User Guidance

www.adviserinfo.sec.gov

IAPD Report

CRAIG PATRICK MORGAN

CRD# 339858

Section Title

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

CRAIG PATRICK MORGAN (CRD# 339858)

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 **08/31/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COLMINA, LLC	CRD# 289191	11/02/2023

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	DORADO FINANCIAL PLANNING	314922	COLORADO SPRINGS, CO	08/11/2021 - 12/31/2022
IA	INNOVATIVE ADVISER SOLUTIONS, LLC	289191	Colorado Springs, CO	02/12/2021 - 05/04/2021
B	EK RILEY INVESTMENTS, LLC	121003	SEATTLE, WA	06/17/2015 - 01/05/2017

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **COLMINA, LLC**

Main Address: 2212 QUEEN ANNE AVENUE NORTH
#931
SEATTLE, WA 98109

Firm ID#: 289191

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

Branch Office Locations

COLMINA, LLC
Colorado Springs, 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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	07/07/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	01/05/2017
B	General Securities Representative Examination (S7)	Series 7	07/25/1996
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/13/1991
B	Non-Member General Securities Examination (S2)	Series 2	03/02/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/19/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/05/1996

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

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	08/11/2021 - 12/31/2022	DORADO FINANCIAL PLANNING	CRD# 314922	COLORADO SPRINGS, (
IA	02/12/2021 - 05/04/2021	INNOVATIVE ADVISER SOLUTIONS, LLC	CRD# 289191	Colorado Springs, CO
B	06/17/2015 - 01/05/2017	EK RILEY INVESTMENTS, LLC	CRD# 121003	SEATTLE, WA
IA	06/16/2015 - 01/05/2017	EK RILEY INVESTMENTS, LLC	CRD# 121003	COLORADO SPRINGS, (
B	03/16/2009 - 02/17/2015	USAA FINANCIAL ADVISORS, INC.	CRD# 129035	COLORADO SPRINGS, (
IA	03/16/2009 - 02/17/2015	USAA FINANCIAL PLANNING SERVICES	CRD# 106352	COLORADO SPRINGS, (
B	08/30/2006 - 08/14/2007	FIRST ALLIED SECURITIES, INC.	CRD# 32444	ANCHORAGE, AK
IA	01/04/2005 - 07/16/2007	GREENBOOK INVESTMENT MANAGEMENT, INC.	CRD# 131563	ANCHORAGE, AK
B	06/12/2006 - 08/30/2006	GREENBOOK SECURITIES, INC.	CRD# 121447	SAN FRANCISCO, CA
B	10/06/2003 - 05/09/2005	EK RILEY INVESTMENTS, LLC	CRD# 121003	SEATTLE, WA
IA	10/12/2004 - 12/31/2004	XELAN FINANCIAL PLANNING, INC.	CRD# 123794	ANCHORAGE, AK
IA	09/09/2004 - 10/07/2004	EK RILEY ADVISORS, LLC	CRD# 124573	ANCHORAGE, AK
IA	01/13/2003 - 07/26/2004	XELAN FINANCIAL PLANNING, INC.	CRD# 123794	ANCHORAGE, AK
IA	12/13/2001 - 01/16/2003	XELAN INVESTMENT SERVICES, INC.	CRD# 111870	PUYALLUP, WA
B	05/30/2000 - 12/19/2002	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	BOCA RATON, FL

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	01/05/1998 - 06/01/1998	SELECT CAPITAL CORPORATION	CRD# 25089	SACRAMENTO, CA
B	07/26/1996 - 08/05/1997	SAL FINANCIAL SERVICES	CRD# 23952	BIRMINGHAM, AL
B	05/14/1991 - 10/22/1993	WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.	CRD# 13645	SHELTON, CT

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
08/2023 - Present	Innovative Adviser Solutions, LLC	Financial Adviser	Y	Seattle, WA, United States
01/2023 - 08/2023	Retired	Retired	N	Colorado Springs, CO, United States
04/2021 - 12/2022	Dorado Financial Planning, LLC	Lead Planner and CCO	Y	Colorado Springs, CO, United States
01/2021 - 05/2021	Innovative Adviser Solutions, LLC	Financial Adviser	Y	Seattle, WA, United States
02/2017 - 12/2020	Retired	Unemployed	N	Colorado Springs, CO, United States
03/2015 - 01/2017	E.K. RILEY INVESTMENTS, LLC	WEALTH MANAGEMENT COORDINATOR	Y	SEATTLE, WA, 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.

MORGAN LTD-NON INVESTMENT RELATED; OKLAHOMA CITY, OK;REAL ESTATE DEVELOPMENT AND LAND LEASES; OWNER/PARTNER; 05/97; 2 HRS/MO; DECISION MAKING ROLE. MAX V MORGAN INVESTMENTS-NON INVESTMENT RELATED; OKLAHOMA CITY, OK;OWNS REAL ESTATE; OWNER/PARTNER; 05/97; 2 HRS/MO; DECISION MAKING ROLE.

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	1

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: Firm

Employing firm when activities occurred which led to the complaint: WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.

Allegations: MR. MORGAN WAS NAMED AS A CO-DEFENDENT IN A SUIT AGAINST WRIGHT INVESTORS' SERVICE ALLEGING DAMAGES OF APPROXIMATELY $139,000.

Product Type:

Alleged Damages: $139,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: H-92-0538

Date Notice/Process Served: 02/24/1992

Litigation Pending? No

Disposition:	Settled
Disposition Date:	07/09/1993
Monetary Compensation Amount:	$52,000.00
Individual Contribution Amount:	$0.00
Firm Statement	WRIGHT INVESTORS' SERVICE AGREED TO PAY $52,000 TO CHARTER NATIONAL BANK. SUIT WAS DISMISSED WITH PREJUDICE AS TO ALL DEFENDENTS. Not Provided

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WRIGHT INVESTORS' SERVICE DISTRIBUTORS, INC.
Allegations:	DAMAGES $139,000
Product Type:	No Product
Alleged Damages:	$139,000.00

Customer Complaint Information

Date Complaint Received:	
Complaint Pending?	No
Status:	Settled
Status Date:	07/09/1993
Settlement Amount:	$52,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	U.S. DISTRICT COURT, SOUTHERN DISTRICT OF TEXAS
Location of Court:	HOUSTON, TEXAS
Docket/Case #:	H-92-0535
Date Notice/Process Served:	02/26/1992
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	07/09/1993
Monetary Compensation Amount:	$52,000.00
Individual Contribution Amount:	$0.00
Broker Statement	SETTLED OUT OF COURT FOR $52,000. I WAS NEITHER ASKED NOR REQUIRED TO CONTRIBUTE TO THE SETTLEMENT OF THE CASE.

WRIGHT SETTLED EVEN THOUGH I WAS TOLD WE WOULD
WIN THE CASE THE CASE BECAUSE GOING TO COURT WOULD COST
$75,000
OR MORE AND [CUSTOMER] SAID THEY WOULD SETTLE FOR $52,000. IT
WAS DISMISSED WITH PREJUDICE. THE BANK WAS DEALING WITH
MEXICAN
NATIONAL AND THEY MADE A MISTAKE AND TRIED TO BLAME WRIGHT

End of Report

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