



## IAPD Report

### Benjamin Wade Beatty

CRD# 5666130

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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

### Benjamin Wade Beatty (CRD# 5666130)

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 **01/09/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EMPOWER ADVISORY GROUP, LLC	CRD# 112058	11/05/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **46** 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	ADVICE AND PLANNING SERVICES	20472	DENVER, CO	11/24/2023 - 10/21/2024
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	20472	DENVER, CO	11/24/2023 - 10/21/2024
B	COLORADO FINANCIAL SERVICE CORPORATION	104343	CENTENNIAL, CO	03/31/2023 - 10/18/2023

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?

**No**



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

#### Employment 1 of 2

Firm Name: **EMPOWER FINANCIAL SERVICES, INC.**

Main Address: 8515 E ORCHARD ROAD  
GREENWOOD VILLAGE, CO 80111

Firm ID#: 13109

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	11/05/2024
 FINRA	General Securities Representative	Approved	11/05/2024
 FINRA	Investment Co./Variable Contracts Prin	Approved	11/05/2024
 Alabama	Agent	Approved	11/05/2024
 Alaska	Agent	Approved	11/05/2024
 Arizona	Agent	Approved	11/05/2024
 Arkansas	Agent	Approved	11/05/2024
 California	Agent	Approved	11/05/2024
 Colorado	Agent	Approved	11/05/2024
 Connecticut	Agent	Approved	11/05/2024
 Delaware	Agent	Approved	11/05/2024
 Georgia	Agent	Approved	11/05/2024
 Hawaii	Agent	Approved	11/05/2024



## Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	11/05/2024
B Illinois	Agent	Approved	11/05/2024
B Indiana	Agent	Approved	11/05/2024
B Iowa	Agent	Approved	11/05/2024
B Kansas	Agent	Approved	11/05/2024
B Kentucky	Agent	Approved	11/05/2024
B Maine	Agent	Approved	11/05/2024
B Massachusetts	Agent	Approved	11/05/2024
B Michigan	Agent	Approved	11/05/2024
B Minnesota	Agent	Approved	11/05/2024
B Mississippi	Agent	Approved	11/05/2024
B Missouri	Agent	Approved	11/05/2024
B Montana	Agent	Approved	11/05/2024
B Nebraska	Agent	Approved	11/05/2024
B Nevada	Agent	Approved	11/05/2024
B New Hampshire	Agent	Approved	11/05/2024
B New Jersey	Agent	Approved	11/05/2024
B New Mexico	Agent	Approved	11/05/2024
B New York	Agent	Approved	11/05/2024



## Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	11/05/2024
B North Dakota	Agent	Approved	11/05/2024
B Oklahoma	Agent	Approved	11/05/2024
B Oregon	Agent	Approved	11/05/2024
B Pennsylvania	Agent	Approved	11/05/2024
B Rhode Island	Agent	Approved	11/05/2024
B South Carolina	Agent	Approved	11/05/2024
B South Dakota	Agent	Approved	11/05/2024
B Tennessee	Agent	Approved	11/05/2024
B Texas	Agent	Approved	11/05/2024
B Utah	Agent	Approved	11/05/2024
B Vermont	Agent	Approved	11/05/2024
B Virginia	Agent	Approved	11/05/2024
B Washington	Agent	Approved	11/05/2024
B West Virginia	Agent	Approved	11/05/2024
B Wisconsin	Agent	Approved	11/05/2024
B Wyoming	Agent	Approved	11/05/2024

## Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.



## Qualifications

### Employment 2 of 2

Firm Name: **EMPOWER ADVISORY GROUP, LLC**

Main Address: 8515 EAST ORCHARD RD 4T2  
GREENWOOD VILLAGE, CO 80111

Firm ID#: 112058

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	11/05/2024

### Branch Office Locations

**EMPOWER ADVISORY GROUP, LLC**

DENVER, CO



## 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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	05/06/2019
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/08/2017

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/21/2009

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/29/2023
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/06/2009

### 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
IA	11/24/2023 - 10/21/2024	ADVICE AND PLANNING SERVICES	CRD# 20472	DENVER, CO
B	11/24/2023 - 10/21/2024	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	DENVER, CO
B	03/31/2023 - 10/18/2023	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	CENTENNIAL, CO
IA	03/31/2023 - 10/18/2023	COLORADO FINANCIAL SERVICE CORPORATION	CRD# 104343	CENTENNIAL, CO
B	11/24/2020 - 08/05/2022	ROBINHOOD FINANCIAL, LLC	CRD# 165998	Denver, CO
IA	05/14/2014 - 11/06/2020	ADVICE AND PLANNING SERVICES	CRD# 20472	DENVER, CO
B	09/13/2012 - 11/06/2020	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	DENVER, CO
B	09/26/2011 - 05/18/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	DENVER, CO
IA	09/26/2011 - 05/18/2012	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	DENVER, CO
IA	04/15/2010 - 08/19/2011	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	ENGLEWOOD, CO
B	03/25/2010 - 08/19/2011	MORGAN STANLEY SMITH BARNEY	CRD# 149777	ENGLEWOOD, CO
B	07/22/2009 - 03/24/2010	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	ENGLEWOOD, CO

### 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
10/2024 - Present	EMPOWER ADVISORY GROUP, LLC	INVESTMENT ADVISER REP	Y	GREENWOOD VILLAGE, CO, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2024 - Present	EMPOWER FINANCIAL SERVICES, INC	REGISTERED REP	Y	GREENWOOD VILLAGE, CO, United States
10/2023 - 10/2024	TIAA	Client Services Manager II	Y	Denver, CO, United States
10/2023 - 10/2024	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	Registered Representative	Y	Denver, CO, United States
03/2023 - 10/2023	COLORADO FINANCIAL SERVICE CORPORATION	Registered Representative	Y	CENTENNIAL, CO, United States
08/2022 - 03/2023	UNEMPLOYED	UNEMPLOYED	N	DENVER, CO, United States
06/2022 - 08/2022	Robinhood Markets, Inc	Customer Experience Manager	Y	Denver, CO, United States
11/2020 - 08/2022	Robinhood Financial, LLC	Registered Representative	Y	Denver, CO, United States
08/2012 - 11/2020	TIAA	Lead Consultant	Y	DENVER, CO, United States
08/2012 - 11/2020	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, 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.

Name: Room Rental

Position: I own the property Nature: Rental Investment Related: Yes Hours: 8Securities Trading Hours: 0Start Date: 03/15/2022

Address: Home Address, Denver CO 80221, United States

Description: Rent "mother-in-law" suite in the basement of residence.



## **End of Report**

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