



## IAPD Report

# BRYAN PAUL HOPKINS

CRD# 4489174

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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

### BRYAN PAUL HOPKINS (CRD# 4489174)

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 **05/06/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	09/24/2010
<b>IA</b>	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	11/10/2010

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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>	ROYAL ALLIANCE ASSOCIATES, INC.	23131	ANAHEIM HILLS, CA	11/03/2005 - 09/10/2010
<b>B</b>	ROYAL ALLIANCE ASSOCIATES, INC.	23131	ANAHEIM HILLS, CA	01/17/2002 - 09/10/2010

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

### Employment 1 of 1

Firm Name: **INDEPENDENT FINANCIAL GROUP, LLC**  
Main Address: 12671 HIGH BLUFF DR  
SUITE 200  
SAN DIEGO, CA 92130  
Firm ID#: 7717

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/24/2010
B	FINRA	Invest. Co and Variable Contracts	Approved	09/24/2010
B	Arizona	Agent	Approved	09/25/2019
B	California	Agent	Approved	10/26/2010
B	Idaho	Agent	Approved	09/24/2010
IA	Idaho	Investment Adviser Representative	Approved	04/21/2022
B	Louisiana	Agent	Approved	10/10/2024
B	Massachusetts	Agent	Approved	02/10/2014
B	Michigan	Agent	Approved	10/14/2025
B	Montana	Agent	Approved	12/13/2021
B	Nevada	Agent	Approved	10/28/2010
B	Tennessee	Agent	Approved	12/02/2025
B	Texas	Agent	Approved	10/29/2025



### Qualifications

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Restricted Approval	10/29/2025
B Washington	Agent	Approved	05/06/2026

### Branch Office Locations

**INDEPENDENT FINANCIAL GROUP, LLC**  
500 E Shore Drive  
Suite 110  
Eagle, ID 83616



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	09/08/2005
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/16/2002

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	09/19/2005
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/2002

### 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	11/03/2005 - 09/10/2010	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	ANAHEIM HILLS, CA
B	01/17/2002 - 09/10/2010	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	ANAHEIM HILLS, 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
08/2015 - Present	Hopkins & Company CPA	CPA	N	Anaheim Hills, CA, United States
09/2010 - Present	INDEPENDENT FINANCIAL GROUP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, 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) HOPKINS WEALTH MANAGEMENT GROUP

POSITION: Agent/Representative NATURE: DBA Name for Marketing Purposes Only INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 50 START DATE: 01/02/2007 ADDRESS: 877 W Main St., Suite 606, Boise ID 83702, United States DESCRIPTION: 100% OWNER OF DBA HOPKINS WEALTH MANAGEMENT GROUP USED FOR MARKETING PURPOSES SINCE 2010. INVESTMENT RELATED. APPROXIMATELY 30% TIME SPENT. BUSINESS CONDUCTED AT OFFICE ADDRESS OF RECORD.

#### (2) HOPKINS & COMPANY CPA

POSITION: Officer/Director NATURE: Tax Preparation/Accounting/Bookkeeping/CPA INVESTMENT RELATED: Yes NUMBER OF HOURS: 50 SECURITIES TRADING HOURS: 25 START DATE: 08/01/2013 ADDRESS: 8141 E. Kaiser Blvd., Suite 106, Anaheim Hills CA 92808, United States DESCRIPTION: 100% OWNER OF HOPKINS & COMPANY CPA, INC A FULL SERVICE ACCOUNTANCY FIRM, AN H & R FRANCHISE.

#### (3) LGR

POSITION: Officer/Director NATURE: Real Estate Sales/Rental Properties/Property Management INVESTMENT RELATED: No NUMBER OF HOURS: 17 SECURITIES TRADING HOURS: 0 START DATE: 03/01/2009 ADDRESS: 877 W Main St., Suite 606, Boise ID 83702, United States DESCRIPTION: 100% OWNER OF LGR OF ARIZONA PROVIDING RENTAL AND LEASING OF RESIDENTIAL and Commercial REAL ESTATE SINCE 1999. INVESTMENT RELATED. APPROXIMATELY 10% TIME SPENT. BUSINESS CONDUCTED AT OFFICE ADDRESS OF RECORD.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

(4) LBJ

POSITION: Officer/Director NATURE: Real Estate Sales/Rental Properties/Property Management INVESTMENT RELATED: Yes  
NUMBER OF HOURS: 17 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2003  
ADDRESS: 8141 E. Kaiser Blvd., Suite 106, Anaheim Hills CA 92808, United States  
DESCRIPTION: 17% OWNER OF LBJ PROVIDING RENTAL AND LEASING OF REAL ESTATE.

(5) LGR OF IDAHO

POSITION: Officer/Director NATURE: Real Estate Sales/Rental Properties/Property Management INVESTMENT RELATED: No  
NUMBER OF HOURS: 17 SECURITIES TRADING HOURS: 0 START DATE: 04/28/2017  
ADDRESS: 877 W Main St., Suite 606, Boise ID 83702, United States  
DESCRIPTION: 95% OWNER OF LGR OF IDAHO PROVIDING RENTAL AND LEASING OF REAL ESTATE SINCE 2018.  
INVESTMENT RELATED. APPROXIMATELY 10% TIME SPENT. BUSINESS CONDUCTED AT OFFICE ADDRESS OF RECORD.

