



IAPD Report

Joseph Oliva Donti

CRD# 6469595

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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

Joseph Oliva Donti (CRD# 6469595)

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 **02/19/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CREATIVEONE WEALTH, LLC	CRD# 281213	12/11/2025

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
IA SAFEGUARD INVESTMENT ADVISORY GROUP, LLC	146132	Scottsdale, AZ	03/26/2025 - 12/02/2025
IA AE WEALTH MANAGEMENT, LLC	282580	Scottsdale, AZ	06/05/2020 - 06/05/2025
IA SOLUTIONS FIRST FINANCIAL GROUP	316394	SCOTTSDALE, AZ	10/19/2021 - 02/03/2022

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

Employment 1 of 1

Firm Name: **CREATIVEONE WEALTH, LLC**
Main Address: 6330 SPRINT PKWY
SUITE 400
OVERLAND PARK, KS 66211
Firm ID#: 281213

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	12/11/2025

Branch Office Locations

CREATIVEONE WEALTH, LLC
14614 N Kierland Blvd
Suite N330
Scottsdale, AZ 85254



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, 0 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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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/26/2015
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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	03/26/2025 - 12/02/2025	SAFEGUARD INVESTMENT ADVISORY GROUP, LLC	CRD# 146132	Scottsdale, AZ
IA	06/05/2020 - 06/05/2025	AE WEALTH MANAGEMENT, LLC	CRD# 282580	Scottsdale, AZ
IA	10/19/2021 - 02/03/2022	SOLUTIONS FIRST FINANCIAL GROUP	CRD# 316394	SCOTTSDALE, AZ
IA	05/06/2015 - 06/01/2020	PRIORITY WEALTH ADVISORS, INC.	CRD# 179521	WOODLAND HILLS, CA

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
12/2025 - Present	CreativeOne Wealth, LLC	Investment Adviser Representative	Y	Overland Park, KS, United States
05/2015 - Present	Solutions First Financial Group	Investment Adviser Representative/Owner	Y	Scottsdale, KS, United States
01/2011 - Present	Priority Financial & Insurance Solutions Inc.	Owner - Insurance Agent	N	Scottsdale, AZ, United States
03/2025 - 12/2025	Safeguard Investment Advisory Group, LLC	Investment Adviser Representative	Y	Corona, CA, United States
06/2020 - 06/2025	AE Wealth Management, LLC	Investment Adviser Representative	Y	Scottsdale, AZ, United States
05/2015 - 06/2020	Priority Wealth Advisors	Investment Adviser Representative	Y	Woodland Hills, CA, 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.) Priority Financial and Insurance Solutions, Inc.; investment related; 14614 N Kierland Blvd, Suite N330 Scottsdale, AZ 85254; Life insurance, LTC, and annuity sales; Owner/CEO; 01/2011; 60 hrs/mo; 60 hrs/mo
- 2.) Solutions First Financial Group; investment related; 14614 N Kierland Blvd, Suite N330 Scottsdale, AZ 85254; DBA used for investment advisory business; IAR/Owner; 5/2015; 100 hrs/mo; 100 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	2
Customer Dispute	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	California
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	11/16/2020
Docket/Case Number:	17952 AND 6469595
URL for Regulatory Action:	HTTPS://DFPI.CA.GOV/ENF-P/PRIORITY-WEALTH-ADVISORS-INC/
Employing firm when activity occurred which led to the regulatory action:	Priority Wealth Advisors, Inc.
Product Type:	Investment Contract Other: Securities issued by 1 Global Capital, LLC called "Memorandums of Indebtedness" promising a high-return, low-risk investment
Allegations:	(1) Priority Wealth Advisors (PWA) and Joseph Donti (Donti) offered and sold securities in the form of MOIs in 1 Global that were neither qualified nor exempt, in violation of Corp. Code section 25110; (2) PWA and Donti recommended securities that were unsuitable for PWA's clients based on the client's investment objectives and levels of investment experience, in violation of Corp. Code section 25238 and 10 CCR section 260.238(a); (3) As of at least August 2019, PWA's website, www.prioritywealthadvisors.com, under "Services," included statements guaranteeing a client "long-term growth" and "income throughout your retirement" as a result of PWA's advice, in violation of 10 CCR section 260.238(l); (4) From 1/9/19, when the civil case, Leyton v. Donti et al. (Case No. 19BBCV00030) was



filed in the Superior Court of the State of California for the County of Los Angeles, through at least 12/4/19, Donti failed to file an updated Form U4 including a disclosure under Section 14I.(1) for being named as a respondent or defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that he was involved in one or more sales practice violations and which was still pending, in violation of 10 CCR section 260.236.1(a).

Current Status: Final

Resolution: Consent

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: 11/16/2020

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: DONTI IS SUSPENDED FROM ANY POSITION OF EMPLOYMENT, MANAGEMENT OR CONTROL OF ANY BROKER-DEALER/INVESTMENT ADVISER FOR 6 MOS.

