



IAPD Report

HAGIN GIFFORD RICHESON

CRD# 5380166

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

i 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

HAGIN GIFFORD RICHESON (CRD# 5380166)

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 **05/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CORINTHIAN PARTNERS, L.L.C.	CRD# 38912	07/04/2016
IA	CORINTHIAN PARTNERS ASSET MANAGEMENT LLC	CRD# 109385	12/16/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	AMERIPRISE FINANCIAL SERVICES, INC.	6363	TAMPA, FL	07/06/2009 - 05/07/2015
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	TAMPA, FL	09/05/2007 - 05/07/2015

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
Customer Dispute	6
Judgment/Lien	2



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

Employment 1 of 2

Firm Name: **CORINTHIAN PARTNERS, L.L.C.**
Main Address: 275 MADISON AVENUE
8TH FLOOR
NEW YORK, NY 10016
Firm ID#: 38912

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/04/2016
B Alabama	Agent	Approved	07/04/2016
B California	Agent	Approved	07/04/2016
B Colorado	Agent	Approved	07/04/2016
B Florida	Agent	Approved	07/04/2016
B Georgia	Agent	Approved	03/29/2021
B New York	Agent	Approved	07/04/2016
B Puerto Rico	Agent	Approved	11/30/2023
B South Carolina	Agent	Approved	01/15/2020
B Texas	Agent	Approved	01/28/2019
B Washington	Agent	Approved	07/04/2016

Branch Office Locations

1727 Coachman Plaza Drive




Qualifications

Suite 114
Clearwater, FL 33759

Employment 2 of 2

Firm Name: **CORINTHIAN PARTNERS ASSET MANAGEMENT LLC**
Main Address: 275 MADISON AVENUE
8TH FLOOR
NEW YORK, NY 10016
Firm ID#: 109385

Regulator	Registration	Status	Date
 Florida	Investment Adviser Representative	Approved	12/16/2022

Branch Office Locations

CORINTHIAN PARTNERS ASSET MANAGEMENT LLC
1727 COACHMAN PLAZA DRIVE
SUITE 114
CLEARWATER, FL 33759



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 1 state securities law exam.

Principal/Supervisory Exams


Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams



Exam	Category	Date
------	----------	------

 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
--	-----	------------

 General Securities Representative Examination (S7)	Series 7	09/04/2007
--	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

  Uniform Combined State Law Examination (S66)	Series 66	11/01/2007
---	-----------	------------

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	07/06/2009 - 05/07/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TAMPA, FL
B	09/05/2007 - 05/07/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	TAMPA, FL

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
07/2016 - Present	Corinthian Partners LLC	Registered Representative	Y	Clearwater, FL, United States
05/2015 - 06/2016	Self employed	Self employed / consultant	N	Tampa, 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.

Jet Set 3 LLC-1020 Northwest 52nd Street, Hanger 4, Ft.Lauderdale,FL 33309-Jet Broker-Not Investment related. Managing Partner (Accounting)-Start date 4/2015.Approx 5hrs per mnth.

Collision Capital, LLC-P.O. Box 18191, Tampa FI-Investment Related-Member-Management decisions.-Start Date-5/2016 Approx 20hrs per month.

RC Capital Partners, LLC-8 The Green, Suite 4665, Dover DE 19901-Investment Related-Managing Partner-Start Date 3/2016 Approx 20 hrs per month.

Sol proprietor-Fixed and Variable Insurance sales. Yes business is invested related, located at 4890 W. Kennedy Blvd#925, Tampa, Florida 33609.

Position is Advisor/Sales Start date 6/15/2017. Hrs devoted per month is approx 10. Hrs devoted during business is 1 hr.

Corinthian Holdings LLC - member of holding company's board of directors since March 2017; not investment related; approx 1-3 hrs/mo



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
Customer Dispute	6
Judgment/Lien	2

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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/16/2022
Docket/Case Number:	98067-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	CORINTHIAN PARTNERS ASSET MANAGEMENT LLC
Product Type:	No Product
Allegations:	Engaged in investment advisory business in or from a location within this state without lawful registration
Current Status:	Final
Resolution:	Order
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: 12/16/2022
Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 12/16/2022

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On December 16, 2022, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Hagin Gifford Richeson (Richeson). Richeson neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Richeson violated Section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Richeson agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of \$4,000. The Office agreed to approve Richeson's application as an associated person (RA) with Corinthian Partners Asset Management, LLC effective December 16, 2022.

.....

Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/16/2022

Docket/Case Number: 98067-S

Employing firm when activity occurred which led to the regulatory action: Corinthian Partners Asset Management L.L.C.

Product Type: No Product

Allegations: Engaged in investment advisory business in or from a location within this state without lawful registration.

Current Status: Final

Resolution: Order



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: 12/16/2022

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$4,000.00

Portion Levied against individual: \$4,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 12/16/2022

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

On December 16, 2022 the Office of Financial Regulation (Office) entered a final order adopting the stipulation and consent agreement in the matter of Hagin Gifford Richeson (Richeson). Richeson neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Richeson violated section 517.12(4), Florida statutes, by rendering investment advice, from a location within Florida, without being registered by the office. Richeson agreed to cease and desist from violations of chapter 517, Florida statutes, and the administrative rules adopted thereto, and to pay an administrative fine in the amount of \$4,000. The Office agreed to approve Richeson's application as an associated person (RA) with Corinthian Partners Asset Management L.L.C. effective December 16, 2022.



