IAPD Report

CORY JOHN DAWKINS

CRD# 5975887

Section Title	**Page(s)**

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

CORY JOHN DAWKINS (CRD# 5975887)

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 **03/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ELITE WEALTH PARTNERS, LLC	CRD# 289355	08/30/2017

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
B	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	URBANDALE, IA	05/02/2014 - 08/29/2017
IA	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	URBANDALE, IA	05/02/2014 - 08/29/2017
IA	WADDELL & REED	866	W. DES MOINES, IA	11/30/2011 - 05/09/2014

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

Employment 1 of 1

Firm Name: **ELITE WEALTH PARTNERS, LLC**

Main Address: JOHNSTON, IA

Firm ID#: 289355

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Restricted Approval	09/06/2017

Branch Office Locations

ELITE WEALTH PARTNERS, LLC
JOHNSTON, IA

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
B	Securities Industry Essentials Examination (SIE)	SIE	08/29/2017
B	General Securities Representative Examination (S7)	Series 7	11/01/2011

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	11/29/2011

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
B	05/02/2014 - 08/29/2017	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	URBANDALE, IA
IA	05/02/2014 - 08/29/2017	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	URBANDALE, IA
IA	11/30/2011 - 05/09/2014	WADDELL & REED	CRD# 866	W. DES MOINES, IA
B	11/02/2011 - 05/09/2014	WADDELL & REED	CRD# 866	W. DES MOINES, IA

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
07/2017 - Present	Elite Wealth Partners, LLC	Senior Partner - Investment Advisor Representative	Y	Urbandale, IA, United States
05/2014 - 08/2017	LINCOLN FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	URBANDALE, IA, 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) DAWKINS FAMILY LIMITED PARTNERSHIP, DES MOINES, IA
CATEGORY: PARTNERSHIP
INVESTMENT-RELATED: NO
TITLE: PARTNER- GENERAL
DUTIES: MANAGE THE LP ASSETS
START DATE: 10/2009
HOURS PER MONTH: 4
HOURS PER MONTH DURING TRADING HOURS: 2

2) ELITE WEALTH PARTNERS, LLC, 6165 NW 86TH STREET, JOHNSTON, IA 50131
CATEGORY: INSURANCE
INVESTMENT RELATED: YES
TITLE: OWNER
DUTIES: OFFERS ACCIDENT AND HEALTH INSURANCE, COMMISSION-BASED GROUP BENEFITS, DISABILITY INSURANCE, FIXED ANNUITIES, INDEXED ANNUITIES, LONG-TERM CARE INSURANCE, TRADITIONAL LIFE INSURANCE
START DATE: 07/2015
HOURS PER MONTH: 160
HOURS PER MONTH DURING TRADING HOURS: 160

Registration & Employment History

OTHER BUSINESS ACTIVITIES

3) Cory J. Dawkins is a consultant with The Heartland Group where his duties include conducting suitability reviews for alternative investments, processing of applications and management of custodians that work with Heartland. 2 hours a month are spent on this activity during and outside of trading hours. 15% of his yearly income is derived from this activity.

4) Independent Agent; United Financial Freedom; Is the business investment related: No; Location of the business: 6165 NW 86th St Johnston IA 50131 US; Description of the business: United Financial Freedom is a program designed to help customers efficiently get out of debt and they have developed a system to achieve that result.; Responsibilities Duties: Assist individuals in understanding the benefits and costs of the system, and implementing the system if they so chose.; Start date with business: 2023-10-16; Hours per month devoted to business during trading hours: 5; Hours per month devoted to business outside trading hours: 5; Percentage of total yearly compensation expected to be derived from the business: 20;

5) Data Entry; Estate Docs Pro; Is the business investment related: No; Location of the business: 6165 NW 86th St Johnston Iowa 50131; Description of the business: Estate Docs Pro creates custom estate plans for their customers; Responsibilities Duties: I help clients enter their data into the estate planning software so they can generate the estate planning documents. I print and bind the documents and help clients execute them by notarizing after the client and their 2 witnesses sign the documents; Start date with business: 2024-09-02; Hours per month devoted to business during trading hours: 40; Hours per month devoted to business outside trading hours: 2; Percentage of total yearly compensation expected to be derived from the business: 15.

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:	Iowa
Sanction(s) Sought:	Bar Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Prohibition Restitution Revocation
Date Initiated:	04/12/2022
Docket/Case Number:	Division Case No. 111837
URL for Regulatory Action:	https://documents.iowa.gov/#10405082_2=Insurance Division&10328203_2=Enforcement Orders and Actions
Employing firm when activity occurred which led to the regulatory action:	Elite Wealth Partners, LLC
Product Type:	Direct Investment-DPP & LP Interests Oil & Gas
Allegations:	The Iowa Insurance Division asserts that the investment adviser representative engaged in conduct that was fraudulent, deceptive, manipulative, dishonest and unethical. There were violations of securities laws related to the unregistered securities offered, sold, and issued. Count 1 - unregistered activity as a securities agent in violation of Iowa Code 502.402. Count 2- commitment of securities fraud in violation of Iowa Code 502.501 Count 3- engaged in conduct that would constitute grounds for discipline under Iowa Code 502.412. Count 4 - representative engaged in conduct that constituted fraudulent, coercive and dishonest practices and demonstrated incompetence, untrustworthiness and

	financial irresponsibility under Iowa Code 522B.11(1). Investment adviser representative has a fiduciary obligation to his clients and owes them a duty of care which requires the professional to act in the client's best interest at all times.
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?	Yes
Resolution Date:	03/13/2025
Sanctions Ordered:	Bar (Permanent) Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Prohibition Restitution Revocation
Sanction 1 of 1	
Sanction Type:	Bar (Permanent)
Capacities Affected:	Investment adviser representative, insurance producer, all capacities
Duration:	permanent
Start Date:	03/13/2025
End Date:	
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$52,663.65
Portion Levied against individual:	$52,663.65
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Restitution
Total Amount:	$2,371,618.16
Portion Levied against individual:	$2,371,618.16
Payment Plan:	$1971618.16 immediately due and payable. $400000.00 due and payable on March 31, 2026
Is Payment Plan Current:	

Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	Iowa Insurance Division
Sanction(s) Sought:	Cease and Desist
Date Initiated:	04/12/2022
Docket/Case Number:	111837
Employing firm when activity occurred which led to the regulatory action:	Elite Wealth Partners, LLC
Product Type:	Other: EWP Permian Basin Fund II, LLC
Allegations:	The Division alleges that Dawkins and EWP sold securities on behalf of EWP Permian Basin Fund II (EWP2) without registering as securities agents with the Securities Bureau of the Iowa Insurance Division, made omissions of material facts and used dishonest or unethical practices in doing so, and demonstrated dishonest practices and/or incompetence and/or untrustworthiness and/or financial irresponsibility in the conduct of their business. Dawkins and EWP have denied these allegations in a contested case proceeding currently pending before the Iowa Insurance Division.
Current Status:	Pending
Limitation Details:	(1) Transacting business as an agent in the state of Iowa, until and unless Respondents are properly registered to do so; and from offering or selling, from aiding and abetting the offer or sale of, and from offering investment advice regarding unregistered securities, (2) Engaging in any prohibited conduct in providing investment advice, and (3) discussing, communicating or providing information on the Heartland receivership to any EWP2 investors or EWP clients.
Broker Statement	Dawkins and EWP have denied these allegations in a contested case proceeding currently pending before the Iowa Insurance Division. Respondents have denied the propriety of the Order to Cease and Desist and look forward to a hearing on the matter.

End of Report

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