



## IAPD Report

# BRIAN VAHAN SERIMIAN

CRD# 4514895

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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

### BRIAN VAHAN SERIMIAN (CRD# 4514895)

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 **02/07/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	04/10/2023
<b>IA</b>	CONCURRENT INVESTMENT ADVISORS, LLC	CRD# 323135	04/11/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	FRESNO, CA	02/08/2019 - 04/28/2023
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	FRESNO, CA	01/18/2019 - 04/28/2023
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	FRESNO, CA	06/14/2013 - 01/23/2019

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

#### Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**  
Main Address: 80 STATE STREET  
ALBANY, NY 12207  
Firm ID#: 35747

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	04/10/2023
<b>B</b> California	Agent	Approved	04/10/2023
<b>B</b> Florida	Agent	Approved	02/11/2025
<b>B</b> Idaho	Agent	Approved	05/09/2024

#### Branch Office Locations

5200 N Palm Ave  
Suite 312  
Fresno, CA 93704

#### Employment 2 of 2

Firm Name: **CONCURRENT INVESTMENT ADVISORS, LLC**  
Main Address: 100 S. ASHLEY DRIVE  
SUITE 830  
TAMPA, FL 33602  
Firm ID#: 323135

Regulator	Registration	Status	Date
<b>IA</b> California	Investment Adviser Representative	Approved	04/11/2023

#### Branch Office Locations

**CONCURRENT INVESTMENT ADVISORS, LLC**



## Qualifications

100 S. ASHLEY DRIVE  
SUITE 830  
TAMPA, FL 33602



## 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
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	02/26/2009
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/11/2013
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Uniform Securities Agent State Law Examination (S63)	Series 63	03/21/2011
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### 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	02/08/2019 - 04/28/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	FRESNO, CA
B	01/18/2019 - 04/28/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	FRESNO, CA
B	06/14/2013 - 01/23/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FRESNO, CA
IA	06/14/2013 - 01/23/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	FRESNO, CA
IA	03/15/2013 - 06/18/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	FRESNO, CA
B	10/01/2012 - 06/18/2013	J.P. MORGAN SECURITIES LLC	CRD# 79	FRESNO, CA
B	11/08/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FRESNO, CA
B	02/04/2011 - 10/17/2011	WELLS FARGO ADVISORS, LLC	CRD# 19616	FRESNO, CA
B	02/27/2009 - 07/06/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	FRESNO, 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
04/2023 - Present	Concurrent Investment Advisors LLC	Investment Adviser Representative	Y	TAMPA, FL, United States
04/2023 - Present	Purshe Kaplan Sterling Investments	Registered Representatives	Y	Albany, NY, United States
12/2020 - Present	Concurrent Investment Advisors, LLC dba Fig Garden Wealth Manage	President	Y	Fresno, CA, United States
01/2019 - 04/2023	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.	IAR	Y	FRESNO, CA, United States
01/2019 - 04/2023	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	FRESNO, CA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2019 - 04/2023	Raymond James	Wealth Manager / Financial Advisor	Y	Fresno, CA, United States
06/2013 - 01/2019	Wells Fargo	Wells Fargo Advisors	Y	Fresno, 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) Concurrent Investment Advisors, LLC dba Fig Garden Wealth Management. Investment-related. At registered location. RIA. President. Start date: 12/2020. 160 hrs/month; all during trading hours. Provide advice to clients.
- 2) Fixed Insurance. Investment-related. At registered location. Fixed / Traditional Insurance. Agent. Start date: 12/2020. 4 hrs/month all during trading hours. Sales of fixed / traditional insurance products.
- 3) B. Serimian LLC. Not investment-related. At registered location. Holding Company. Owner. Start: 04/2023. 10 hrs/month; all during trading hours. LLC for business / tax benefits.



## 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

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF CALIFORNIA
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Date Initiated:</b>	01/09/2009
<b>Docket/Case Number:</b>	UNKNOWN
<b>Employing firm when activity occurred which led to the regulatory action:</b>	EMPLOYED WITH WELLS FARGO BANK FROM 2006-2011
<b>Product Type:</b>	No Product
<b>Allegations:</b>	THE ORDER LISTS ME AS PRESIDENT OF THE CORPORATION. THERE ARE NO ALLEGATIONS AGAINST ME OF ANY WRONG DOING. I NEVER HAD ANY CONTACT WITH ANY CLIENT. I RESIGNED FROM ELITE FINANCIAL IN 2005. I HAD NO KNOWLEDGE OF WHAT MR. SODHI HAD DONE AT MORGAN STANLEY. I WAS ONLY IN CHARGE OF CLERICAL TASKS. AN INDENITY AGREEMENT WAS SIGNED BY MR. SODHI WHEN I RESIGNED. THERE WAS AN ARTICLE THAT WAS PLACED IN A CLOVIS, CA NEWSPAPER AS WELL IN 2005 TO MAKE MY RESIGNATION PUBLIC KNOWLEDGE.
<b>Current Status:</b>	Final
<b>Resolution:</b>	I RESIGNED FROM ELITE FINANCIAL IN 2005. GOOD STANDING



**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:**

01/09/2009

**Sanctions Ordered:**

Cease and Desist  
Other: NONE

**Broker Statement**

I RESIGNED IN 2005 FROM CORPORATION. MY ONLY DUTIES WERE CLERICAL. I GAVE NO FINANCIAL ADVICE TO ANY CLIENT AT ANY TIME. I WAS NOT MADE AWARE OF THIS ORDER UNTIL 09/13/2013.



## 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:** J.P. MORGAN SECURITIES LLC  
**Termination Type:** Voluntary Resignation  
**Termination Date:** 09/14/2013  
**Allegations:** REGISTERED REP VOLUNTARILY RESIGNED WHILE UNDER INTERNAL REVIEW FOR VIEWING A FAMILY MEMBERS BANK ACCOUNT WHICH IS A VIOLATIONOF BANK POLICY.  
**Product Type:** Banking Products (other than CDs)

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**Reporting Source:** Individual  
**Firm Name:** J.P. MORGAN SECURITIES LLC  
**Termination Type:** Voluntary Resignation  
**Termination Date:** 09/14/2013  
**Allegations:** REGISTERED REP VOLUNTARILY RESIGNED WHILE UNDER INTERNAL REVIEW FOR VIEWING A FAMILY MEMBERS BANK ACCOUNT WHICH IS A VIOLATIONOF BANK POLICY.  
**Product Type:** Banking Products (other than CDs)



## End of Report

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