User Guidance

www.adviserinfo.sec.gov

IAPD Report

STEVEN ERIC ERICKSON

CRD# 4400791

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

STEVEN ERIC ERICKSON (CRD# 4400791)

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 **06/05/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	05/12/2020
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	05/13/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	144426	VANCOUVER, WA	01/10/2019 - 05/11/2020
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	VANCOUVER, WA	01/04/2019 - 05/11/2020
B	LPL FINANCIAL LLC	6413	VANCOUVER, WA	04/24/2012 - 02/14/2019

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

Employment 1 of 2

Firm Name: **CONCORDE ASSET MANAGEMENT, LLC**

Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108

Firm ID#: 140367

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	05/11/2021
IA	California	Investment Adviser Representative	Approved	07/30/2020
IA	Georgia	Investment Adviser Representative	Approved	01/22/2025
IA	Idaho	Investment Adviser Representative	Approved	08/19/2021
IA	Illinois	Investment Adviser Representative	Approved	04/03/2026
IA	Iowa	Investment Adviser Representative	Approved	02/06/2025
IA	Massachusetts	Investment Adviser Representative	Approved	02/18/2026
IA	Montana	Investment Adviser Representative	Approved	06/03/2026
IA	Oklahoma	Investment Adviser Representative	Approved	01/27/2025
IA	Oregon	Investment Adviser Representative	Approved	08/03/2020
IA	Texas	Investment Adviser Representative	Restricted Approval	07/30/2020
IA	Washington	Investment Adviser Representative	Approved	05/13/2020

Qualifications

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC
201 NE Park Plaza Drive
Suite 200
Vancouver, WA 98684

CONCORDE ASSET MANAGEMENT, LLC
1800 Blakenship Rd.
Suite 214
West Linn, OR 97068

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 Representative	Approved	05/12/2020
B	Alabama	Agent	Approved	12/15/2025
B	Arizona	Agent	Approved	01/21/2021
B	California	Agent	Approved	05/12/2020
B	Colorado	Agent	Approved	06/23/2020
B	Florida	Agent	Approved	08/27/2024
B	Georgia	Agent	Approved	01/22/2025
B	Hawaii	Agent	Approved	06/12/2020
B	Illinois	Agent	Approved	04/03/2026
B	Iowa	Agent	Approved	02/06/2025
B	Louisiana	Agent	Approved	12/15/2025
B	Massachusetts	Agent	Approved	03/27/2026
B	Michigan	Agent	Approved	03/17/2026

Qualifications

	Regulator	Registration	Status	Date
B	Minnesota	Agent	Approved	03/27/2026
B	Montana	Agent	Approved	06/03/2026
B	New Jersey	Agent	Approved	08/21/2024
B	North Carolina	Agent	Approved	05/17/2024
B	Oklahoma	Agent	Approved	01/27/2025
B	Oregon	Agent	Approved	05/28/2020
B	Pennsylvania	Agent	Approved	08/23/2024
B	Rhode Island	Agent	Approved	03/12/2025
B	South Carolina	Agent	Approved	12/17/2025
B	Tennessee	Agent	Approved	04/06/2021
B	Texas	Agent	Approved	09/29/2020
B	Utah	Agent	Approved	05/21/2025
B	Virginia	Agent	Approved	12/11/2024
B	Washington	Agent	Approved	05/12/2020
B	Wyoming	Agent	Approved	12/17/2024

Branch Office Locations

201 NE Park Plaza Drive
Suite 200
Vancouver, WA 98684

1800 Blakenship Rd
Suite 214
West Linn, OR 97068

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
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/20/2001

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/02/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/25/2001

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/10/2019 - 05/11/2020	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	CRD# 144426	VANCOUVER, WA
B	01/04/2019 - 05/11/2020	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	VANCOUVER, WA
B	04/24/2012 - 02/14/2019	LPL FINANCIAL LLC	CRD# 6413	VANCOUVER, WA
IA	04/23/2012 - 02/14/2019	LPL FINANCIAL LLC	CRD# 6413	VANCOUVER, WA
B	06/01/2009 - 05/17/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	VANCOUVER, WA
IA	06/01/2009 - 05/17/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	VANCOUVER, WA
B	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	VANCOUVER, WA
IA	04/02/2007 - 06/01/2009	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	VANCOUVER, WA
IA	01/27/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	VANCOUVER, WA
B	01/27/2006 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	VANCOUVER, WA
IA	09/10/2003 - 02/10/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTLAND, OR
B	06/21/2001 - 02/10/2006	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTLAND, OR
IA	03/19/2003 - 09/09/2003	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTLAND, OR

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
05/2020 - Present	CONCORDE ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	ANN ARBOR, MI, United States
05/2020 - Present	CONCORDE INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	ANN ARBOR, MI, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2019 - 05/2020	INTERNATIONAL ASSETS ADVISORY, LLC	REGISTERED REPRESENTATIVE	Y	VANCOUVER, WA, United States
01/2019 - 05/2020	INTERNATIONAL ASSETS INVESTMENT MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	VANCOUVER, WA, United States
04/2012 - 12/2018	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	VANCOUVER, 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.

1) WEALTH INVESTMENT SERVICES, LLC, INVESTMENT RELATED, DBA FOR SECURITIES RELATED ACTIVITIES, VANCOUVER, WA 98684 - START DATE 4/2012 - APPROX 160 HRS/MO.

