



IAPD Report

TERRY LEE TYLER

CRD# 709043

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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

TERRY LEE TYLER (CRD# 709043)

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 **09/22/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROYAL FUND MANAGEMENT, LLC	CRD# 144434	11/30/2015

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	LEONARD FINANCIAL GROUP	147446	DENVER, CT	09/05/2014 - 11/30/2015
IA	ROYAL FUND MANAGEMENT, LLC	144434	THE VILLAGES, FL	09/04/2013 - 03/05/2015
IA	REGAL INVESTMENT ADVISORS LLC	125004	DENVER, CO	03/04/2013 - 03/05/2015

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
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: **ROYAL FUND MANAGEMENT, LLC**
Main Address: 1515 BUENOS AIRES BLVD
LADY LAKE, FL 32159
Firm ID#: 144434

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	11/30/2015

Branch Office Locations

ROYAL FUND MANAGEMENT, LLC
355 South Teller Street
Suite 200
Lakewood, CO 80226




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 1 principal/supervisory exam, 1 general industry/product exam, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/27/1991

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	11/16/2005

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/2007
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/30/2005

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	09/05/2014 - 11/30/2015	LEONARD FINANCIAL GROUP	CRD# 147446	DENVER, CT
IA	09/04/2013 - 03/05/2015	ROYAL FUND MANAGEMENT, LLC	CRD# 144434	THE VILLAGES, FL
IA	03/04/2013 - 03/05/2015	REGAL INVESTMENT ADVISORS LLC	CRD# 125004	DENVER, CO
IA	12/04/2007 - 11/09/2012	AMERICAN INVESTMENT SERVICES	CRD# 144088	DENVER, CO
B	06/27/2008 - 09/30/2008	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	DENVER, CO
IA	06/12/2008 - 09/30/2008	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	DENVER, CO
B	12/02/2005 - 06/27/2006	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	CENTENNIAL, CO
B	01/26/1995 - 04/24/1995	ROCKY MOUNTAIN SECURITIES & INVESTMENTS, INC.	CRD# 8350	DENVER, CO
B	02/09/1993 - 02/25/1993	JOHN G. KINNARD AND COMPANY, INCORPORATED	CRD# 466	MINNEAPOLIS, MN
B	01/19/1993 - 01/28/1993	FRANKLIN-LORD, INC.	CRD# 6756	SCOTTSDALE, AZ
B	07/01/1991 - 11/25/1992	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	06/07/1991 - 06/28/1991	FIRST CHOICE SECURITIES CORP.	CRD# 17021	
B	03/27/1989 - 06/21/1989	L.F. THOMPSON & COMPANY	CRD# 21820	
B	10/16/1987 - 02/28/1989	POWER SECURITIES CORPORATION	CRD# 15527	
B	03/11/1986 - 09/25/1987	THE STUART-JAMES COMPANY, INC.	CRD# 11691	
B	07/15/1985 - 11/18/1985	E. J. PITTOCK & CO., INCORPORATED	CRD# 1398	



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	07/30/1984 - 07/26/1985	GENESIS CAPITAL CORPORATION	CRD# 14813	
B	09/02/1983 - 07/31/1984	B. J. LEONARD AND COMPANY, INC.	CRD# 62	
B	05/22/1980 - 08/22/1983	FIRST COLORADO INVESTMENTS & SECURITIES, INC.	CRD# 6929	

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
11/2015 - Present	ROYAL FUND MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	THE VILLAGES, FL, United States
01/1996 - Present	DURANGO CAPITAL, INC. d/b/a LEGACY RETIREMENT SERVICES	PRESIDENT/SOLE OWNER	Y	DENVER, 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.

- (1) 01/1996- Durango Capital, Inc. DBA Legacy Retirement Services, 355 South Teller Street, Suite 200, Lakewood, CO 80226; investment related; President/Sole Owner; Asset Management and the Annuity and Life Insurance; 20 hours.
- (2) 08/2022- Durango Capital Inc. DBA Durango Capital Investments; 355 South Teller Street, Suite 200, Lakewood, CO 80226; investment related; President; 1099 income advisory income only



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
Criminal	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:	WISCONSIN
Sanction(s) Sought:	Prohibition
Other Sanction(s) Sought:	AND REVOCATION
Date Initiated:	06/02/1998
Docket/Case Number:	S-97187(EX)
Employing firm when activity occurred which led to the regulatory action:	ONE STOP WIRELESS OF AMERICA, INC.
Product Type:	Investment Contract(s)
Other Product Type(s):	(SECURITIES) ON BEHALF OF ONE STOP WIRELESS, THE AGENTS OFFERED AND SOLD TO NUMEROUS PERSONS IN WI, "PARTNERSHIP UNITS" OF THE PARTNERSHIPS. THE PARTNERSHIPS ENGAGE IN THE BUSINESS OF DEVELOPING MARKETS FOR PRE-PAID CELLULAR SERVICE, CONVENTIONAL CELLULAR SERVICE, SATELLITE TELEPHONES, & LONG DISTANCE, MESSAGING & PAGING SERVICES. THE INVESTORS PLAY A PASSIVE ROLE IN THE CO. WITH NO DUTIES & RESPONSIBILITIES.
Allegations:	SUMMARY ORDER WAS ISSUED DUE TO VIOLATION WHEN INVESTMENT CONTRACTS OF PARTNERSHIPS HAD NEVER BEEN REGISTERED FOR OFFER & SALE IN WI PERSUANT TO CH. 551. WIS. STATS. TERRY LEE TYLER VIOLATED SEC. 551.21 (1), WIS. STATS., BY OFFERING & SELLING UNREGISTERED SECURITIES IN WI. ONE STOP WIRELESS WAS NEVER NOR THEIR BROKERS WERE NEVER LICENSED AS SECURITIES AGENTS IN



	WI.
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:	07/16/1998
Regulator Statement	TYLER AND ANYONE WORKING FOR OR WITH HIM IS PROHIBITED FROM MAKING ANY OFFERS OR SALES OF SECURITIES IN WI UNLESS THEY ARE REGISTERED UNDER CH. 551.WIS.STATS. ALL EXEMPTIONS FROM REGISTRATION SET FORTH AT CH. 55A, WIS. STATS., THAT MIGHT APPLY TO ANY OFFER OR SALE OF SECURITY BY ONE STOP WIRELESS OF AMERICA, INC., ITS SUCCESSORS OR ANYONE WORKING WITH OR FOR THEM, ARE REVOKED. TERRY TYLER AND ANYONE WORKING FOR OR WITH HIM ARE PROHIBITED FROM EMPLOYING AN AGENT TO REPRESENT THEM IN WI UNLESS THAT AGENT IS LICENSED UNDER CH. 551, WIS. STATS.



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

Reporting Source:	Individual
Court Details:	STATE OF COLORADO, COUNTY OF JEFFERSON, CASE NO. NARC 3562.
Charge Date:	09/17/1974
Charge Details:	CHARGED WITH POSSESSION OF MARIJUANA, FELONY WHICH WAS LATER PLEADED NO CONTEST TO MISDEMEANOR CHARGE OF POSSESSION, NOT INVESTMENT-RELATED.
Felony?	Yes
Current Status:	Final
Status Date:	09/23/1975
Disposition Details:	SERVED 6 MONTHS PROBATION, CHARGES DROPPED, PAID \$50.00 FINE.
Broker Statement	ITEM WAS IN LEGACY, RECEIVED DISCLOSURE LETTER ON 10/19/2005 NOTIFYING US THAT THE ITEM WAS REPORTABLE.



End of Report

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