



IAPD Report

ROBERT B SCOTT

CRD# 5096383

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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

ROBERT B SCOTT (CRD# 5096383)

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 **11/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ACCURATE WEALTH MANAGEMENT, LLC	CRD# 298137	08/29/2019
B	AAG CAPITAL, INC	CRD# 188	05/17/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	TRUADVICE LLC	292482	Brentwood, TN	05/23/2018 - 02/10/2020
IA	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	FRANKLIN, TN	01/19/2011 - 05/31/2018
IA	KALOS MANAGEMENT	133025	BRENTWOOD, TN	03/20/2006 - 04/25/2006

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



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

Employment 1 of 2

Firm Name: **ACCURATE WEALTH MANAGEMENT, LLC**
Main Address: 2211 ASHLEY OAKS CIRCLE
WESLEY CHAPEL, FL 33544
Firm ID#: 298137

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/12/2025
IA Florida	Investment Adviser Representative	Approved	02/19/2020
IA Tennessee	Investment Adviser Representative	Approved	08/29/2019

Branch Office Locations

ACCURATE WEALTH MANAGEMENT, LLC
1616 Westgate Circle
Brentwood, TN 37027

Employment 2 of 2

Firm Name: **AAG CAPITAL, INC**
Main Address: 2211 ASHLEY OAKS CIRCLE
WESLEY CHAPEL, FL 33544
Firm ID#: 188

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	05/17/2021
B Alabama	Agent	Approved	06/01/2022
B Arizona	Agent	Approved	06/16/2022
B Arkansas	Agent	Approved	09/08/2022



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	09/25/2025
B Colorado	Agent	Approved	03/30/2022
B Florida	Agent	Approved	06/22/2021
B Georgia	Agent	Approved	10/18/2023
B Iowa	Agent	Approved	05/02/2025
B Kansas	Agent	Approved	04/04/2022
B Kentucky	Agent	Approved	10/17/2023
B Massachusetts	Agent	Approved	09/10/2025
B Michigan	Agent	Approved	09/30/2025
B Missouri	Agent	Approved	05/05/2025
B South Carolina	Agent	Approved	11/23/2021
B Tennessee	Agent	Approved	10/27/2021
B Texas	Agent	Approved	10/27/2021
B Utah	Agent	Approved	01/03/2024

Branch Office Locations

Franklin, TN



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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Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	05/14/2021
Securities Industry Essentials Examination (SIE)	SIE	04/27/2021

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	10/26/2021
Uniform Investment Adviser Law Examination (S65)	Series 65	03/17/2006

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	05/23/2018 - 02/10/2020	TRUADVICE LLC	CRD# 292482	Brentwood, TN
IA	01/19/2011 - 05/31/2018	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	FRANKLIN, TN
IA	03/20/2006 - 04/25/2006	KALOS MANAGEMENT	CRD# 133025	BRENTWOOD, TN

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
08/2019 - Present	Accurate Wealth Management, LLC	Investment Adviser Representative	Y	Franklin, TN, United States
01/2000 - Present	Robert Scott Wealth Solutions	Adviser	Y	Franklin, TN, United States
08/1990 - Present	ROBERT SCOTT WEALTH SOLUTIONS	INSURANCE SALES / INVESTMENT ADVISER REPRESENTATIVE	N	FRANKLIN, TN, United States
05/2018 - 08/2019	truAdvice, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, United States
01/2011 - 05/2018	GLOBAL FINANCIAL PRIVATE CAPITAL	INVESTMENT ADVISER REPRESENTATIVE	Y	SARASOTA, FL, 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) ROBERT SCOTT and Associates
 INSURANCE SALES
 2592 SNOWBIRD HOLLOW RD
 FRANKLIN TENN.
 OWNER
 5-15 HRS A WEEK spent

2) Occasionally sell paintings (landscapes and still life's) that are personally painted. 5-15 HRS A WEEK spent. 2592



Registration & Employment History



OTHER BUSINESS ACTIVITIES

SNOWBIRD HOLLOW RD, FRANKLIN, TN

3) ACCURATE WEALTH MANAGEMENT, WESLEY CHAPEL, FL, INVESTMENT ADVISOR REPRESENTATIVE, 1-20 HRS/MO, INVESTMENT RELATED



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

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: Regulator

Regulatory Action Initiated By: TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE SECURITIES DIVISION

Sanction(s) Sought: Cease and Desist
Restitution
Undertaking

Date Initiated: 11/22/2010

Docket/Case Number: NO.: 10-010

URL for Regulatory Action:

Employing firm when activity occurred which led to the regulatory action:

Product Type: Promissory Note
Other: PURCHASE-LEASEBACK AGREEMENTS

Allegations: BETWEEN MARCH 1998 AND MARCH 2000, THE APPLICANT MADE SEVEN (7) SALES OF UNREGISTERED SECURITIES TO TENNESSEE INVESTORS. BETWEEN MARCH 1998 AND MARCH 2000, THE APPLICANT WAS NOT REGISTERED WITH THE TENNESSEE SECURITIES DIVISION TO SELL SECURITIES FROM, OR IN THE STATE OF TENNESSEE. THE APPLICANT SOLD UNREGISTERED PURCHASE-LEASEBACK AGREEMENTS (INVESTMENT CONTRACTS) AND UNREGISTERED PROMISSORY NOTES ISSUED BY 21ST CENTURY SATELLITE COMMUNICATIONS, INC. THE INVESTMENT CONTRACTS AND PROMISSORY NOTES WERE NOT REGISTERED WITH THE TENNESSEE SECURITIES DIVISION AND NO EXEMPTION CLAIMS WERE MADE AT THE TIME OF THE SALE OF THESE SECURITIES.



