IAPD Report

Alec August Engman

CRD# 7771407

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

Alec August Engman (CRD# 7771407)

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 **07/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	J. W. COLE ADVISORS, INC.	CRD# 112294	01/02/2025
B	J.W. COLE FINANCIAL, INC.	CRD# 124583	01/02/2025

QUALIFICATIONS

This representative is currently registered in **1** 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
B	THRIVENT INVESTMENT MANAGEMENT INC.	18387	GOLDEN VALLEY, MN	04/01/2024 - 12/17/2024
IA	THRIVENT INVESTMENT MANAGEMENT INC.	18387	GOLDEN VALLEY, MN	04/01/2024 - 12/17/2024
IA	PRINCIPAL SECURITIES, INC.	1137	LAKE ELMO, MN	02/01/2024 - 03/21/2024

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? **No**

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 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **J. W. COLE ADVISORS, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 112294

	Regulator	Registration	Status	Date
IA	Minnesota	Investment Adviser Representative	Approved	01/02/2025

Branch Office Locations

J. W. COLE ADVISORS, INC.
7400 Metro Blvd.
Suite 475
Edna, MN 55439

Employment 2 of 2

Firm Name: **J.W. COLE FINANCIAL, INC.**

Main Address: 4301 ANCHOR PLAZA PARKWAY
SUITE 450
TAMPA, FL 33634

Firm ID#: 124583

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/02/2025
B	Minnesota	Agent	Approved	01/02/2025

Branch Office Locations

8647 Eagle Point Blvd
Ste 1
Lake Elmo, MN 55042

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
B	General Securities Representative Examination (S7TO)	Series 7TO	11/18/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/09/2023

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	01/31/2024

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
B	04/01/2024 - 12/17/2024	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	GOLDEN VALLEY, MN
IA	04/01/2024 - 12/17/2024	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	GOLDEN VALLEY, MN
IA	02/01/2024 - 03/21/2024	PRINCIPAL SECURITIES, INC.	CRD# 1137	LAKE ELMO, MN
B	11/18/2023 - 03/21/2024	PRINCIPAL SECURITIES, INC.	CRD# 1137	LAKE ELMO, MN

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
01/2025 - Present	J.W. Cole Advisors, Inc.	Investment Advisor Representative	Y	Tampa, FL, United States
01/2025 - Present	J.W. Cole Financial, Inc.	Registered Representative	Y	Tampa, FL, United States
08/2024 - 12/2024	Thrivent Financial	Financial Associate	Y	Appleton, WI, United States
03/2024 - 12/2024	Thrivent Investment Management Inc	Registered Representative	Y	Golden Valley, MN, United States
04/2024 - 08/2024	Thrivent Financial	Associate Representative	Y	Minneapolis, MN, United States
02/2024 - 03/2024	Green Guardian Wealth Management	Financial Professional	Y	Lake Elmo, MN, United States
08/2023 - 03/2024	Principal Life Insurance Company	Agent	Y	Lake Elmo, MN, United States
08/2023 - 03/2024	Principal Securities, INC	Registered Representative	Y	Lake Elmo, MN, United States
09/2019 - 08/2023	Student @ University Of Minnesota	Student	N	Minnesota, MN, United States
05/2023 - 07/2023	LB Carlson	Accounting Intern	Y	Minneapolis, MN, United States
02/2023 - 04/2023	Steven Fosters Financial Advisors	Accounting Intern	Y	Bloomington, MN, United States
03/2019 - 09/2019	Machine Shed	Busser	N	Lake Elmo, MN, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2019 - 03/2019	Tavern Bar & Grill	Busser	N	Woodbury, MN, United States
09/2018 - 01/2019	Minnesota Online Academy	Student	N	minneapolis, MN, United States
05/2016 - 09/2018	Olive Garden Oakdale	Host & Prep	N	Oakdale, MN, 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) New Horizons BFS LLC; DBA; 8647 Eagle Point Blvd., Suite 1, Lake Elmo MN 55042; Investment Related; Financial Advisor/Partner; Providing financial services and advice to current and perspective clients; Start 3/1/25; 160 hours/month during trading.

(2) Domino's Pizza; 783 Radio Dr, Ste 108, Woodbury, MN 55125; Not investment related; Position: Evening Delivery Driver; Start Date:8/11/2025; 0 during trading hours

End of Report

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