



## IAPD Report

# ARON MAX WEGNER

CRD# 6672654

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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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

### ARON MAX WEGNER (CRD# 6672654)

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 **05/15/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MAI CAPITAL MANAGEMENT, LLC	CRD# 109807	02/11/2022

### 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	REGAL WEALTH MANAGEMENT, LLC	305480	NEW YORK, NY	11/29/2021 - 12/21/2021
B	NOMURA SECURITIES INTERNATIONAL, INC.	4297	NEW YORK, NY	07/24/2017 - 11/14/2019

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
Criminal	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: **MAI CAPITAL MANAGEMENT, LLC**

Main Address: 6050 OAK TREE BLVD  
SUITE 500  
CLEVELAND, OH 44131

Firm ID#: 109807

	Regulator	Registration	Status	Date
	Ohio	Investment Adviser Representative	Approved	02/11/2022

### Branch Office Locations

**MAI CAPITAL MANAGEMENT, LLC**

Boston, MA



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Investment Banking Registered Representative Examination (S79)	Series 79	07/22/2017

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	11/24/2021
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	07/26/2017



### 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	11/29/2021 - 12/21/2021	REGAL WEALTH MANAGEMENT, LLC	CRD# 305480	NEW YORK, NY
B	07/24/2017 - 11/14/2019	NOMURA SECURITIES INTERNATIONAL, INC.	CRD# 4297	NEW YORK, NY

### 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
12/2021 - Present	MAI Capital Management	Portfolio Manager	Y	New York, NY, United States
11/2019 - 12/2021	Regal Wealth Management	Investment Associate	Y	New York, NY, United States
07/2017 - 11/2019	NOMURA SECURITIES INTERNATIONAL, INC.	Analyst	Y	NEW YORK, NY, United States
08/2016 - 05/2017	University of Michigan - Center for Sport & Policy	Undergraduate Research Assistant	N	Ann Arbor, MI, United States
09/2012 - 04/2017	University of Michigan - Ann Arbor	Student	N	Ann Arbor, MI, 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.

No information reported.



## 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
Criminal	1

### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	City of Ann Arbor 15th District Court
<b>Location of Court:</b>	Ann Arbor, Michigan
<b>Docket/Case #:</b>	14W250439A-OM
<b>Charge Date:</b>	09/13/2014
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	FRAUDULENT ID TO PURCHASE LIQUOR-MINOR U/21
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Misdemeanor
<b>Plea for each charge:</b>	The charge was dismissed. No plea was entered.
<b>Disposition of charge:</b>	Dismissed
<b>Date of Amended Charge:</b>	10/13/2014
<b>Charge was Amended or reduced to:</b>	At a pretrial hearing, the original charge of Fraudulent ID was dismissed. A new Citation for "DISORDERLY CONDUCT CI - BLOCK STREET/SIDEWALK, ANN ARBOR ORD" was entered.
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Citation
<b>Amended Plea:</b>	No plea entered.
<b>Disposition of Amended Charge:</b>	"Judgment Rendered": \$175 fine and 15 hours of community service required - paid and performed.





<b>Current Status:</b>	Final
<b>Status Date:</b>	10/13/2014
<b>Disposition Date:</b>	10/13/2014
<b>Sentence/Penalty:</b>	Charge dismissed. Reduced citation of blocking the sidewalk was entered with a judgment rendered of: \$175 fine (paid - 10/13/14) and 15 hours of community service (performed between 10/13/14 and 12/8/14).
<b>Broker Statement</b>	<p>On September 13, 2014, I was leaving a tailgate party on campus with a glass bottle. I placed the glass bottle on the ground (as there were no trash cans nearby). A police officer witnessed this and began writing up a ticket for Littering. When the officer asked for my ID, I told him I did not have one on me as it was in my wallet at my house. The officer did not appear to believe me and began questioning me about my identity. After the officer was able to confirm my identity from the state information database, which corroborated the information I had originally provided, the officer searched my pockets without probable cause. During the search, the officer discovered an unofficial ID. The ID was never presented by me to the officer. After inspecting the ID, the officer issued a charge of "FRAUDULENT ID TO PURCHASE LIQUOR-MINOR U/21". There was no attempt to use the ID or purchase liquor during this incident. I was advised by my lawyer to accept a citation in lieu of the original charge. As noted above, this charge of Fraudulent ID was dismissed by the court. A new citation was issued for "DISORDERLY CONDUCT CI -BLOCK STREET/SIDEWALK, ANN ARBOR ORD". I received a \$175 fine (paid on 10/13/14) and had to complete 15 hours of community service (performed between 10/13/14 and 12/8/14). This case is closed.</p>



## End of Report

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