



IAPD Report

REBECCA ADAMS HOLLIS J.D.

CRD# 7352986

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

i When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.
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

REBECCA ADAMS HOLLIS J.D. (CRD# 7352986)

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 **05/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/19/2021
IA	LPL FINANCIAL LLC	CRD# 6413	07/31/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	COLONIAL RIVER WEALTH MANAGEMENT LLC	284839	MIDLOTHIAN, VA	09/27/2021 - 07/07/2023
IA	LPL FINANCIAL LLC	6413	MIDLOTHIAN, VA	08/13/2021 - 07/27/2022

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
Termination	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	07/19/2021
B	California	Agent	Approved	08/04/2023
B	Florida	Agent	Approved	09/07/2023
B	Georgia	Agent	Approved	08/07/2023
B	Kentucky	Agent	Approved	08/15/2023
B	North Carolina	Agent	Approved	08/22/2023
B	South Carolina	Agent	Approved	08/08/2023
B	Virginia	Agent	Approved	08/13/2021
IA	Virginia	Investment Adviser Representative	Approved	07/31/2023

Branch Office Locations

LPL FINANCIAL LLC
567 B SOUTHLAKE BLVD.
RICHMOND, VA 23236



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

General Securities Representative Examination (S7TO)	Series 7TO	07/19/2021
--	------------	------------

Securities Industry Essentials Examination (SIE)	SIE	03/09/2021
--	-----	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Combined State Law Examination (S66)	Series 66	08/13/2021
--	-----------	------------

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	09/27/2021 - 07/07/2023	COLONIAL RIVER WEALTH MANAGEMENT LLC	CRD# 284839	MIDLOTHIAN, VA
IA	08/13/2021 - 07/27/2022	LPL FINANCIAL LLC	CRD# 6413	MIDLOTHIAN, VA

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
06/2021 - Present	LPL Financial LLC	Registered Representative	Y	MIDLOTHIAN, VA, United States
08/2021 - 07/2023	Colonial River Investments, LLC	Registered Rep	Y	Midlothian, VA, United States
07/2018 - 06/2021	Unemployed	Stay at home parent	N	Midlothian, VA, United States
12/2015 - 07/2018	Fidelity National Title Insurance Company	Assistant Vice President, Litigation Counsel	N	New York, NY, 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. 9/26/2023: Moore Financial Services; At reported business location(s); DBA for LPL Business (entity for LPL business); Inv. related; start date 9/6/2023; 160hrs/mo.; 140hrs during trading.

2. 04/10/2026 - Rebecca Adams Hollis - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 03/26/2026 - 5 hours per month/ during trading



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
------	-------

Termination	1
-------------	---

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 1

Reporting Source: Firm

Firm Name: COLONIAL RIVER WEALTH MANAGEMENT LLC

Termination Type: Permitted to Resign

Termination Date: 06/06/2023

Allegations: MS. HOLLIS ASSISTED IN THE CREATION OF UNAPPROVED FINANCIAL REPORTS RELATING TO CLIENT ASSETS WITHOUT FIRM APPROVAL AND ATTENDED CLIENT MEETINGS WHERE THE UNAPPROVED DOCUMENTS WERE DISTRIBUTED. SINCE THE FILING OF THE FORM U5 THE FOLLOWING ADDITIONAL ITEMS WERE DISCOVERED REGARDING MS. HOLLIS: SHE GAVE LEGAL ADVICE TO A CUSTOMER WITHOUT FIRM OR SUPERVISOR APPROVAL; SHE WRONGFULLY EXECUTED TRANSACTIONS FOR CUSTOMERS WHILE BOTH SHE AND HER FATHER, THE ADVISOR WERE UNREGISTERED IARS.

Product Type: No Product

Reporting Source: Individual

Firm Name: COLONIAL RIVER WEALTH MANAGEMENT LLC

Termination Type: Permitted to Resign

Termination Date: 06/06/2023

Allegations: COLONIAL RIVER DISCOVERED THAT MS. HOLLIS WAS DISTRIBUTING UNAPPROVED REP CREATED STATEMENTS TO CLIENTS WITHOUT FIRM APPROVAL.

Product Type: No Product

Broker Statement The foregoing comments, filed by Representative on behalf of Colonial River



Wealth Management ("CRWM") in apparent retaliation for my voluntary resignation from CRWM by letter dated June 6, 2023, are in turns either false, or misleading.

- The reference to "employment separation after allegations," and "permitted to resign," are both false. At the time of my voluntary resignation on June 6, 2023, no allegations had been made against me.

- At all relevant times, I was working as a Registered Administrative Associate under the direct supervision of a Financial Advisor who had been in the financial services industry for over 3 decades ("Advisor"). This Advisor was operating under the supervision of Representative at CRWM, where he had been working for over 4 years when I joined him in Fall 2021.

- The "reports" to which Representative refers consisted of a document format which the Advisor had been using in the regular course of his practice for decades, including in the years since he joined CRWM in 2017. Upon information and belief, Representative attended at least one client meeting where the Advisor used this document format, which Representative now says was not "firm-approved." Despite the fact that he had known for years that it was the Advisor's practice to use this document format, he expressed disapproval to the Advisor for the first time just days before our planned resignation from CRWM in June 2023, to join another financial services team.

- I did not give legal advice at any point in time. Rather, I assisted a client with crafting language as part of her charitable giving plan, in furtherance of articulating the client's express wishes, and under the supervision of the Advisor as part of his financial planning services.

- Last, the trades at issue were not placed "by me," but were at the direction of the Advisor, given that these were his client accounts. At the time that the trades were placed, he was no longer under the supervision of CRWM or Representative, but was under new supervision. He had been explicitly informed that he could continue servicing his client accounts in the regular course of business. CRWM had access to, yet failed to object to the servicing of these client accounts, until the Advisor successfully moved all of the accounts with him to a new firm.



End of Report

This page is intentionally left blank.