



## IAPD Report

# TANYA K RANGE

CRD# 4847290

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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

### TANYA K RANGE (CRD# 4847290)

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 **05/26/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	KEY INVESTMENT SERVICES LLC	CRD# 136300	03/11/2009
<b>IA</b>	KEY INVESTMENT SERVICES LLC	CRD# 136300	10/01/2009

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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>B</b>	WAMU INVESTMENTS, INC.	599	OMAK, WA	02/15/2006 - 02/13/2009

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	6



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

### Employment 1 of 1

Firm Name: **KEY INVESTMENT SERVICES LLC**  
Main Address: 4900 TIEDEMAN ROAD  
OH-01-49-0215  
BROOKLYN, OH 44144  
Firm ID#: 136300

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	03/11/2009
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	03/11/2009
<b>B</b>	Arizona	Agent	Approved	11/13/2009
<b>B</b>	California	Agent	Approved	11/13/2009
<b>B</b>	Idaho	Agent	Approved	06/29/2011
<b>B</b>	Michigan	Agent	Approved	07/15/2024
<b>B</b>	Nebraska	Agent	Approved	12/17/2013
<b>B</b>	Oregon	Agent	Approved	11/13/2009
<b>B</b>	South Carolina	Agent	Approved	11/23/2021
<b>B</b>	Texas	Agent	Approved	11/13/2009
<b>B</b>	Washington	Agent	Approved	03/11/2009
<b>IA</b>	Washington	Investment Adviser Representative	Approved	10/01/2009

### Branch Office Locations



## Qualifications

### **KEY INVESTMENT SERVICES LLC**

16401 Redmond Way  
Redmond, WA 98052



## 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/24/2008
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/13/2006

#### State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	09/30/2009
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/21/2005

### 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
<b>B</b>	02/15/2006 - 02/13/2009	WAMU INVESTMENTS, INC.	CRD# 599	OMAK, WA

### 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
02/2009 - Present	KEY INVESTMENT SERVICES	PRIVATE CLIENT ADVISOR	Y	BELLEVUE, 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.

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
Customer Dispute	6

### 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 6

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Key Investment Services LLC
<b>Allegations:</b>	Client alleges the Principal Income Annuity purchased in March 2015 in the amount of \$262,004.70 was misrepresented.
<b>Product Type:</b>	Annuity-Fixed
<b>Alleged Damages:</b>	\$32,325.13
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/20/2016
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	08/09/2018
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

**Disclosure 2 of 6**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Key Investment Services

**Allegations:** Client alleges misrepresentation in the February 2014 purchase of \$300,000 in the Forethought Variable Annuity.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$22,500.00

**Alleged Damages Amount Explanation (if amount not exact):** This represents the surrender charges for the annuity prior to the 1035 exchanged in Feb 2016.

**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:** 03/17/2016

**Complaint Pending?** No

**Status:** Withdrawn

**Status Date:** 04/08/2016

**Settlement Amount:**

**Individual Contribution Amount:**

**Disclosure 3 of 6**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** Key Investment Services

**Allegations:** Client alleges the Forethought Variable Annuity purchased in January 2015 in the amount of \$368,215.80 and \$312,765.49 were unsuitable.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$96,000.00

