



IAPD Report

Aaron Brodt

CRD# 5017914

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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

Aaron Brodt (CRD# 5017914)

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 **12/04/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ASHTON THOMAS PRIVATE WEALTH	CRD# 153902	06/15/2010

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	PEACHCAP SECURITIES, INC.	25590	Scottsdale, AZ	07/01/2016 - 08/20/2018
B	ACCELERATED CAPITAL GROUP	41270	SCOTTSDALE, AZ	02/22/2012 - 05/13/2016
B	MERIDIAN UNITED CAPITAL, LLC	122924	SCOTTSDALE, AZ	05/13/2008 - 02/21/2012

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	4



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ASHTON THOMAS PRIVATE WEALTH**

Main Address: 8605 EAST RAINTREE DRIVE
SUITE 280
SCOTTSDALE, AZ 85260

Firm ID#: 153902

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	06/16/2010

Branch Office Locations

ASHTON THOMAS PRIVATE WEALTH

8605 E Raintree Drive
Suite 280
SCOTTSDALE, AZ 85260



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
B Securities Industry Essentials Examination (SIE)	SIE	08/20/2018
B General Securities Representative Examination (S7)	Series 7	05/12/2008

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/01/2008
IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/22/2005



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	07/01/2016 - 08/20/2018	PEACHCAP SECURITIES, INC.	CRD# 25590	Scottsdale, AZ
B	02/22/2012 - 05/13/2016	ACCELERATED CAPITAL GROUP	CRD# 41270	SCOTTSDALE, AZ
B	05/13/2008 - 02/21/2012	MERIDIAN UNITED CAPITAL, LLC	CRD# 122924	SCOTTSDALE, AZ
IA	06/04/2008 - 03/28/2011	THE PLANNING GROUP	CRD# 113887	SCOTTSDALE, AZ
IA	09/26/2005 - 06/17/2008	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	SCOTTSDALE, AZ

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
11/2023 - Present	Amplify Financial, LLC	CEO/Owner	Y	Scottsdale, AZ, United States
03/2020 - Present	Amplify Technology, LLC	owner	Y	Scottsdale, AZ, United States
10/2016 - Present	Ashton Thomas Insurance Agency	Member / Owner	Y	Scottsdale, AZ, United States
03/2010 - Present	Ashton Thomas Private Wealth, LLC	PRINCIPAL	Y	SCOTTSDALE, AZ, United States
08/2005 - Present	GFA WEALTH DESIGN	OWNER/ADVISOR	Y	SARASOTA, FL, United States
06/2016 - 08/2018	Peachtree Capital Corporation	Registered Representative	Y	Atlanta, GA, United States
02/2012 - 05/2016	ACCELERATED CAPITAL GROUP	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States



Registration & Employment History



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) GFA WEALTH DESIGN, SCOTTSDALE, AZ, MEMBER/OWNER, NATURE OF BUSINESS: INSURANCE SALES, 0 HOURS PER WEEK. NOT INVESTMENT-RELATED. (2) GFA PRIVATE CAPITAL, LLC, SCOTTSDALE, AZ; MEMBER; START DATE: 09/12/2007; INACTIVE LLC SET UP FOR POSSIBLE FUTURE BUSINESS PURPOSES NOT INVESTMENT RELATED (3) LIQUID SOL MUSIC FESTIVAL, LLC, MINORITY MEMBER, PHX, AZ; NOT SECURITIES RELATED; 0 HOURS PER WEEK START DATE: 09/2013; THIS LLC HAS NO ACTIVE BUSINESS. (4) CROUSE FAMILY LLC, SCOTTSDALE, AZ, NOT INVESTMENT-RELATED. HOLDING COMPANY FOR LAND IN MONTANA, 0 HOURS PER WEEK. (5) AMPLIFY VENTURES GROUP, SCOTTSDALE, AZ; MEMBER/OWNER, START DATE 11/2023; INVESTMENT-RELATED, 0 HOURS PER WEEK. (6) HANA HOLDINGS, LLC, SCOTTSDALE, AZ; MEMBER/OWNER, START DATE 09/2017; NOT INVESTMENT-RELATED, 0 HOURS A WEEK.



