



IAPD Report

STEVEN RAY HINKLE

CRD# 838034

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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

STEVEN RAY HINKLE (CRD# 838034)

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 **01/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WESTERN WEALTH MANAGEMENT LLC	CRD# 283545	07/08/2019

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	NTB ADVISORS, A DIVISION OF NTB FINANCIAL CORPORATION	7425	CENTENNIAL, CO	07/30/2015 - 07/09/2019
B	NTB FINANCIAL CORPORATION	7425	CENTENNIAL, CO	07/16/2015 - 07/09/2019
IA	DYNASTY CAPITAL MANAGEMENT, INC	152350	ENGLEWOOD, CO	01/28/2014 - 06/30/2016

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



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: **WESTERN WEALTH MANAGEMENT LLC**
Main Address: 14143 DENVER PKWY.,
STE 450
GOLDEN, CO 80401
Firm ID#: 283545

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	07/08/2019

Branch Office Locations

WESTERN WEALTH MANAGEMENT LLC
5251 DTC Parkway, Suite 1045
Greenwood Village, CO 80111



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	04/03/1990

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/21/1977

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/27/2014
Uniform Securities Agent State Law Examination (S63)	Series 63	02/09/1981

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	07/30/2015 - 07/09/2019	NTB ADVISORS, A DIVISION OF NTB FINANCIAL CORPORATION	CRD# 7425	CENTENNIAL, CO
B	07/16/2015 - 07/09/2019	NTB FINANCIAL CORPORATION	CRD# 7425	CENTENNIAL, CO
IA	01/28/2014 - 06/30/2016	DYNASTY CAPITAL MANAGEMENT, INC	CRD# 152350	ENGLEWOOD, CO
B	01/17/2003 - 07/29/2015	DYNASTY CAPITAL PARTNERS, INC.	CRD# 122806	GREENWOOD VILLAGE
B	09/30/2002 - 12/31/2009	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	GREENWOOD VILLAGE
B	07/24/2001 - 09/30/2002	SCHNEIDER SECURITIES, INC.	CRD# 16434	DENVER, CO
B	08/25/1986 - 07/23/2001	GLOBAL CAPITAL SECURITIES CORPORATION	CRD# 16184	ENGLEWOOD, CO
B	09/13/1978 - 08/29/1986	WALL STREET WEST, INC.	CRD# 7529	
B	05/04/1978 - 10/15/1978	DAIN, BOSWORTH INCORPORATED	CRD# 7600	
B	06/01/1977 - 05/04/1978	BOSWORTH SULLIVAN & COMPANY INCORPORATED	CRD# 103	

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
07/2019 - Present	Western Wealth Management	Investment Adviser Representative	Y	Greenwood Village, CO, United States
07/2015 - 07/2019	NEIDIGER, TUCKER, BRUNER INC.	REPRESENTATIVE / INVESTMENT ADVISOR	Y	ENGLEWOOD, CO, United States



Registration & Employment History



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.

05/01/2017
LLC - SRH Financial, Inc
0 HOURS



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

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: FINRA

Sanction(s) Sought: Other: n/a

Date Initiated: 01/12/2016

Docket/Case Number: [2014038969301](#)

Employing firm when activity occurred which led to the regulatory action: Dynasty Capital Partners, Inc.

Product Type: No Product

Allegations: Without admitting or denying the findings, Hinkle consented to the sanctions and to the entry of findings that he failed to establish, maintain, and enforce an adequate supervisory system and adequate WSPs to review trades for excessive and unsuitable trading. The findings stated that Hinkle also failed to reasonably supervise a registered representative despite being aware of several red flags that should have resulted in enhanced scrutiny and supervision of the registered representative's activities that exposed his customers to losses due to excessive trading or other sales practice violations. The findings also stated that the WSPs of Hinkle's member firm required all registered representatives to use a firm-issued Email address when conducting broker-dealer business. Hinkle used separate Email addresses for business conducted by the firm and its affiliated registered investment advisor. A review of Emails provided by the firm showed instances in which Hinkle used the registered investment advisor firm Email address to conduct firm business.

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:

01/12/2016

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: all principal capacities
Duration: 20 business days
Start Date: 02/01/2016
End Date: 02/29/2016

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 02/17/2016
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fine paid in full on February 17, 2016.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Suspension
Date Initiated: 01/12/2016
Docket/Case Number: [2014038969301](#)



Employing firm when activity occurred which led to the regulatory action:	Dynasty Capital Partners Inc #112806
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Hinkle consented to the sanctions and to the entry of finding that he failed to establish maintain, and enforce an adequate supervisory system and adequate WSP to review trades for excessive and unsuitable trading. The findings state that Hinkle also failed to reasonably supervise a registered rep despite being aware of several red flags that should have resulted in enhanced scrutiny and supervision of the registered reps activities that exposed his customer to losses due to excessive trading and other sales practice violations. The findings also state that the WSPs of Hinkles member firm required all registered representatives to use a firm issued Email address when conducting broker dealer business. Hinkle used seperate email addresses for business conducted by the firm and its affiliated registered investment advisor firm.
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?	Yes
Resolution Date:	01/12/2016
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Principal Capacities
Duration:	20 Business Days
Start Date:	02/01/2016
End Date:	02/29/2016
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Steve Hinkle is no longer acting in a principle/supervision role.



End of Report

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