



IAPD Report

Griffin Michael Kirsch

CRD# 6388640

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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

Griffin Michael Kirsch (CRD# 6388640)

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 **01/09/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GK WEALTH MANAGEMENT LLC	CRD# 296847	04/25/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **8** 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	TRIUMPH CAPITAL MANAGEMENT	282814	Reno, NV	03/21/2017 - 09/20/2017
B	SUMMIT BROKERAGE SERVICES, INC.	34643	RENO, NV	04/18/2017 - 09/19/2017
IA	EDWARD JONES	250	RENO, NV	11/10/2014 - 01/17/2017

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
Termination	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 **8** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GK WEALTH MANAGEMENT LLC**
Main Address: 98 WINTER STREET
RENO, NV 89503
Firm ID#: 296847

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	01/31/2024
	California	Investment Adviser Representative	Approved	07/15/2021
	Colorado	Investment Adviser Representative	Approved	01/17/2024
	Florida	Investment Adviser Representative	Approved	03/07/2024
	Nevada	Investment Adviser Representative	Approved	04/25/2019
	Oregon	Investment Adviser Representative	Approved	12/13/2023
	Texas	Investment Adviser Representative	Restricted Approval	03/22/2022
	Washington	Investment Adviser Representative	Approved	12/13/2023

Branch Office Locations

GK WEALTH MANAGEMENT LLC
98 WINTER STREET
RENO, NV 89503



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	09/19/2017
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 General Securities Representative Examination (S7)	Series 7	10/20/2014
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	11/07/2014
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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	03/21/2017 - 09/20/2017	TRIUMPH CAPITAL MANAGEMENT	CRD# 282814	Reno, NV
B	04/18/2017 - 09/19/2017	SUMMIT BROKERAGE SERVICES, INC.	CRD# 34643	RENO, NV
IA	11/10/2014 - 01/17/2017	EDWARD JONES	CRD# 250	RENO, NV
B	10/20/2014 - 01/17/2017	EDWARD JONES	CRD# 250	RENO, NV

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
04/2018 - Present	GK Wealth Management	Investment Advisor	Y	Reno, NV, United States
05/2017 - Present	GK Insurance Group	INDEPENDENT INSURANCE BROKER	N	RENO, NV, United States
10/2017 - 01/2018	ALLEGIS INVESTMENT ADVISORS	INVESTMENT ADVISOR REP	Y	RENO, NV, United States
04/2017 - 09/2017	SUMMIT BROKERAGE SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	RENO, NV, United States
03/2017 - 09/2017	TRIUMPH CAPITAL MANAGEMENT	IAR	Y	RENO, NV, United States
10/2014 - 01/2017	EDWARD JONES	FINANCIAL ADVISOR	Y	ST LOUIS, MO, 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) GRIFFIN M KIRSCH LLC; NOT INVESTMENT RELATED; 1 EAST LIBERTY STREET, SUITE 505, RENO, NV 89501; LLC FOR BUSINESS EXPENSES; OFFERING FIXED LIFE AND ANNUITIES; MANAGING MEMBER; STARTED 5/31/2017; APX 0 HOURS/MONTH, 0 DURING TRADING; LLC TO KEEP PERSONAL FROM BUSINESS

