



## IAPD Report

# ROBERT EDWARD HOLLAND

CRD# 819275

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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

### ROBERT EDWARD HOLLAND (CRD# 819275)

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 **08/18/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	ASTRA WEALTH MANAGEMENT GROUP	CRD# 326006	05/15/2023
<b>B</b>	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	05/16/2023

### 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
<b>B</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	PLANO, TX	05/16/2019 - 05/24/2023
<b>IA</b>	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	PLANO, TX	05/16/2019 - 05/24/2023
<b>B</b>	WELLS FARGO CLEARING SERVICES, LLC	19616	PLANO, TX	07/01/2003 - 05/16/2019

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
Customer Dispute	3



## 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 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**  
Main Address: 80 STATE STREET  
ALBANY, NY 12207  
Firm ID#: 35747

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	05/16/2023
<b>B</b> Arizona	Agent	Approved	05/24/2023
<b>B</b> California	Agent	Approved	05/16/2023
<b>B</b> Illinois	Agent	Approved	05/16/2023
<b>B</b> North Carolina	Agent	Approved	05/16/2023
<b>B</b> Oklahoma	Agent	Approved	05/17/2023
<b>B</b> Texas	Agent	Approved	05/16/2023
<b>B</b> Washington	Agent	Approved	08/21/2023

#### Branch Office Locations

5700 Granite Parkway  
Suite 330  
Plano, TX 75024


#### Employment 2 of 2

Firm Name: **ASTRA WEALTH MANAGEMENT GROUP**  
Main Address: 5700 GRANITE PARKWAY  
SUITE 330  
PLANO, TX 75024



## Qualifications

Firm ID#: 326006

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Approved	05/15/2023

## Branch Office Locations

**ASTRA WEALTH MANAGEMENT GROUP**  
5700 GRANITE PARKWAY  
SUITE 330  
PLANO, TX 75024



## 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
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	11/15/1975
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#### State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/29/2002
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Uniform Securities Agent State Law Examination (S63)	Series 63	07/21/1987
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### 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
B	05/16/2019 - 05/24/2023	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	PLANO, TX
IA	05/16/2019 - 05/24/2023	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	PLANO, TX
B	07/01/2003 - 05/16/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PLANO, TX
IA	07/01/2003 - 05/16/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PLANO, TX
B	08/22/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
IA	08/22/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	PLANO, TX
B	08/14/2000 - 09/13/2000	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	07/27/1998 - 08/14/2000	J.C. BRADFORD & CO.	CRD# 1287	NEW YORK, NY
B	03/02/1998 - 07/01/1998	DAIN RAUSCHER INCORPORATED	CRD# 31194	NEW YORK, NY
B	01/02/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	10/03/1994 - 01/02/1998	RAUSCHER PIERCE REFSNES, INC.	CRD# 6663	DALLAS, TX
B	03/26/1991 - 10/05/1994	SOUTHWEST SECURITIES, INC.	CRD# 6220	DALLAS, TX
B	08/30/1990 - 02/13/1991	BROKERS TRANSACTION SERVICES, INC.	CRD# 17587	DALLAS, TX
B	11/21/1989 - 10/18/1990	PRIME FINANCIAL SECURITIES, INC.	CRD# 15719	DENVER, CO
B	05/25/1983 - 11/09/1989	GILLESPIE & HOLLAND, INC.	CRD# 10691	
B	01/31/1980 - 08/27/1982	PAINE, WEBBER, JACKSON & CURTIS INC.	CRD# 8174	
B	11/17/1975 - 01/31/1980	PAINE, WEBBER, JACKSON & CURTIS INCORPORATED	CRD# 640	



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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### 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
05/2023 - Present	ASTRA WEALTH MANAGEMENT GROUP	Investment Advisor Representative	Y	PLANO, TX, United States
05/2023 - Present	PURSHE KAPLAN STERLING INVESTMENTS	REGISTERED REPRESENTATIVE	Y	Albany, NY, United States
05/2019 - 05/2023	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	PLANO, TX, United States
11/2016 - 05/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	PLANO, TX, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	PLANO, TX, 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. Astra Wealth Management Group. Investment Related. At Registered Location. RIA. IAR/Director. Investment Advisor through Outside RIA. 5/15/2023. 160 hrs/month all during trading hours. Investment management/provide financial advice to clients based on needs.
2. Fixed Insurance. Investment Related. At Registered Location. Independent Insurance Agency. Agent. Fixed/traditional insurance. 5/15/2023. 5 hrs/month all during trading hrs. Provide insurance advice based on the needs of clients.
3. PKSF. Investment Related. At Registered Location. Independent Insurance Agency. Agent. Fixed/traditional insurance. 5/15/2023. 5 hrs/month all during trading hrs. Provide insurance advice based on the needs of clients.
4. Tychee Wealth Partners. Not Investment Related. At Registered Location. Operating LLC/Support Company. Director. 4/25/2023. 0 hrs/month none during trading hours. No duties/operating company for RIA.
5. REH Holland LLC. Not Investment Related. At Registered Location. Operating LLC/Support Company. Director. LLC to receive commissions from RIA. 3/2019. 0 hrs/month none during trading hours. No duties/operating company for RIA.



