



IAPD Report

TAYLOR THOMAS LEARY

CRD# 5714749

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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

TAYLOR THOMAS LEARY (CRD# 5714749)

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 **05/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CS PLANNING CORP	CRD# 149937	11/02/2020
IA	ADVISORY SOLUTIONS GROUP	CRD# 339919	05/01/2026

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	FORTA FINANCIAL GROUP, INC.	28784	GREENWOOD VILLAGE, CO	04/01/2011 - 11/16/2020
IA	FORTA FINANCIAL GROUP, INC.	28784	GREENWOOD VILLAGE, CO	04/01/2011 - 11/16/2020
IA	EDWARD JONES	250	VAIL, CO	11/09/2009 - 02/10/2011

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

Employment 1 of 2

Firm Name: **ADVISORY SOLUTIONS GROUP**
Main Address: 505 N HIGHWAY 169
SUITE 900
PLYMOUTH, MN 55441
Firm ID#: 339919

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved - Pending IAR CE	05/04/2026
IA Texas	Investment Adviser Representative	Approved	05/01/2026

Branch Office Locations

ADVISORY SOLUTIONS GROUP
6400 S FIDDLERS GREEN CIR
SUITE 100
GREENWOOD VILLAGE, CO 80111

Employment 2 of 2

Firm Name: **CS PLANNING CORP**
Main Address: 3395 SW GARDEN VIEW AVE
PORTLAND, OR 97225
Firm ID#: 149937

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	04/02/2026

Branch Office Locations

CS PLANNING CORP
6400 S Fiddlers Green Circle, Suite #100
Greenwood Village, CO 80111



Qualifications



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
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No information reported.

General Industry/Product Exams



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

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/05/2009
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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
B	04/01/2011 - 11/16/2020	FORTA FINANCIAL GROUP, INC.	CRD# 28784	GREENWOOD VILLAGE
IA	04/01/2011 - 11/16/2020	FORTA FINANCIAL GROUP, INC.	CRD# 28784	GREENWOOD VILLAGE
IA	11/09/2009 - 02/10/2011	EDWARD JONES	CRD# 250	VAIL, CO
B	10/22/2009 - 02/10/2011	EDWARD JONES	CRD# 250	VAIL, 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
05/2026 - Present	ADVISORY SOLUTIONS GROUP	INVESTMENT ADVISOR REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, United States
10/2020 - Present	Four Points Wealth Management LLC	Managing Member	Y	Greenwood Village, CO, United States
10/2020 - 04/2026	CS Planning Corp.	Investment Advisory Representative	Y	Greenwood Village, CO, United States
04/2011 - 10/2020	PRESIDENTIAL BROKERAGE, INC./Forta Financial	Registered Representative & Investment Adviser Representative	Y	GREENWOOD VILLAGE, 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.

FOUR POINTS WEALTH - INSURANCE - GREENWOOD VILLAGE, CO. FIXED LIFE INSURANCE QOUTES AND SALES. 5 HOURS PER MONTH, 5 HOURS DURING TRADING HOURS.



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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FORTA FINANCIAL GROUP, INC. fka PRESIDENTIAL BROKERAGE, INC.
Allegations:	Claimant's allegations against Respondents FORTA FINANCIAL GROUP, INC. f/k/a PRESIDENTIAL BROKERAGE, INC. and Mr. Leary included: negligence, professional negligence, violations of law, unsuitable recommendations, negligent supervision, breach of contract, breach of fiduciary duty, and breach of securities industry rules and regulations. Mr. Leary denied any wrongdoing on his part, but ultimately the Respondents made the business decision to settle the case in order to avoid the costs and disruption associated with litigating this matter through arbitration.
Product Type:	Real Estate Security
Alleged Damages:	\$50,000.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant alleges general and compensatory damages in an amount of \$50,000 - \$99,999, plus rescission and other damages, costs and attorneys fees
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	21-02669
Date Notice/Process Served:	11/05/2021



Arbitration Pending? No
Disposition: Settled
Disposition Date: 02/09/2022
Monetary Compensation Amount: \$12,500.00
Individual Contribution Amount: \$12,500.00

Broker Statement

I first met the client in January of 2015 at my office. During that initial meeting, I obtained baseline financial information, including current financial position, expenses, retirement income sources, current investments, and other necessary information. I followed a comprehensive financial planning process, which included fact finding, plan proposal and alternatives, investment strategies, and plan implementation. I created a financial and investment plan that included healthcare coverage in retirement, Social Security claiming strategies, retirement income planning, and investment management and planning, among other issues. To meet the client's goals and objective to create current income and low risk growth, the investment strategy used for this client included a wide range of diversified investments solutions. This included equity and bond mutual funds, exchange traded funds, individual stocks and bonds, and alternative investments like real estate and income producing loan funds. The investment strategy was in alignment with industry guidelines and followed pertinent laws and disclosures requirements. Throughout our more than 5-year professional relationship, I spoke with the client regularly to provide updates on his financial plan and investment strategy. During those conversations I provided updates on performance, market outlook, and different investment ideas. I did not withhold or misguide my client on relevant information. In addition to our regular check-ups, I provided the client with online access to view his investment portfolio, which he used regularly to track his accounts. At no time during our relationship did the client ever express any concern over performance or risk with any of his investments. The claims involve four investments made during the initial investment implementation. Over the lifetime of our investment relationship the client experienced positive returns on his total portfolio which included interest and dividend income and principal appreciation. The investments in question are still viable and actually paying dividends. While I placed the interests of the client in front of mine and in an effort to reduce his investment risk, elimination of risk is impossible. When I left my former firm in November of 2020, I made numerous attempts to contact the client but he never returned my phone calls, emails, or mailed letters. Considering our longstanding and strong relationship I was surprised by his lack of response. It was not until June of 2021 that the client contacted me and first raised concerns about the investments at issue. Because I treated the client with the same professionalism and expertise that I extend to all my clients, if not more so, it is disappointing that he asserted his unfounded claims regarding these holdings in his portfolio.



End of Report

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