(2) PRESENT; BNI; MEMBER OF BUSINESS NETWORKING GROUP. NON INVESTMENT RELATED NO INCOME; Started 01/05/2016



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- (3) GK Holding Group LLC; Investment related: Yes; Location: 98 Winter Street Reno, NV 89503; Description: This "business" is simply a holding company, which holds(1)GRIFFIN ownership of address: 98 Winter Street Reno, NV 89503 ; Position Title: Owner; Duties: N/A; Start date: 2020-02-25; Hours during trading hours: 0; Hours outside trading hours: 0;
- (4) Griffin M. Kirsch LLC D.B.A. GK Insurance Group; Investment related: No; Location: 98 Winter Street Reno, NV 89503 ; Description: Insurance - Life Insurance, Disability Insurance, Long Term Care Insurance, Health Insurance. Representing individuals and small businesses. Independent with access to all insurance companies; Position Title: Owner; Duties: Guiding clients (individuals and small businesses) through the process of putting into place life insurance, disability insurance, long term care insurance and/or health insurance.; Start date: 2017-05-15; Hours during trading hours: 0; Hours outside trading hours: 2.
- (5) PRIVATE PLACEMENT INTO RMP 18 LLC; INVESTOR; INVESTMENT RELATED: YES; LOCATION: 522 & 533 ROBERTS ST. RENO, NV 89502; DESCRIPTION: DEVELOPMENT OF CONDO/APARTMENT PROJECT IN RENO, NV; RESPONSIBILITIES: PASSIVE INVESTOR; STARDATE: 2021-11-22; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 0; Percentage of total yearly compensation expected to be derived from the business: 1;
- 6) Trustee of trust that owns the LLC; GLAM Holdings LLC; Investment Related: YES; 4160 Hackamore Dr. Reno, NV 89519; Description of the business: Series LLC for rental properties and rental income - each property owned in separate series LLC.; Responsibilities Duties: Management of rental properties; Start date with business: 2021-12-06; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 0; Percentage of total yearly compensation expected to be derived from the business: 1.5.
- 7) GLAM PROPERTIES LLC; OWNER; INVESTMENT RELATED: YES; 98 WINTER STREET RENO, NV 89503 ; THIS BUSINESS IS A "SERIES LLC" THAT WILL SET UP UNDERNEATH THE "PARENT" LLC SUBSIDIARY "CHILD" LLCS.; ADMINISTRATION TASKS; 2021-12-06; HOURS DEVOTED TO BUSINESS OUTSIDE TRADING HOURS: .5; PERCENTAGE OF TOTAL YEARLY COMPENSATION EXPECTED TO BE DERIVED FROM THE BUSINESS: 2;



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
Termination	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:	Nevada Securities Division
Sanction(s) Sought:	Other: 24-MONTH SUPERVISION AGREEMENT
Date Initiated:	04/26/2019
Docket/Case Number:	IA-2421
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	GK WEALTH MANAGEMENT LLC
Product Type:	No Product
Allegations:	ON OR ABOUT APRIL 19, 2018, GK WEALTH MANAGEMENT (GK WEALTH) APPLIED TO BE LICENSED AS AN INVESTMENT ADVISER. ON OR ABOUT JUNE 28, 2018, GRIFFIN KIRSCH, GK WEALTH'S CHIEF COMPLIANCE OFFICER, APPLIED TO BE LICENSED AS A REPRESENTATIVE OF AN INVESTMENT ADVISER. KIRSCH PASSED THE REQUIRED SERIES 66 ON NOVEMBER 7, 2014. KIRSCH HAS TWO PRIOR DISCLOSED EVENTS ON HIS U4, AND GK WEALTH'S INITIAL APPLICATION CONTAINED UNRESOLVED INCONSISTENCIES WHICH REFLECTED A LACK OF UNDERSTANDING OF REGULATORY COMPLIANCE ISSUES.
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: 04/26/2019

Sanctions Ordered: Other: 24-MONTH SUPERVISION AGREEMENT COMMENCING ON APRIL 1, 2019 AND ENDING ON APRIL 1, 2021.