## 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
Customer Dispute	3

### 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 3

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	WELLS FARGO ADVISORS, LLC
<b>Allegations:</b>	CLIENT ALLEGED SUITABILITY. (06/25/2007 -12/31/2008)
<b>Product Type:</b>	Other: WRAP ACCOUNTS
<b>Alleged Damages:</b>	\$45,763.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/06/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	12/15/2009

#### Settlement Amount:

**Individual Contribution Amount:**

**Broker Statement** IN THE SPRING OF 2007, I HAD SEVERAL CONVERSATIONS WITH THE FAMILY TO DISCUSS NEEDS FOR INCREASED CASH FLOW. DURING THE



CONVERSATIONS, I PROVIDED RECOMMENDATIONS BASED ON THE EXPRESSED NEEDS AND THE CLIENTS INVESTMENT OBJECTIVE. THE CLIENTS DID NOT INSTRUCT THAT ONLY A PERCENTAGE OF THE ACCOUNT BE INVESTED FOR INCREASED CASH FLOW PURPOSES. THE CLIENTS AGREED TO MY RECOMMENDATIONS AND THE ACCOUNT WAS INVESTED FOR OVER NINE MONTH BEFORE THEY INFORMED ME OF THEIR DISSATISFACTION IN THE WAY THE ACCOUNT HAD PERFORMED.

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.

**Allegations:** FORMER CLIENT ALLEGES THAT THE RECOMMENDATION TO CHANGE FROM INCOME MUTUAL FUNDS PORTFOLIO TO GROWTH MUTUAL FUNDS IN JULY AND AUGUST 1999 WAS UNSUITABLE.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$60,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?**

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD; CASE# 06-03652

**Date Notice/Process Served:** 08/14/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/02/2007

**Monetary Compensation Amount:** \$9,000.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** ARBITRATION SETTLED FOR LESS THAN \$10,000. PLEASE ARCHIVE.

.....

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** UBS FINANCIAL SERVICES INC.



**Allegations:** FORMER CLIENT ALLEGES THAT THE RECOMMENDATION TO CHANGE FROM INCOME MUTUAL FUNDS PORTFOLIO TO GROWTH MUTUAL FUNDS IN JULY AND AUGUST 1999 WAS UNSUITABLE.

**Product Type:** Mutual Fund(s)

**Alleged Damages:** \$60,000.00

### Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?**

**Status:** Arbitration/Reparation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE# 06-03652

**Date Notice/Process Served:** 08/14/2006

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 07/02/2007

**Monetary Compensation Amount:** \$9,000.00

**Individual Contribution Amount:** \$0.00

### Disclosure 3 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PSI

**Allegations:** ALLEGED MISREPRESENTATIONS REGARDING ANNUITY FEATURES

**Product Type:** Other

**Other Product Type(s):** ANNUITIES

**Alleged Damages:** \$150,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/04/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 11/04/2002

**Settlement Amount:**

**Individual Contribution  
Amount:****Arbitration Information****Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** [NASD 02-06293](#)**Date Notice/Process Served:** 11/04/2003**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 12/09/2003**Monetary Compensation  
Amount:** \$568,115.66**Individual Contribution  
Amount:** \$0.00**Firm Statement** FA IS JOINTLY AND SERVERALLY LIABLE**Reporting Source:** Individual**Employing firm when  
activities occurred which led  
to the complaint:** PAI**Allegations:** ALLEGED MISREPRESENTATIONS REGARDING ANNUITY FEATURES**Product Type:** Other**Other Product Type(s):** ANNUITIES**Alleged Damages:** \$150,000.00**Customer Complaint Information****Date Complaint Received:** 10/04/2002**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 11/04/2002**Settlement Amount:****Individual Contribution  
Amount:****Arbitration Information****Arbitration/Reparation Claim  
filed with and Docket/Case  
No.:** [NASD CASE NO. 02-06293](#)**Date Notice/Process Served:** 11/04/2002**Arbitration Pending?** No**Disposition:** Award to Customer**Disposition Date:** 11/04/2002**Monetary Compensation  
Amount:** \$568,115.66



<b>Individual Contribution Amount:</b>	\$0.00
<b>Broker Statement</b>	FA IS JOINTLY AND SERVERALLY LIABLE



## End of Report

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