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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CORINTHIAN PARTNERS, L.L.C.
Allegations:	Violations of federal securities laws; breach of contract; common law fraud; breach of fiduciary duty; Negligence and gross negligence;
Product Type:	Debt-Corporate
Alleged Damages:	\$100,001.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	24-01183
Date Notice/Process Served:	07/08/2024
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/19/2025
Monetary Compensation Amount:	\$10,000.00
Individual Contribution Amount:	\$0.00

Broker Statement	This arbitration involved two sets of claimants: (1) The first claimant did not ever establish a brokerage account with this firm. After conducting discovery and exchanging documents, the first claimant withdrew all allegations and voluntarily dismissed all claims. No settlement payment was involved. (2) The second claimant's brokerage account was actually profitable. His claim was limited to an investment product that was originally purchased prior to establishing any relationship with this firm. Ultimately, the parties settled for nuisance value (\$10,000). The financial advisor was not deemed responsible and did not contribute to any settlement.
-------------------------	--

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Corinthian Partners LLC
Allegations:	Customer claims that the product was unsuitable although she signed documents that she understood the risks associated with the product. A prospectus purchase.



This was an unsolicited transaction from the broker.

Product Type: Debt-Corporate

Alleged Damages: \$50,000.00

Alleged Damages Amount Explanation (if amount not exact): claimed range was between 50000 to 100000

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- Southeast District

Docket/Case #: 24-00998

Filing date of arbitration/CFTC reparation or civil litigation: 05/07/2024

Customer Complaint Information

Date Complaint Received: 05/15/2024

Complaint Pending? No

Status: Settled

Status Date: 08/29/2024

Settlement Amount: \$10,875.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Corinthian Partners L.L.C.

Allegations: All counts date from December 2016 to Present. Fraudulent Concealment: non disclosure of material information ; Violation of Securities Act 1933 Section 17(a) of Securities Act 1933: No registration statement; Florida Blue Sky laws; Breach of Contract: mismanagement of investment account; Misrepresentation; Intentional Misrepresentation; Unjust enrichment; Breach of Fiduciary Duties and Professional Malfeasance;

Product Type: Other: Non Firm partnerships

Alleged Damages: \$3,000,000.00

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 Circuit Court of the Thirteenth Judicial Circuit in and for Hillsborough County



or court name and location: Florida

Docket/Case #: 24-CA-001825

Filing date of arbitration/CFTC reparation or civil litigation: 03/11/2024

Customer Complaint Information

Date Complaint Received: 03/19/2024

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORINTHIAN PARTNERS, L.L.C.

Allegations: Violation of NASD rule 2310, Fraudulent misrepresentations and omissions in violation of Florida securities law and FINRA rule 2020. Negligent misrepresentation and violation of FINRA rule 2210

Product Type: Debt-Corporate

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): damages unspecified

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 #: 23-01190

Filing date of arbitration/CFTC reparation or civil litigation: 05/01/2023

Customer Complaint Information

Date Complaint Received: 05/02/2023

Complaint Pending? No

Status: Withdrawn

Status Date: 06/14/2023

Settlement Amount:

Individual Contribution Amount:

**Amount.**

Broker Statement Arbitration was withdrawn shortly after filing.

Disclosure 5 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORINTHIAN PARTNERS, L.L.C.

Allegations: Claimants opened an account with the Firm on or about 12 April 2017. On or about 15 September 2017 claimant invested \$3,200,000 (approximately) into a preferred stock issued by a public company. Claimant used funds from the same company's issued debt which was purchased prior to knowing respondent, as the preferred paid a higher distribution. In subsequent years claimant continued to invest further in the debt and preferred stock of the same issuer. In 2022 the issuer filed chapter 11 to reorganize the company ceasing distributions to investors. Claimant alleges improper sales practice, due diligence and suitability for the debt and preferred issues purchased through the representative.

Product Type: Debt-Corporate

Alleged Damages: \$9,000,000.00

Arbitration Information

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

Docket/Case #: 23-02495

Date Notice/Process Served: 10/02/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/14/2024

Monetary Compensation Amount: \$23,500.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORINTHIAN PARTNERS, L.L.C.

Allegations: In or about 2018 claimant alleges improper sales practice and suitability for product purchased through the representative.

Product Type: Debt-Corporate

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): Alleged Compensatory amount \$100,000-\$500,000



Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	23-00467
Date Notice/Process Served:	03/10/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/20/2024
Monetary Compensation Amount:	\$14,700.00
Individual Contribution Amount:	\$0.00



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source: Individual
Judgment/Lien Holder: C.H. Brown Co LLC
Judgment/Lien Amount: \$75,000.00
Judgment/Lien Type: Civil
Date Filed with Court: 11/14/2024
Date Individual Learned: 12/12/2024
Type of Court: State Court
Name of Court: IN THE CIRCUIT COURT OF THE 6TH JUDICML CIRCUIT IN AND FOR PINELLAS COUNTY, FLORIDA
Location of Court: Florida
Docket/Case #: 22-000332-CI
Judgment/Lien Outstanding? Yes

Disclosure 2 of 2

Reporting Source: Individual
Judgment/Lien Holder: Velocity Investments LLC
Judgment/Lien Amount: \$23,946.00
Judgment/Lien Type: Civil
Date Filed with Court: 03/07/2024
Date Individual Learned: 04/19/2024
Type of Court: State Court
Name of Court: Pinellas County FL
Location of Court: Florida
Docket/Case #: 23-003230-co
Judgment/Lien Outstanding? Yes
Broker Statement The debtor is currently working on a settlement or payment plan



End of Report

This page is intentionally left blank.