(6) HR BLOCK ADVISOR

POSITION: Employee NATURE: Tax Preparation/Accounting/Bookkeeping/CPA INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 10/09/2023  
ADDRESS: 5002 W Emerald Street, Boise ID 83703, United States  
DESCRIPTION: Tax Preparation for current clients

(7) EAGLE KIWANIS CLUB

POSITION: President Elect NATURE: Volunteer INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 2 START DATE: 10/09/2023  
ADDRESS: PO Box 2381, Eagle ID 83616, United States  
DESCRIPTION: Lead club projects that benefit the community  
Develop initiatives to increase club membership  
Developing servant leaders to fulfil the club mission



## 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
Customer Dispute	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:** Individual

**Regulatory Action Initiated By:** CALIFORNIA BOARD OF ACCOUNTANCY

**Sanction(s) Sought:** Revocation  
Suspension  
Other: DISCIPLINARY ACTION

**Date Initiated:** 11/02/2007

**Docket/Case Number:** AC-2007-40

**Employing firm when activity occurred which led to the regulatory action:** ROYAL ALLIANCE ASSOCIATES, INC

**Product Type:** No Product

**Allegations:** ALLEGATIONS OF VIOLATIONS OF THE BUSINESS AND PROFESSIONS CODE INCLUDED RECEIPT OF COMMISSIONS WITHOUT COMPLYING WITH THE BOARD'S DISCLOSURE REQUIREMENTS AS REQUIRED BY CODE SECTION 5100 AND PRACTICE OF PUBLIC ACCOUNTANCY UNDER A NAME THAT WAS NOT REGISTERED WITH THE BOARD AS REQUIRED BY CODE SECTION 5060.

**Current Status:** Final

**Resolution:** STIPULATED SETTLEMENT AND DISCIPLINARY ORDER



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	01/25/2008
<b>Sanctions Ordered:</b>	Revocation Other: REVOCATION WAS STAYED AND RESPONDENT WAS PLACED ON CONDITIONAL PROBATION FOR THREE (3) YEARS.
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$16,114.88
<b>Portion Levied against individual:</b>	\$16,114.88
<b>Payment Plan:</b>	
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	02/01/2008
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	
<b>Broker Statement</b>	RESPONDENT SUCCESSFULLY COMPLETED THE PROBATION AND HAS REMAINED IN COMPLIANCE WITH THE BOARD SINCE THE SETTLEMENT WAS ENTERED.



### 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:** ROYAL ALLAINCE ASSOCIATES, INC.

**Allegations:** BREACH OF FIDUCIARY DUTIES; PROFESSIONAL NEGLIGENCE; NEGLIGENCE PER SE; FINANCIAL ELDER ABUSE; VIOLATION OF CALIFORNIA SECURITIES LAW; CONSTRUCTIVE FRAUD; INDEMNITY

**Product Type:** Other: REAL ESTATE

**Alleged Damages:** \$25,000.00

**Alleged Damages Amount Explanation (if amount not exact):** PLAINTIFSS ASSERT DAMAGES IN EXCESS OF \$25,000.00

### Civil Litigation Information

**Type of Court:** State Court

**Name of Court:** ORANGE COUNTY SUPERIOR COURT

**Location of Court:** SANTA ANA, CALIFORNIA

**Docket/Case #:** 30-2009-00124814-00-PN-CJC

**Date Notice/Process Served:** 05/28/2010

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/13/2010

**Monetary Compensation Amount:** \$500,000.00

**Individual Contribution Amount:** \$250,000.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** ROYAL ALLIANCE ASSOCIATES INC

**Allegations:** BREACH OF FIDUCIARY DUTIES; PROFESSIONAL NEGLIGENCE; NEGLIGENCE PER SE; FINANCIAL ELDER ABUSE; VIOLATION OF CALIFORNIA SECURITIES LAW; CONSTRUCTIVE FRAUD; INDEMNITY

**Product Type:** Other: REAL ESTATE

**Alleged Damages:** \$25,000.00



**Alleged Damages Amount** PLAINIFF ASSERTS DAMAGES IN EXCESS OF \$25,000.  
**Explanation (if amount not exact):**

**Civil Litigation Information**

**Type of Court:** State Court  
**Name of Court:** ORANGE COUNTY SUPERIOR COURT  
**Location of Court:** SANTA ANA, CA  
**Docket/Case #:** 30-2009-00124814-00-PN-CJC  
**Date Notice/Process Served:** 05/28/2010  
**Litigation Pending?** No  
**Disposition:** Settled  
**Disposition Date:** 08/13/2010  
**Monetary Compensation Amount:** \$500,000.00  
**Individual Contribution Amount:** \$250,000.00



## End of Report

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