IAPD Report

RICK LANE TASKER

CRD# 728427

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

RICK LANE TASKER (CRD# 728427)

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 **10/05/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROBERTSON STEPHENS	CRD# 289977	10/06/2021

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	EPOCH CONSULTING GROUP	132757	SANTA ROSA, CA	12/21/2017 - 10/27/2021
B	SUNAMERICA SECURITIES, INC.	20068	SANTA ROSA, CA	07/07/1993 - 09/24/1993
B	INVESTMENT MANAGEMENT & RESEARCH, INC	6694	SANTA ROSA, CA	10/02/1991 - 06/29/1993

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

Employment 1 of 1

Firm Name: **ROBERTSON STEPHENS**

Main Address: 455 MARKET STREET
STE. 1450
SAN FRANCISCO, CA 94105-2442

Firm ID#: 289977

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	10/06/2021

Branch Office Locations

ROBERTSON STEPHENS
2455 Bennett Valley Road, Suite B115
Santa Rosa, CA 95404

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
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Interest Rate Options Examination (S5)	Series 5	12/11/1982
B	General Securities Representative Examination (S7)	Series 7	04/11/1981

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/20/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/09/1981

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	12/21/2017 - 10/27/2021	EPOCH CONSULTING GROUP	CRD# 132757	SANTA ROSA, CA
B	07/07/1993 - 09/24/1993	SUNAMERICA SECURITIES, INC.	CRD# 20068	
B	10/02/1991 - 06/29/1993	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	
B	09/04/1990 - 10/03/1991	KEMPER SECURITIES GROUP, INC.	CRD# 19616	
B	05/24/1990 - 09/04/1990	BATEMAN EICHLER, HILL RICHARDS, INCORPORATED	CRD# 76	
B	11/30/1988 - 05/17/1990	GREAT WESTERN FINANCIAL SECURITIES CORPORATION	CRD# 14229	
B	01/27/1984 - 12/19/1988	SUTRO & CO. INCORPORATED	CRD# 801	
B	04/13/1981 - 12/27/1983	DEAN WITTER REYNOLDS INC.	CRD# 7556	

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
10/2021 - Present	Robertson Stephens Wealth Management, LLC	Investment Adviser Representative	Y	Santa Rosa, CA, United States
06/2004 - 10/2021	Epoch Consulting Group	President	Y	Santa Rosa, 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.

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
Regulatory Event	2
Customer Dispute	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	Department of Labor
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	12/23/2008
Docket/Case Number:	CO84854
Employing firm when activity occurred which led to the regulatory action:	Zenith Capital LLC
Product Type:	Other: Private Hedge Fund
Allegations:	DOL alleged breach of fiduciary duty over ERISA-related assets Zenith invested in Global Money Mgmt (GMM), a private hedge fund managed by third party. The SEC proceeded against GMM in 2003, alleging gross overstatement of GMM's assets. The DOL sought to recoup losses on behalf of clients.
Current Status:	Final
Resolution:	Settled
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:	03/13/2013

Sanctions Ordered:	Other: Mr. Tasker is prohibited in offering 3(38) fiduciary services.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$296,235.00
Portion Levied against individual:	$16,000.00
Payment Plan:	Annual
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

Disclosure 2 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Restitution Suspension
Date Initiated:	02/15/1984
Docket/Case Number:	Unknown
Employing firm when activity occurred which led to the regulatory action:	Dean Witter
Product Type:	No Product
Allegations:	NASD alleged Mr Tasker open account with client outside of licensed state of California. Client defrauded firm of $7,000 through issuance of bad checks. Firm regquired repayment of $7,000 and suspended Mr. Tasker for 5 days. NASD filed complaint 02/15/1984 against Mr. Tasker for violation of Article III, Section 1 of the Rules of Fair Practice.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	02/04/1985
Sanctions Ordered:	Restitution Suspension Other: N/A
Sanction 1 of 1	