Current Status: Final

Resolution: Consent

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: 11/22/2010

Sanctions Ordered: Cease and Desist
Restitution
Undertaking
Other: APPLICANT, INDIVIDUALLY AND D.B.A. ROBERT SCOTT & ASSOCIATES, IS SUBJECT TO A PERIOD OF PROBATION FOR TWO (2) YEARS, BEGINNING WITH THE EFFECTIVE DATE OF ANY REGISTRATION WITH THE TENNESSEE SECURITIES DIVISION GRANTED SUBSEQUENT TO THE ENTRY OF THIS ORDER. APPLICANT, INDIVIDUALLY AND D.B.A. ROBERT SCOTT & ASSOCIATES, SHALL BE SUBJECT TO CONTINUING EDUCATION ("CE") REQUIREMENTS AS NECESSARY TO MAINTAIN HIS CHFC DESIGNATION OR BE SUBJECT TO THE CE REQUIREMENTS IN CONNECTION WITH ANOTHER ACCREDITED CERTIFYING ORGANIZATION DESIGNATION HE MAY OBTAIN SUBSEQUENT TO HIS CHFC DESIGNATION. IF RESTITUTION IS NOT MADE BY APPLICANT, OR IF APPLICANT MATERIALLY DEFAULTS IN ANY OF HIS OBLIGATIONS (I.E. VIOLATES HIS PROBATION OR FAILS TO MAINTAIN CONTINUING EDUCATION REQUIREMENTS) AS SET FORTH IN THIS CONSENT ORDER, THEN THE DIVISION MAY AT ITS SOLE DISCRETION, VACATE THIS CONSENT ORDER, AND UPON THIRTY (30) DAYS WRITTEN NOTICE TO APPLICANT AND WITHOUT OPPORTUNITY FOR AN ADMINISTRATIVE HEARING, ENTER A FINAL ORDER OF REVOCATION, REVOKING ANY SECURITIES REGISTRATION ISSUED BY THE DIVISION SUBSEQUENT TO THE EXECUTION OF THIS CONSENT ORDER. APPLICANT, INDIVIDUALLY AND D.B.A. ROBERT SCOTT & ASSOCIATES, SHALL PERMANENTLY CEASE AND DESIST IN ANY FURTHER UNREGISTERED CONDUCT AS A BROKER-DEALER, BROKER-DEALER AGENT, INVESTMENT ADVISER, OR INVESTMENT ADVISER REPRESENTATIVE FROM OR IN THE STATE OF TENNESSEE, BEGINNING ON THE DATE THIS CONSENT ORDER IS ENTERED BY THE COMMISSIONER FOR THE DEPARTMENT OF COMMERCE AND INSURANCE. APPLICANT, INDIVIDUALLY AND D.B.A. ROBERT SCOTT & ASSOCIATES, SHALL CEASE AND DESIST CONDUCTING SECURITIES TRANSACTIONS ON BEHALF OF OTHERS FROM, IN, OR INTO THE STATE OF TENNESSEE WITHOUT FIRST OBTAINING PROPER REGISTRATION BEGINNING ON THE DATE THIS CONSENT ORDER IS ENTERED BY THE COMMISSIONER FOR THE DEPARTMENT OF COMMERCE AND INSURANCE.

Monetary Sanction 1 of 1

Monetary Related Sanction: Restitution

Total Amount: \$68,000.00

Portion Levied against individual: \$68,000.00

Payment Plan:

**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:**
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** STATE DEPARTMENT OF SECURITIES**Sanction(s) Sought:** Other: CONSENT ORDER**Date Initiated:** 11/17/2010**Docket/Case Number:** 10-010**Employing firm when activity occurred which led to the regulatory action:** N/A**Product Type:** Equipment Leasing**Allegations:** SALE OF UNREGISTERED SECURITY BY UNREGISTERED REPRESENTATIVE**Current Status:** Final**Resolution:** Settled**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:** 11/22/2010**Sanctions Ordered:** Monetary Penalty other than Fines
Restitution**Monetary Sanction 1 of 1****Monetary Related Sanction:** Restitution**Total Amount:** \$68,000.00**Portion Levied against individual:** \$44,650.00**Payment Plan:** 1 YEAR TO PAY**Is Payment Plan Current:** Yes**Date Paid by individual:** 12/31/2010**Was any portion of penalty waived?** Yes**Amount Waived:** \$23,350.00



End of Report

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