Duration: 6 months

Start Date: 11/16/2020

End Date: 05/16/2021

Monetary Sanction 1 of 1

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

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 12/09/2020

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: California Department of Financial Protection and Innovation

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



Date Initiated:	11/16/2020
Docket/Case Number:	6469595
Employing firm when activity occurred which led to the regulatory action:	Priority Wealth Advisors, Inc.
Product Type:	Other: Memorandum of Indebtedness
Allegations:	On November 16, 2020, the California Department of Financial Protection and Innovation entered a Consent Order with Priority Wealth Advisors, Inc. (Priority Wealth) and Joseph Donti (Donti), by which they agreed without admitting or denying that they had recommended an investment to California clients without conducting reasonable due diligence.
Current Status:	Final
Resolution:	Consent
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:	11/16/2020
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	6 months
Start Date:	11/16/2020
End Date:	05/16/2021
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	12/07/2020
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I, Joseph Donti, along with my firm, Priority Wealth Advisors, Inc., were named in a prematurely issued Consent Order by the California Department of Financial Protection and Innovation (DFPI) and the Arizona Corporation Commission



alleging failure to conduct proper due diligence in offering Memorandums of Indebtedness (MOIs) from 1st Global Capital (1GC). Despite conducting personal interviews with 1GC representatives, officials, and attorneys, the MOIs were misrepresented to investors and Advisors as non-securities. Based on the information available at the time, it was reasonably concluded that the investment was suitable for certain clients. For all clients who invested in 1GC, I fully explained the associated risks, documented their acknowledgment, and ensured they understood the product. The 1GC investment was part of a diversified asset allocation, including other investments and insurance products. Following 1GC's mismanagement, bankruptcy, and SEC charges, I worked directly with affected clients to help recoup losses and minimize exposure, except for one client who sought independent counsel, which provided no additional benefit beyond a public disclosure. Investigations by the SEC led to the conviction of several 1GC members for fraud. However, the premature issuance of the Consent Order raised concerns that key facts may not have been fully considered by the regulators. At my own expense, I assisted clients by filing bankruptcy claims, refunding all referral fees, and returning an additional 100% of those fees. I also filed an insurance claim to further reimburse clients affected by 1GC's bankruptcy. As of 6/3/2020, I joined AE Wealth Management, LLC, and as of 3/1/2025, Safeguard Investment Advisory Group, LLC, both of which maintain rigorous due diligence policies for vetting and monitoring investment products.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	Arizona Corporation Commission Securities Division
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Suspension
Date Initiated:	01/17/2020
Docket/Case Number:	S-21092A-20-0009
URL for Regulatory Action:	https://edocket.azcc.gov/Docket/DocketDetailSearch?docketId=24057
Employing firm when activity occurred which led to the regulatory action:	Priority Wealth Advisors, Inc.
Product Type:	Other: Memorandum of Indebtedness
Allegations:	Donti recommended the purchase of memoranda of indebtedness to four clients without conducting reasonable due diligence or adequate disclosures, for which he agreed, without admitting or denying, to a violation of A.R.S. Sec. 44-3201(a)(13), which is dishonest or unethical practices in the securities industry.
Current Status:	Final
Resolution:	Consent
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:	02/10/2020



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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: Investment adviser representative license in Arizona

Duration: 90 days

Start Date: 03/02/2020

End Date: 05/30/2020

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: joint and several with Priority Wealth Advisors, Inc

Is Payment Plan Current: Yes

Date Paid by individual: 02/12/2020

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Respondents admitted the jurisdiction of the Arizona Corporation Commission ("Commission"), neither admitted nor denied the Findings of Fact and Conclusions of Law contained in Decision 77545, and consented to the entry of the Order by the Commission.

Reporting Source: Individual

Regulatory Action Initiated By: ARIZONA CORPORATION COMMISSION

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

Date Initiated: 02/10/2020

Docket/Case Number: S-21092A-20-0009

Employing firm when activity occurred which led to the regulatory action: Priority Wealth Advisors Inc.

Product Type: Other: COLLATERALIZED NOTE OBLIGATION

Allegations: On February 10, 2020, the Arizona Corporation Commission entered a Consent Order with Priority Wealth Advisors, Inc. (Priority Wealth) and Joseph Donti (Donti), by which they agreed without admitting or denying that they had recommended an investment to four Arizona clients without conducting reasonable due diligence.