Sanction Type:	Suspension
Capacities Affected:	General Securities
Duration:	5 days
Start Date:	10/01/1983
End Date:	10/06/1983
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Restitution
Total Amount:	$7,000.00
Portion Levied against individual:	$7,000.00
Payment Plan:	3 months
Is Payment Plan Current:	No
Date Paid by individual:	10/01/1983
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	I OPENED AN ACCOUNT WITH A RESIDENT OF KANSAS IN OF 1982 WHO DEFRAUDED MY EMPLOYER (DEAN WITTER) OF A LARGE SUM OF MONEY. THE NASD CENSURED ME FOR VIOLATIONS OF SECTION I OF ARTICLE III OF THE RULES OF FAIR PRACTICE, IN THAT, THE ACCOUNT WAS OPENED WITHOUT BEING REGISTERED IN KANSAS. DEAN WITTER HELD ME RESPONSIBLE FOR THE ULTIMATE LOSS OF $7,000 AND SUSPENDED ME FOR FIVE DAYS. THE NASD ALSO ALLEGED I WITHHELD INFORMATION FROM DEAN WITTER, HOWEVER, DEAN WITTER HAS STATED IN WRITING THAT THAT WAS NOT SO. THE NASD CONSIDERED THE $7,000 REPAYMENT AND FIVE DAY SUSPENSION SUFFICIENT PENALTY UNDER THE CIRCUMSTANCES AND THE CASE WAS CLOSED.

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Zenith Capital LLC
Allegations:	Clients alleged fraud and breach of fiduciary duty over assets Zenith invested in Global Money Mgmt (GMM), a private hedge fund managed by third party. The SEC proceeded against GMM in 2003, alleging gross overstatement of GMM's assets. Clients sought to recoup losses.
Product Type:	Other: Private Hedge Fund
Alleged Damages:	$16,000,000.00

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	Federal Court, San Francisco
Location of Court:	San Francisco, CA
Docket/Case #:	C 04 2239 JSW (ECM)
Date Notice/Process Served:	07/01/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	10/20/2008
Monetary Compensation Amount:	$180,000.00
Individual Contribution Amount:	$45,000.00
Broker Statement	GMM was managed by a third party from 1993. After extensive research, interviews and ongoing visits documented in Zenith Capital's due diligence records, Zenith invested client assets in 1999 in GMM. In March 2004, the SEC alleged that GMM managers had grossly overstated the hedge fund's assets and that one manager had not disclosed disciplinary findings barring him from association with NASD members, information not available to Zenith. After proceeding against GMM, the SEC audited Zenith. The SEC made no allegations of wrongdoing on Zenith's part, but clients raised allegations against Zenith to recoup losses. The history of complaints and findings against GMM and its managers can be found on the SEC's website (Litigation Release Nos. 18623 (March 12, 2004) and 18666 (April 12, 2004).

Disclosure 2 of 2

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	Zenith Capital LLC
Allegations:	Clients alleged fraud and breach of fiduciary duty over assets Zenith invested in Global Money Mgmt (GMM), a private hedge fund managed by third party. The SEC proceeded against GMM in 2003, alleging gross overstatement of GMM's assets. Clients sought to recoup losses.
Product Type:	Other: Private Hedge Fund
Alleged Damages:	$2,000,000.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Marin County Superior Court
Location of Court:	San Rafael, California
Docket/Case #:	Unknown
Date Notice/Process Served:	11/24/2004
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	12/07/2007
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$80,000.00
Broker Statement	GMM was managed by a third party from 1993. After extensive research, interviews and ongoing visits documented in Zenith Capital's due diligence records, Zenith invested client assets in 1999 in GMM. In March 2004, the SEC alleged that GMM managers had grossly overstated the hedge fund's assets and that one manager had not disclosed disciplinary findings barring him from association with NASD members, information not available to Zenith. After proceeding against GMM, the SEC audited Zenith. The SEC made no allegations of wrongdoing on Zenith's part, but clients raised allegations against Zenith to recoup losses. The history of complaints and findings against GMM and its managers can be found on the SEC's website (Litigation Release Nos. 18623 (March 12, 2004) and 18666 (April 12, 2004).

End of Report

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