Regulator Statement ON OR ABOUT APRIL 19, 2018, GK WEALTH MANAGEMENT (GK WEALTH) APPLIED TO BE LICENSED AS AN INVESTMENT ADVISER. ON OR ABOUT JUNE 28, 2018, GRIFFIN KIRSCH, GK WEALTH'S CHIEF COMPLIANCE OFFICER, APPLIED TO BE LICENSED AS A REPRESENTATIVE OF AN INVESTMENT ADVISER. KIRSCH PASSED THE REQUIRED SERIES 66 ON NOVEMBER 7, 2014. KIRSCH HAS TWO PRIOR DISCLOSED EVENTS ON HIS U4, AND GK WEALTH'S INITIAL APPLICATION CONTAINED UNRESOLVED INCONSISTENCIES WHICH REFLECTED A LACK OF UNDERSTANDING OF REGULATORY COMPLIANCE ISSUES. 24-MONTH SUPERVISION AGREEMENT ENFORCED COMMENCING APRIL 1, 2019 AND ENDING ON APRIL 1, 2021. RESPONDENTS ORDERED TO HIRE AND MAINTAIN AN OUTSIDE COMPLIANCE CONSULTING FIRM (INITIALLY, LUXOR FINANCIAL GROUP) WHO WILL PROVIDE A VARIETY OF CONSULTING SERVICES TO RESPONDENTS. ENGAGEMENT WITH COMPLIANCE FIRM SHALL REQUIRE SUCH FIRM TO PREPARE AND SUBMIT TO THE NEVADA SECURITIES DIVISION WITHIN TEN (10) BUSINESS DAYS AFTER EACH CALENDAR MONTH A WRITTEN REPORT DESCRIBING COMPLIANCE FIRMS' REVIEWS AND ANY ISSUES NOTED. RESPONDENTS ORDERED TO PROVIDE THE DIVISION WITH COPIES OF ANY WRITTEN CUSTOMER COMPLAINTS WITHIN TEN (10) BUSINESS DAYS OF RECEIPT ALONG WITH AN EXPLANATION OF THE FACTS AND CIRCUMSTANCES OF SAID COMPLAINTS. THE ADMINISTRATOR MAY SUMMARILY SUSPEND RESPONDENTS' LICENSES AFTER RECEIVING NOTICE OF A CUSTOMER COMPLAINT AND CONSIDERING RESPONDENTS' EXPLANATION, IF PROVIDED BY RESPONDENTS.

Reporting Source: Individual

Regulatory Action Initiated By: State of Nevada

Sanction(s) Sought: Other: Heightened Supervision

Date Initiated: 04/01/2019

Docket/Case Number: IA-2421

Employing firm when activity occurred which led to the regulatory action: Summit Brokerage Services/Triumph Capital Management

Product Type: No Product

Allegations: The allegations related to this regulatory action were the result of a social media violation with regard to Summit Brokerage Services firm policy. There was also allegations regarding private security transactions, of which FINRA did an investigation to find that there was no findings. GK Wealth Management was required to sign a consent order requiring heightened supervision from 4/1/2019-4/1/2021.



***PLEASE NOTE: The Consent Order has been lifted by the Nevada Secretary of State Securities Division as of May 3rd, 2021. GK is longer on heightened supervision.

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:

04/01/2019

Sanctions Ordered:

Other: Heightened Supervision via Consent Order.

***PLEASE NOTE: The Consent Order has been lifted by the Nevada Secretary of State Securities Division as of May 3rd, 2021. GK is longer on heightened supervision.

Broker Statement

I was discharged from Summit Brokerage Services for violating their social media policies and for an alleged private securities transaction, which FINRA later did an investigation and found that allegation was wrong. There was never anything related to advice or securities, only a violation of an internal policy at Summit Brokerage services, which resulted in a discharge from that firm. Triumph Capital Management was then forced to discharge me because I was "dually" registered.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Firm Name: Triumph Capital Management
Termination Type: Discharged
Termination Date: 09/06/2017
Allegations: Violation of firm policy regarding social media and private security transactions
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: SUMMIT BROKERAGE SERVICES INC.
Termination Type: Discharged
Termination Date: 09/06/2017
Allegations: VIOLATION OF FIRM POLICY REGARDING SOCIAL MEDIA AND PRIVATE SECURITIES TRANSACTIONS
Product Type: No Product

Reporting Source: Individual
Firm Name: Summit Brokerage and Triumph Capital
Termination Type: Discharged
Termination Date: 09/06/2017
Allegations: failed to follow social media and private securities firm procedures
Product Type: No Product
Broker Statement I was "dually" registered with Summit Brokerage Services and Triumph Capital Management. Because I was a registered representative with SBS, I had to follow their own compliance procedures, which I unintentionally violated when using LinkedIn. Because of my dual registration, TCM was forced discharge. Any and all other allegations have been dismissed.



End of Report

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