Current Status: Final

Resolution: Consent

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: 02/10/2020

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 90 Days

Start Date: 03/02/2020

End Date: 05/30/2020

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: OWED JOINTLY & SEVERALLY

Is Payment Plan Current: Yes

Date Paid by individual: 02/10/2020

Was any portion of penalty waived? No

Amount Waived:**Broker Statement**

I, Joseph Donti, along with my firm, Priority Wealth Advisors, Inc., were named in a prematurely issued Consent Order by the California Department of Financial Protection and Innovation (DFPI) and the Arizona Corporation Commission alleging failure to conduct proper due diligence in offering Memorandums of Indebtedness (MOIs) from 1st Global Capital (1GC). Despite conducting personal interviews with 1GC representatives, officials, and attorneys, the MOIs were misrepresented to investors and Advisors as non-securities. Based on the information available at the time, it was reasonably concluded that the investment was suitable for certain clients. For all clients who invested in 1GC, I fully explained the associated risks, documented their acknowledgment, and ensured they understood the product. The 1GC investment was part of a diversified asset allocation, including other investments and insurance products. Following 1GC's mismanagement, bankruptcy, and SEC charges, I worked directly with affected clients to help recoup losses and minimize exposure, except for one client who sought independent counsel, which provided no additional benefit beyond a public disclosure. Investigations by the SEC led to the conviction of several 1GC



members for fraud. However, the premature issuance of the Consent Order raised concerns that key facts may not have been fully considered by the regulators. At my own expense, I assisted clients by filing bankruptcy claims, refunding all referral fees, and returning an additional 100% of those fees. I also filed an insurance claim to further reimburse clients affected by 1GC's bankruptcy. As of 6/3/2020, I joined AE Wealth Management, LLC, and as of 3/1/2025, Safeguard Investment Advisory Group, LLC, both of which maintain rigorous due diligence policies for vetting and monitoring investment products.



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: Priority Wealth Advisors, Inc.

Allegations: On Jan 2019, the plaintiff filed a civil litigation alleging losses and suitability issues pertaining to a recommendation and subsequent purchase of an alternative investment product purchased in Oct. 2017.

Product Type: Other: collateralized note obligation

Alleged Damages: \$230,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: Superior Court of California

Location of Court: Los Angeles County - California

Docket/Case #: 19BBCV00030

Date Notice/Process Served: 01/09/2019

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 12/05/2019

Monetary Compensation Amount: \$9,391.18

Individual Contribution Amount: \$4,695.59

Broker Statement

FOR ALL MY CLIENTS WHO INVESTED IN 1ST GLOBAL CAPITAL (1GC), I TOOK THE TIME TO FULLY EXPLAIN THE RISKS ASSOCIATED WITH THESE INVESTMENTS AND DOCUMENTED THOSE RISKS WITH THEIR ACKNOWLEDGEMENT SO CLIENTS FULLY UNDERSTOOD THE PRODUCT. THE 1GC PRODUCT WAS NOT THE ONLY INVESTMENT THESE CLIENTS HAD WITH ME. THE 1GC PRODUCT WAS PART OF THEIR OVERALL ASSET ALLOCATION INCLUDING A MIX OF OTHER INVESTMENTS AND INSURANCE PRODUCTS. AT THE TIME THE PRODUCT WAS OFFERED, THE INFORMATION PROVIDED TO ME BY 1GC LED ME TO BELIEVE IT WAS AN APPROPRIATE INVESTMENT CHOICE FOR CERTAIN CLIENTELE BASED ON THE INFORMATION AVAILABLE AT THAT TIME. DUE TO 1GC'S MISMANAGEMENT, BANKRUPTCY, AND ULTIMATELY CHARGES BROUGHT BY THE SEC AGAINST 1GC, I WORKED DIRECTLY WITH ALL MY AFFECTED CLIENTS TO HELP RECOUP AND MINIMIZE THEIR EXPOSURE. THE LONE EXCEPTION WAS ONE CLIENT WHO SOUGHT THEIR OWN COUNSEL, WHICH RESULTED IN NO ADDITIONAL BENEFIT BUT A PUBLISHED DISCLOSURE. FOR THOSE CLIENTS I ASSISTED AT MY OWN EXPENSE, I



HELPED THEM FILE PROOFS OF CLAIM THROUGH THE BANKRUPTCY PROCEEDINGS, RETURNED ALL REFERRAL FEES I RECEIVED PLUS AN ADDITIONAL 100% OF THOSE FEES. IN ADDITION, I FILED AN INSURANCE CLAIM TO HELP REIMBURSE CLIENTS THAT WERE AFFECTED BY 1GC'S BANKRUPTCY. AS OF 6/3/2020, I HAVE AFFILIATED WITH A NEW FIRM, AE WEALTH MANAGEMENT, LLC. (AEWM). AEWM HAS A DUE DILIGENCE COMMITTEE AND POLICIES TO REVIEW AND APPROVE INVESTMENT PRODUCTS AVAILABLE FOR ME TO OFFER TO CLIENTS. AEWM ALSO HAS POLICIES TO CONDUCT ONGOING DUE DILIGENCE OF CERTAIN PRODUCTS AND SERVICES TO HELP DETECT POTENTIAL VIOLATIONS OR RISKS TO CLIENT INVESTMENTS.



End of Report

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