2) YUMMY QUICK MEALS, NON INVESTMENT RELATED, 6504 NW 287TH STREET, RIDGEFIELD, WA 98642 - SELL 'THRIVE LIFE' FREEZE DRIED FOODS - DIRECTOR SINCE 9/2015 - APPROX .5 HRS/MO

3) WESTERN UNITED LIFE ASSURANCE 201 NE PARK PLAZA DR, SUITE 224, VANCOUVER, WA 98684 - FIXED ANNUITY SALES - INDEPENDENT SALES REP SINCE 1/2019 - APPROX 1 HR/MO

4) CONCORDE ASSET MANAGEMENT, LLC - LIVONIA, MI - RIA AFFILIATE OF CONCORDE INVESTMENT SERVICES, LLC - INVESTMENT ADVISOR REPRESENTATIVE SINCE 05/2020 - APPROX 160 HRS/MO - FEE BASED COMPENSATION, INVESTMENT RELATED

5) Alpine Brokerage Services, The Quantam Group, USA. Investment related. Start date: January 2021. Insurance licensed agent conducting fixed annuities, long term care and life insurance. 1-5 hours/month during trading hours.

6) SRA 831b Administration a.k.a Captive Consultants. Investment related. Eagle, ID. Start date: October 2024. Wealth Strategist, provides temporary insurance for business owners and $1 for $1 deduction on the amount invested. 1-5 hours/month during trading hours, 1-5 hours/month during non-trading hours.

7) Cornerstone Business Services, non-investment related. Green Bay, WI. Start date: October 2024. Wealth Strategist, refer clients that are selling or considering selling business. 1-5 hours/month during trading hours, 1-5 hours/month during non-trading hours.

8) SRA 831b, Investment related, Eagle, ID. Start date: June 2025. Referral Rep, connects clients that need 831b insurance plans with SRA, SRA sets up 831b plan and we manage the investment at Pershing. 1-5 hours/month during trading hours, 1-5 hours/month during non-trading hours.

9) Columbia Theater Arts Foundation. Non-investment related, Battle Ground, WA. Start date: February 2025. Board Chair, attends monthly meetings, attends productions as representative of the board, and promotes the mission of the theater program. 1-5 hours/month during trading hours, 1-5 hours/month during non-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	2
Termination	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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT BEGINNING IN JUNE 2008 WHEN TRANSFERRING FROM A JOINT TO AN INDIVIDUAL ACCOUNT THE FA MADE UNSUITABLE RECOMMENDATIONS DESPITE THE CLIENT'S CHANGE IN LIFESTYLE.
Product Type:	Other: MANAGED ACCOUNT
Alleged Damages:	$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-01970
Filing date of arbitration/CFTC reparation or civil litigation:	06/12/2014

Customer Complaint Information

Date Complaint Received:	09/22/2014
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/16/2015
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Firm Statement	THE PANEL DISMISSED THE CLAIMS WITH PREJUDICE AS A SANCTION FOR CLAIMANT'S WILLFUL AND MATERIAL FAILURE TO COMPLY WITH THE PANEL'S EARLIER ORDER TO COMPEL DISCOVERY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY SMITH BARNEY
Allegations:	CLIENT ALLEGES, INTER ALIA, THAT BEGINNING IN JUNE 2008 WHEN TRANSFERRING FROM A JOINT TO AN INDIVIDUAL ACCOUNT THE FA MADE UNSUITABLE RECOMMENDATIONS DESPITE THE CLIENT'S CHANGE IN LIFESTYLE.
Product Type:	Other: MANAGED ACCOUNT
Alleged Damages:	$400,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-01970
Filing date of arbitration/CFTC reparation or civil litigation:	06/12/2014

Customer Complaint Information

Date Complaint Received:	09/22/2014
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/16/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE PANEL DISMISSED THE CLAIMS WITH PREJUDICE AS A SANCTION FOR CLAIMANT'S WILLFUL AND MATERIAL FAILURE TO COMPLY WITH THE PANEL'S EARLIER ORDER TO COMPEL DISCOVERY.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN STANLEY & CO. INC.
Allegations:	CUSTOMERS ALLEGE THEY WERE MISLED AND THAT INVESTMENTS ARE NOT SUITABLE. NO SPECIFIC DATE(S) PROVIDED.
Product Type:	Unit Investment Trust
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	MORE THAN $5,000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/11/2009
Complaint Pending?	No
Status:	Denied
Status Date:	08/04/2009
Settlement Amount:	
Individual Contribution Amount:	

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:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	12/31/2018
Allegations:	Repeated triggering of compliance alerts for trading ahead of customers and low-priced/unlisted securities solicitation, in violation of Firm policies.
Product Type:	Other: low-priced/unlisted securities

Reporting Source:	Individual
Firm Name:	LPL FINANCIAL, LLC
Termination Type:	Discharged
Termination Date:	12/31/2018
Allegations:	VIOLATION OF FIRM LOW PRICED AND UNLISTED SECURITIES POLICY FOR SOLICITING INVESTMENTS IN SUCH SECURITIES. VIOLATION OF FIRM TRADE PRACTICES POLICY AS A RESULT OF TRIGGERING COMPLIANCE ALERTS FOR TRADING AHEAD OF CUSTOMERS.
Product Type:	Other: LOW PRICED/UNLISTED

End of Report

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