT SECURITIES	CRD# 23660	OAKLAND, CA

### 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
10/2016 - Present	Cornerstone Wealth Management, LLC	Investment Adviser Representative	Y	Rancho Mirage, CA, United States
10/2016 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	RANCHO MIRAGE, CA, United States
06/2001 - 10/2016	EDWARD JONES	INVESTMENT REP	Y	ST LOUIS, MO, 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.

- 10/31/2016 - Green Family Trust - Investment Related - Hermosa Beach, CA - Real Estate Rental - Started 06/01/2012 - 1 Hour Per Month - Time Spent 1%.
- 10/31/2016 - Green Family Trust - Investment Related - Palm Desert, CA - Real Estate Rental - Started 04/01/2014 - 1 Hour Per Month - Time Spent 1%.
- 10/31/2016 - Green Family Trust - Investment Related - Palm Desert & Hermosa Beach, CA - Real Estate Rental - Started 10/28/2016 - 1 Hour Per Month - Time Spent 1%.
- 11/18/2016 - Cornerstone Wealth Management LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Started 10/28/2016 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through Cornerstone Wealth Management, an independent investment advisor firm. I started this business activity in October 2016. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 9/21/2018 - No Business Name - Investment Related - Home Based & Rancho Mirage, CA 92270 - Real Estate Rental - Started 08/01/2018 - 1 Hour Per Month During Securities Trading.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

6. 12/10/2020 - C Green Investments - Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Started 11/01/2016 - 0 Hours Per Month.

7. 12/10/2020 - Cornerstone Wealth Management - DBA: Cornerstone - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 10/28/2016 - 160 Hours Per Month During Securities Trading.

8. 12/10/2020 - Cornerstone Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 10/28/2016 - 160 Hours Per Month During Securities Trading.

9. 02/14/2023 - Cornerstone Wealth Portfolios - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 02/01/2023 - 160 Hours Per month/160 Hours During Securities Trading.



## 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	2

### 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	EDWARD JONES
<b>Allegations:</b>	1/3/09-6-30/09; CLIENT STATES FA DID NOT INVEST HER MONEY APPROPRIATELY BASED ON CLIENT'S OBJECTIVES. CLIENT ALSO STATES FA PUT IN WRITING (ON ATTACHED DOCUMENT), THAT SHE WOULD HAVE APPROX. 40 MONTHS OF INCOME AT THE RATE OF \$5,000 A MONTH FROM HER REMAINING INVESTED MONEY. CLIENT STATES HER CALCULATIONS INDICATE SHE WILL ONLY HAVE 15 TO 16 MONTHS INCOME. CLIENT WANTS RESTITUTION.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$5,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/30/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	07/13/2009



**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

FA STATES CLIENT AGREED TO A GROWTH, GROWTH AND INCOME AND INCOME PORTFOLIO WHEN HE FIRST MET WITH HER. FA STATES HE MET WITH CLIENT ON MANY OCCASIONS TO DISCUSS ACCOUNT, INCLUDING 6 HOME APPOINTMENTS, 15 OFFICE APPOINTMENTS, AND APPROXIMATELY 20 PHONE APPOINTMENTS. CLIENT TOOK APPROXIMATE \$375,135.00 IN WITHDRAWALS FROM THE ACCOUNT BETWEEN 2004 AND 2009. FA DISCUSSED HIS CONCERNS WITH THE CLIENT REGARDING THE WITHDRAWALS. FA FELT CLIENT WAS TAKING EXCESSIVE WITHDRAWALS. CLIENT SIGNED AN ACKNOWLEDGEMENT LETTER ON MARCH 6, 2008 FOR LARGE ONGOING WITHDRAWALS. FA KEPT THE PORTFOLIO DIVERSIFIED UNTIL 2008 WHEN THE CLIENT REQUESTED HER ACCOUNT BE INVESTED IN CASH. FA MET WITH CLIENT IN FEBRUARY 2009. DURING THEIR VISIT, THE FA STATES HE USED THE EXAMPLE, IF THE CLIENT HAD \$234,498.23 IN CASH, IF THE CLIENT WERE TO WITHDRAW \$5,000 PER MONTH, THEIR CASH WOULD LAST APPROXIMATELY 40 MONTHS. THIS WAS THE AMOUNT THE CLIENT HAD ORIGINALLY INVESTED ON THE HOLDING PAGE HE SHOWED HER, NOT THE AMOUNT OF CASH THE CLIENT HAD REMAINING.

**Disclosure 2 of 2**

**Reporting Source:**

Individual

**Employing firm when activities occurred which led to the complaint:**

EDWARD JONES

**Allegations:**

THE CLIENT ADVISED THAT HE WAS ASSURED THAT HE WOULD RECEIVE 7.21% INCOME PER YEAR ON THE PURCHASE OF INCOME MUTUAL FUNDS. THE CLIENT'S INCOME HAS DECLINED AND HE IS QUESTIONING WHAT IS GOING ON WITH HIS INVESTMENTS. THE VALUE OF HIS INVESTMENTS HAVE ALSO DECLINED IN VALUE BY APPROXIMATELY \$7000.00. THE CLIENT FEELS THAT HE WAS MISLED ON THE INCOME THAT WOULD BE PRODUCED BY THESE INVESTMENTS.

**Product Type:**

Mutual Fund(s)

**Alleged Damages:**

\$7,000.00

**Customer Complaint Information**

**Date Complaint Received:**

01/03/2006

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

02/08/2006

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE IR ADVISED THAT HE PROPERLY DISCLOSED ALL FEES AND COMMISSIONS ASSOCIATED WITH THESE MUTUAL FUNDS. THE IR PROVIDED THE CLIENT WITH A PROSPECTUS AT THE TIME OF PURCHASE AND THE CLIENT RECEIVED A BREAKPOINT FOR PURCHASING INTO ONE FUND FAMILY. THE CLIENT IS HAVING \$440.00 PER MONTH SENT DIRECTLY TO HIS BANK ACCOUNT FROM THIS ACCOUNT. SINCE IT IS MY



UNDERSTANDING, THAT ALL OF THE FEATURES OF THE BENEFITS WERE REVIEWED AND PROPERLY DISCLOSED TO THE CLIENT, HIS REQUEST FOR REIMBURSEMENT WAS DENIED.



## End of Report

This page is intentionally left blank.