



IAPD Report

SHAKEEL [NMN] DEWJI

CRD# 4170483

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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

SHAKEEL [NMN] DEWJI (CRD# 4170483)

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 **01/27/2023**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA AURORA INVESTMENT MANAGERS, LLC	CRD# 146325	02/11/2008

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
IA BOSTON ADVISORS, LLC	140059	BOSTON, MA	06/09/2006 - 05/27/2008
IA BOSTON ADVISORS, INC.	110981	BOSTON, MA	06/28/2004 - 06/09/2006
B ADVEST, INC.	10	HARTFORD, CT	02/06/2001 - 04/05/2006

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
Termination	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: **AURORA INVESTMENT MANAGERS, LLC**
Main Address: 4850 TAMIAMI TRAIL N
SUITE 301
NAPLES, FL 34103
Firm ID#: 146325

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	07/09/2015
	Louisiana	Investment Adviser Representative	Approved	01/30/2023
	Massachusetts	Investment Adviser Representative	Approved	02/14/2008
	Texas	Investment Adviser Representative	Approved	02/11/2008

Branch Office Locations

AURORA INVESTMENT MANAGERS, LLC
4850 TAMIAMI TRAIL N
SUITE 301
NAPLES, FL 34103



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, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	05/15/2000

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	05/11/2000

State Securities Law Exams

Exam	Category	Date
Uniform Combined State Law Examination (S66)	Series 66	05/22/2000

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	06/09/2006 - 05/27/2008	BOSTON ADVISORS, LLC	CRD# 140059	BOSTON, MA
IA	06/28/2004 - 06/09/2006	BOSTON ADVISORS, INC.	CRD# 110981	BOSTON, MA
B	02/06/2001 - 04/05/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
B	09/25/2000 - 01/11/2001	QUICK & REILLY, INC.	CRD# 11217	NEW YORK, NY
B	05/15/2000 - 09/25/2000	FIS SECURITIES, INC.	CRD# 30533	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
01/2008 - Present	AURORA INVESTMENT MANAGERS, LLC	MANAGING MEMBER/CHIEF COMPLIANCE OFFICER	Y	NAPLES, FL, 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.

No information reported.



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
Termination	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:	FLORIDA OFFICE OF FINANCIAL REGULATION
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	07/09/2015
Docket/Case Number:	59470-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	AURORA INVESTMENT MANAGERS, LLC E
Product Type:	No Product
Allegations:	CONDUCTED INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION.
Current Status:	Final
Resolution:	Order
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:	07/09/2015



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

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

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 07/09/2015

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

ON 7/9//2015, THE OFFICE OF FINANCIAL REGULATION ENTERED A FINAL ORDER ADOPTING THE STIPULATION AND CONSENT AGREEMENT IN THE MATTER OF SHAKEEL DEWJI. MR. DEWJI ADMITS TO AND CONSENTS TO THE ENTRY OF FINDINGS BY THE OFFICE. THE OFFICE FOUND THAT SHAKEEL DEWJI ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM OFFICES WITHIN THIS STATE WITHOUT THE BENEFIT OF LAWFUL REGISTRATION IN THE STATE OF FLORIDA PURSUANT TO SECTION 517. 12(4), F. S. MR. DEWJI AGREED TO PAY AN ADMINISTRATIVE FINE IN THE AMOUNT OF \$4,000. THE OFFICE AGREED TO APPROVE SHAKEEL DEWJI'S APPLICATION AS AN ASSOCIATED PERSON (RA) WITH AURORA INVESTMENT MANAGERS, LLC EFFECTIVE 7/9/2015.

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Reporting Source: Individual

Regulatory Action Initiated By: STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 02/26/2015

Docket/Case Number: 59470-SR

Employing firm when activity occurred which led to the regulatory action: AURORA INVESTMENT MANAGERS, LLC

Product Type: No Product

Allegations: SHAKEEL DEWJI ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM LOCATION(S) IN FLORIDA AND TO PERSONS OF FLORIDA WITHOUT THE BENEFIT OF LAW REGISTRATION AS AN ASSOCIATED PERSON OF AURORA INVESTMENT MANAGERS, LLC.

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:	07/08/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$6,500.00
Portion Levied against individual:	\$4,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	07/09/2015
Was any portion of penalty waived?	Yes
Amount Waived:	\$2,500.00
Broker Statement	Shakeel Dewji paid an administrative fine of \$4,000 which was reduced from the original amount of \$6,500 and was granted registration in Florida as an associated person on July 9, 2015. The reduction in the fine was based on the fact that Shakeel Dewji relied on an independent compliance firm to inform all interested parties that he had moved his firm from the state of Massachusetts to the state of Florida. The independent compliance firm informed all interested parties of the firm's move to Florida, however, the independent compliance firm failed to inform the state of Florida that Shakeel Dewji had also moved to the State of Florida. The compliance firm did however inform all other states as well as the SEC about the move. This error on the part of the independent compliance firm was the reason for the reduction in the fine from \$6,500 to \$4,000.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	BOSTON ADVISORS, LLC
Termination Type:	Discharged
Termination Date:	02/07/2008
Allegations:	MR. DEWJI ESTABLISHED AN INVESTMENT MANAGEMENT FIRM, AURORA INVESTMENT MANAGERS, LLC WITHOUT THE CONSENT OR KNOWLEDGE OF HIS EMPLOYER AND SOLICITED CLIENTS OF THE EMPLOYER USING EMPLOYERS PROPRIETARY COMPANY INFORMATION IN CONTRAVENTION OF CFA CODE OF CONDUCT, DUTY OF LOYALTY TO EMPLOYER.
Product Type:	No Product
Other Product Types:	



End of Report

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