



IAPD Report

SARGON YATROUM ZIA

CRD# 5039966

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

SARGON YATROUM ZIA (CRD# 5039966)

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 **07/18/2023**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA COHERENT FINANCIAL ADVISERS, LLC	CRD# 281877	01/05/2016

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
IA WEALTH MANAGEMENT INTERNATIONAL, LTD.	153146	PEORIA, AZ	05/30/2012 - 02/18/2016

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

Employment 1 of 1

Firm Name: **COHERENT FINANCIAL ADVISERS, LLC**
Main Address: PEORIA, AZ
Firm ID#: 281877

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	01/05/2016

Branch Office Locations

COHERENT FINANCIAL ADVISERS, LLC
PEORIA, AZ



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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

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	05/30/2012 - 02/18/2016	WEALTH MANAGEMENT INTERNATIONAL, LTD.	CRD# 153146	PEORIA, 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
01/2016 - Present	Coherent Financial Advisers, LLC	Co-Founder	Y	Peoria, AZ, 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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Superior Court of the State of Arizona
Location of Court:	Maricopa County, Arizona
Docket/Case #:	CR2022-002625-001 DT
Charge Date:	12/12/2022
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Illegal Voting
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Amended
Date of Amended Charge:	05/22/2023
Charge was Amended or reduced to:	Attempted Illegal Voting
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Pled guilty
Charge(s) 2 of 2	



Formal Charge(s)/Description:	Perjury
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	06/21/2023
Disposition Date:	06/21/2023
Sentence/Penalty:	Unsupervised probation from 6-21-2023 to 6-21-2024, 100hrs community service, fined \$2,500 plus surcharge and miscellaneous court costs to begin 9-1-2023.
Broker Statement	<p>I had assisted my son Jonathan Zia with his Arizona mail-in ballot since he started college in AZ from 2012, and continued when he was a post-grad in Georgia from 2016 through 2020. In every election my son specified his selections to me by phone. I completed his ballot according to his instructions and kept it for him to sign during his next visit home in AZ, after which I mailed it for him. This was our constant routine with 13 ballots cast during the period from 2012-2020.</p> <p>Per this routine, I completed Jonathan's November 2020 election mail-in ballot according to his instructions, and left it for him to sign during his October visit. But Jonathan encountered an unexpected class schedule conflict which he ultimately was not able to fix, and therefore did not make his usual visit home.</p> <p>To meet the AZ filing deadline of October 26, I mailed my son's ballot on October 17 which I marked as the "Voter Assistant" by reason that my son was "otherwise unable to return the ballot". I printed my own name and address in the "Voter Assistant" box, and signed my own name in the signature box with my phone number (refer to attached image of ballot envelop).</p> <p>At this point, no basis for charges existed.</p> <p>Without my knowledge, 17-days after I had already mailed his ballot, Jonathan voted in person in Georgia on election day November 3 2020. He had acted on the direction of his university which gave him the day off to vote. This event came to my attention two years later in 2022. Had my son not followed his university's instructions to vote in person, no charges would exist.</p> <p>There was no way for me to have predicted the future actions of my son voting in person on election day - something which he had never done before. I did not know that he was even registered to vote in GA, only that he was registered in AZ where he had been voting all the while he attended university in GA.</p> <p>(Note: In contrast to AZ where one actively registers to vote, GA automatically registers voters with the issuance of a state driver's license. I learned this in 2022.)</p> <p>Regarding the state's charges: I DID NOT "sign the name of Jonathan Zia" as incorrectly stated in the charging document. This is evidenced in the disclosure documents (and thus the overreaching perjury charge was dismissed). I DID NOT "knowingly vote more than once". I voted my own ballot once, and assisted my son in voting his.</p> <p>Clearly, this was a series of timing mistakes where one hand did not know what the</p>



other was doing. I still can't believe it ever got this far. To avoid the escalating costs, delays, and uncertainty of further litigation, I agreed to a plea of "attempted illegal voting", a misdemeanor.

I deeply regret this has happened. My hope is that this incident is seen for what it is, a series of timing mistakes which can happen to any reasonable person.



End of Report

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