**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:** 08/01/2016

**Complaint Pending?** No



**Status:** Settled

**Status Date:** 05/17/2017

**Settlement Amount:** \$25,000.00

**Individual Contribution Amount:** \$12,500.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 16-02024

**Date Notice/Process Served:** 08/01/2016

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 05/17/2017

**Monetary Compensation Amount:** \$25,000.00

**Individual Contribution Amount:** \$12,500.00

### Broker Statement

I vehemently deny the allegations set forth and I further represent that all investment decisions were willingly completed by the Clients after a full, accurate disclosure and discussion of all material facts. I met with clients on several occasions, discussed several options for their 401k rollovers, including fixed rate investments, index options and a Managed Portfolio. The Client indicated that the fixed option rate was too low, the index option cap was too low and he felt positive about the market and wanted to capitalize on potential market growth. The Clients decided on the Variable annuity because they specifically wanted an option with potential for market growth and both liked the annuity's income feature, which could be activated at their discretion. Both clients also liked the guaranteed annual step up on the annuity's Income Base and both clients decided to rollover their 401k's into separate Variable annuities. In addition to my discussion with the clients, they were both provided with full written disclosures regarding the variable annuity. I also discussed and explained the fees associated with the rider and how it worked and went through the illustration with the clients. We also discussed the Death Benefit and clients both opted for the standard death benefit, and expressed that if something happened to either one of them, they liked the idea of being able to continue with the same investment and objectives within a spousal continuation. When one of the Clients passed away, the other was not happy with the market fluctuation, even though the Income Base had increased on both annuity contracts, and he elected to withdraw funds and to pursue different investment options. This was a change from his original investment objectives and a different plan from what they had originally agreed upon and instructed to be implemented. Rather than taking a spousal continuation as planned he surrendered the annuities and incurred a penalty as a result. The surrender penalty is nowhere near the claim that he is seeking, and the Income Base had increased above the original investment, so both investments were performing as originally discussed.

### Disclosure 4 of 6

**Reporting Source:** Individual



**Employing firm when activities occurred which led to the complaint:** KEY INVESTMENT SERVICES LLC

**Allegations:** CLIENT ALLEGED MISREPRESENTATION OF FEES IN THE \$402,000 MUTUAL FUND PURCHASE IN NOVEMBER 2014.

**Product Type:** Mutual Fund

**Alleged Damages:** \$9,500.00

**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:** 04/13/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/13/2015

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

THE CLIENT WANTED TO TRANSFER HIS FUNDS FROM ANOTHER INSTITUTION DUE TO CONCERNS ABOUT FEES AND PERFORMANCE. WE TOOK EXTRA CARE TO DISCUSS THE FEES FOR THE PROPOSED ACCOUNT IN DETAIL, GOING OVER THE DIFFERENCES BETWEEN A AND C SHARES TO DETERMINE WHICH WERE A BETTER FIT FOR HIM GIVEN HIS OBJECTIVE FOR THIS ACCOUNT. THE CLIENT WAS ALSO PROVIDED AN ILLUSTRATION SHOWING THE FEES. WE WENT OVER THE ILLUSTRATION, TALKED ABOUT THE FEES, DETERMINED THAT HE WOULD BE BETTER OFF WITH A SHARES AS HE WOULD GET A BREAKPOINT AND THIS WAS LONGER TERM MONEY FOR RETIREMENT. HE AGREED, SIGNED ALL OF THE DOCUMENTATION, AND WHEN HE RECEIVED HIS FIRST STATEMENT I CALLED HIM TO ANSWER ANY QUESTIONS HE MIGHT HAVE. HE ASKED ME TO CALL BACK AND THAT'S THE LAST I HEARD FROM HIM. THEN ALMOST ONE YEAR LATER HE FILED A COMPLAINT, WHICH WAS DENIED GIVEN ALL OF THE NOTES AND DOCUMENTATION HE SIGNED.

### Disclosure 5 of 6

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** KEY INVESTMENT SERVICES LLC

**Allegations:** CLIENT ALLEGES THE NATIONWIDE IMMEDIATE ANNUITY PURCHASED IN JUNE 2014 IN THE AMOUNT OF \$75,000 WAS MISREPRESENTED.

**Product Type:** Annuity-Fixed

**Alleged Damages:** \$21,568.30

**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: 04/02/2015

Complaint Pending? No

Status: Denied

Status Date: 05/27/2015

Settlement Amount:

Individual Contribution  
Amount:

### Disclosure 6 of 6

Reporting Source: Individual

Employing firm when  
activities occurred which led  
to the complaint: KEY INVESTMENT SERVICES LLC

Allegations: CLIENT'S ALLEGE THAT THE RR MISREPRESENTED THE MARCH 2012  
BARCLAYS STRUCTURED CD PURCHASE IN THE AMOUNT OF \$100,000.

Product Type: Other: STRUCTURED CD

Alleged Damages: \$9,000.00

Alleged Damages Amount  
Explanation (if amount not  
exact): VALUE AS OF 5/2/13.

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: 05/02/2013

Complaint Pending? No

Status: Denied

Status Date: 05/30/2013

Settlement Amount:

Individual Contribution  
Amount:



## End of Report

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