



IAPD Report

DOUGLAS RAY EAGLE

CRD# 4157461

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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

DOUGLAS RAY EAGLE (CRD# 4157461)

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 **07/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EAGLE WEALTH MANAGEMENT GROUP INC.	CRD# 327052	07/27/2023
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	10/12/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	CROWN CAPITAL SECURITIES, L.P.	6312	VALENCIA, CA	04/28/2006 - 10/12/2023
B	CROWN CAPITAL SECURITIES, L.P.	6312	VALENCIA, CA	05/28/2004 - 10/12/2023
B	MUTUAL SERVICE CORPORATION	4806	BOSTON, MA	03/29/2000 - 06/07/2004

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

Employment 1 of 2

Firm Name: **EAGLE WEALTH MANAGEMENT GROUP INC.**
Main Address: 28212 KELLY JOHNSON PARKWAY
SUITE 175
VALENCIA, CA 91355
Firm ID#: 327052

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/27/2023
IA Texas	Investment Adviser Representative	Restricted Approval	08/07/2024

Branch Office Locations

EAGLE WEALTH MANAGEMENT GROUP INC.
28212 KELLY JOHNSON PARKWAY
SUITE 175
VALENCIA, CA 91355

Employment 2 of 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 151604

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	10/12/2023
B FINRA	General Securities Representative	Approved	10/12/2023
B California	Agent	Approved	10/12/2023
B Michigan	Agent	Approved	10/12/2023



Qualifications

Regulator	Registration	Status	Date
B Nevada	Agent	Approved	10/12/2023
B Pennsylvania	Agent	Approved	10/12/2023
B South Dakota	Agent	Approved	10/12/2023
B Tennessee	Agent	Approved	10/12/2023
B Texas	Agent	Approved	10/12/2023
B Washington	Agent	Approved	10/12/2023

Branch Office Locations

28212 Kelly Johnson Parkway
Suite 175
Valencia, CA 91355




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/16/2004

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/28/2000

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/23/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/13/2000

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	04/28/2006 - 10/12/2023	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	VALENCIA, CA
B	05/28/2004 - 10/12/2023	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	VALENCIA, CA
B	03/29/2000 - 06/07/2004	MUTUAL SERVICE CORPORATION	CRD# 4806	BOSTON, MA

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
10/2023 - Present	Concorde Investment Services	Registered Representative	Y	Livonia, MI, United States
07/2023 - Present	EAGLE WEALTH MANAGEMENT GROUP INC.	Owner and Advisor	Y	Valencia, CA, United States
05/2004 - Present	CROWN CAPITAL SECURITIES, LP	REGISTERED REP	Y	ORANGE, CA, 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.

- 1) Eagle Wealth Insurance Agency, Non Investment related, 28212 Kelly Johnson Parkway Suite 175, Valencia CA, CEO/President, providing fixed annuity, SPIA annuity, life, disability, and longterm care insurance products for clients of EWMG and ERP as needed. Start Date 11/03/2023, 6-10 hrs/month during non trading hours, 6-10 hours/month during trading hours.
- 2) Eagle Retirement Plans INC, Investment related, Valencia CA, Financial Planning and Investment Advisory Business, providing investment and financial planning services to clients, Owner/President, Start date 04/03/2000, full time during non trading hours and full time trading hours.
- 3) Hasley Estates HOA Board, Non Investment related, Valencia CA, home owners association, Board Treasurer, financial overseer of the board, reviewing monthly and annual budget. Start date 11/01/2020, 1-5 hrs/month during non trading hours, 1-5 hours/month during trading hours.
- 4) ERP Valencia, Non Investment related, Valencia CA, real estate investment holding company for office condo, Owner, Start Date 02/2022, 1-5 hours/month during non trading hours.
- 5) EagleWealth Management Group Inc, Investment related, DBA for Investment Advisory Business, Valencia CA, Financial Planning and Investment Advisory Business, CEO, financial planning and investment services. Start date 07/14/2023, 21-40 hours/month during non trading hours, 21-40 hours/month during trading hours.
- 6) Concorde Insurance Agency, Investment Related, Valencia CA, Variable insurance products, Broker, selling of variable annuity products. Start date 10/01/2023, 1-5 hours/month during non trading hours, 1-5 hours month during trading hours.
- 7) Adult Financial Education Services. Non-investment related. Start date: April 10, 2025. 28212 Kelly Johnson Parkway Suite 175. Instructor. Provide education classes on the topics referenced, Social Security Benefits and Living Trusts. 1-5 hours during non-trading hours. 1-5 hours during trading hours.



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: Individual

Employing firm when activities occurred which led to the complaint: CROWN CAPITAL SECURITIES, LP

Allegations: CLIENT CLAIMS THAT SHE SENT AN INSTRUCTION VIA EMAIL ON OCTOBER 3, 2008 TO DOUG EAGLE TO TRANSFER THE BALANCE OF THE ACCOUNT TO A FIXED ACCOUNT. INVESTIGATION SHOWS THAT THE EMAIL WAS SENT TO THE WRONG ADDRESS. MR EAGLE RECEIVED THE INSTRUCTION ON OCTOBER 7, 2008. FURTHERMORE THE CLIENT HAD NOT AUTHORIZED TELEPHONE TRANSFERS, SO MR. EAGLE HAD TO GET THE CLIENT TO COMPLETE A TELEPHONE TRANSFER FORM FOR SECURITY BENEFIT. DURING THIS WHOLE TIME THE CLIENT WAS ON VACATION ON A CRUISE. THE TRANSACTION WAS DONE ON OCTOBER 14, 2008. THE CLIENT CLAIMS SHE LOST \$8000 IN THE MARKET DUE TO THE LENGTH OF TIME TO GET THE TRANSACTION EXECUTED.

Product Type: Annuity-Variable

Alleged Damages: \$8,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC repair or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/15/2008

Complaint Pending? No



Status:	Settled
Status Date:	10/01/2009
Settlement Amount:	\$1,900.00
Individual Contribution Amount:	\$0.00



End of Report

This page is intentionally left blank.