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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	ACCELERATED CAPITAL GROUP, INC.
Allegations:	Claimants are alleging negligence, over-concentration, breach of fiduciary duty, breach of contract, material misrepresentation and omissions and failure to supervise
Product Type:	Other: alternative investments
Alleged Damages:	\$340,000.00
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 #:	17-01178
Filing date of arbitration/CFTC reparation or civil litigation:	05/12/2017

Customer Complaint Information

Date Complaint Received:	05/18/2017
Complaint Pending?	Yes

**Settlement Amount:****Individual Contribution Amount:****Firm Statement**

Arbitration was first reported as the rep was a named party, DRP is being amended to show the rep is the subject of this arbitration.

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Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

Accelerated Capital Group, Inc.

Allegations:

Claimants allege against the employing firm, by name, and against their adviser, by reference, negligence, gross negligence, misrepresentation/omission, failure to supervise, breach of fiduciary duty, breach of contract and control person liability in connection with the 2014-2015 purchase of four investments for a total of \$340,000. One of the investments was sold at a profit, while the other three are unrealized losses in an unspecified amount.

Product Type:

Other: alternative investments

Alleged Damages:

\$340,000.00

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 Dispute Resolution

Docket/Case #:

17-01178

Filing date of arbitration/CFTC reparation or civil litigation:

05/08/2017

Customer Complaint Information**Date Complaint Received:**

05/18/2017

Complaint Pending?

No

Status:

Settled

Status Date:

09/14/2018

Settlement Amount:

\$95,000.00

Individual Contribution Amount:

\$5,000.00

Broker Statement

Without any admission of liability or wrongdoing, and to avoid the expense and uncertainties of arbitration, the respondent firms and individuals agreed to pay the customer \$95,000 in full settlement of all claims. Mr. Brodt contributed \$5,000 towards the settlement.

Disclosure 2 of 4**Reporting Source:**

Individual



Employing firm when activities occurred which led to the complaint: Ashton Thomas Private Wealth

Allegations: Through a letter from her attorney, client alleges Mr. Brodt recommended an unsuitable investment which she purchased in May 2015.

Product Type: Debt-Asset Backed

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Plus interest and attorney's fees

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-02532

Filing date of arbitration/CFTC reparation or civil litigation: 10/21/2016

Customer Complaint Information

Date Complaint Received: 04/26/2016

Complaint Pending? No

Status: Settled

Status Date: 12/13/2016

Settlement Amount: \$58,333.00

Individual Contribution Amount: \$1,667.00

Broker Statement Without any admission of liability or wrongdoing, and to avoid the expense and uncertainties of arbitration, the respondent firms and individuals agreed to pay the customer \$58,333 in full settlement of all claims. Mr. Brodt contributed \$1,667 towards the settlement.

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Ashton Thomas Private Wealth

Allegations: Through letter from their attorney, clients allege Mr. Brodt recommended an unsuitable investment which they purchased in May and October of 2015.

Product Type: Debt-Asset Backed

Alleged Damages: \$200,000.00



Alleged Damages Amount
Explanation (if amount not exact):

Plus interest and attorney's fees

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-02532

Filing date of arbitration/CFTC reparation or civil litigation: 10/21/2016

Customer Complaint Information

Date Complaint Received: 04/26/2016

Complaint Pending? No

Status: Settled

Status Date: 12/13/2016

Settlement Amount: \$116,667.00

Individual Contribution Amount: \$3,333.00

Broker Statement Without any admission of liability or wrongdoing, and to avoid the expense and uncertainties of arbitration, the respondent firms and individuals agreed to pay the customer \$116,667 in full settlement of all claims. Mr. Brodt contributed \$3,333 towards the settlement.

Disclosure 4 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Capital Group, Inc.

Allegations: The client expressed displeasure regarding his portfolio and the investments within.

Product Type: Debt-Asset Backed

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): no specific damage amount was alleged, however the firm determined the alleged conduct would be over \$5,000 based on the clients portfolio.

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: 03/05/2016

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/11/2016

Settlement Amount:

**Individual Contribution
Amount:**

Broker Statement

Client had expressed his displeasure regarding his portfolio, and the investments within. The RR spoke with the client to explain the investments, the firm called the client, verified the client's conversation with the rep and verified his satisfaction at this time. The client has since opened a new account with the rep and has not moved any accounts away.



End of Report

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