IAPD Report

BRIAN CHARLES RALL

CRD# 855195

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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

BRIAN CHARLES RALL (CRD# 855195)

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 **12/01/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STRATEGIC RETIREMENT PARTNERS, LLC	CRD# 297011	06/27/2018

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	FIRST MONTAUK SECURITIES CORP.	13755	BELLEVUE, WA	10/03/2001 - 08/29/2002
B	FIRST MONTAUK SECURITIES CORP.	13755	RED BANK, NJ	09/07/2001 - 08/29/2002
B	CIBC WORLD MARKETS CORP.	630	NEW YORK, NY	09/02/1992 - 09/06/2001

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	4

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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: **STRATEGIC RETIREMENT PARTNERS, LLC**

Main Address: 1501 CALIFORNIA AVE SW
APT 307
SEATTLE, WA 98116

Firm ID#: 297011

	Regulator	Registration	Status	Date
IA	Washington	Investment Adviser Representative	Approved	06/27/2018

Branch Office Locations

STRATEGIC RETIREMENT PARTNERS, LLC
Seattle, WA

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7)	Series 7	07/15/1978

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/10/2018
B Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	10/03/2001 - 08/29/2002	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	BELLEVUE, WA
B	09/07/2001 - 08/29/2002	FIRST MONTAUK SECURITIES CORP.	CRD# 13755	RED BANK, NJ
B	09/02/1992 - 09/06/2001	CIBC WORLD MARKETS CORP.	CRD# 630	NEW YORK, NY
B	10/02/1989 - 09/02/1992	DAIN BOSWORTH INCORPORATED	CRD# 7600	
B	01/18/1985 - 10/05/1989	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	05/03/1983 - 12/17/1983	CHARTER INVESTMENT GROUP, INC.	CRD# 7410	
B	09/09/1980 - 04/26/1983	HAMMERBECK AND COMPANY, INC.	CRD# 1201	
B	11/01/1979 - 10/05/1980	FOSTER & MARSHALL INC.	CRD# 321	
B	07/26/1978 - 11/05/1979	BLACK & COMPANY, INC.	CRD# 95	

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
03/2018 - Present	Strategic Retirement Partners, LLC	President-Founder	Y	Seattle, WA, United States
07/2017 - 03/2018	UNEMPLOYED	N/A	N	SEATTLE, WA, United States
05/2012 - 07/2017	Paychex, Inc	Retirement Plan Sales Consultant	Y	Seattle, WA, 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.

C.S. Lewis Institute-Seattle 1501 California Ave SW, Suite 307, Seattle, WA 98116
Title: Director; Nature of business: Christian Education (non-profit) Non-investment related; Start date: 10/30/2022

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

Hours: 15 hours/mo 2 hours/mo during trading hours
Duties: Recruiting, speaking to Christian groups, organizing local events

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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.

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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	4

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 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC WORLD MARKETS CORP.

Allegations: CLAIMANT ALLEGES THAT MR. RALL ENGAGED IN UNATHORIZED TRADING, FAILED TO FOLLOW HIS INSTRUCTIONS, AND MADE UNSUITABLE INVESTMENT RECOMMENDATIONS. THE CLAIMANT SEEKS TO RECOVER DAMAGES IN EXCESS OF $250,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $250,000.00

Customer Complaint Information

Date Complaint Received: 10/29/2001

Complaint Pending? No

Status: Denied

Status Date: 02/22/2002

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

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Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS CORP.
Allegations:	CLAIMANT ALLEGES THAT MR. RALL ENGAGED IN UNAUTHORIZED TRADING, FAILED TO BOLLOW HIS INSTRUCTIONS AND MADE UNSUITABLE INVESTMENT RECOMMENDATIONS. THE CLAIMANT SEEKS TO RECOVER DAMAGES IN EXCESS OF $250000.00.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$250,000.00

Customer Complaint Information

Date Complaint Received:	10/29/2001
Complaint Pending?	No
Status:	Denied
Status Date:	02/22/2002
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CIBC WORLD MARKETS CORP.
Allegations:	AN ORAL CUSTOMER COMPLAINT BROUGHT BY [REDACTION] ALLEGED THAT MR. RALL ENTERED TRANSACTIONS IN HER ACCOUNT WITHOUT HER EXPRESS APPROVAL PRIOR TO EACH TRANSACTION. THE TRANSACTIONS IN THE ACCOUNT OCCURRED OVER A SIX YEAR PERIOD, WITH NO COMPLAINT BY THE CUSTOMER UNTIL AFTER SHE WITHDREW HER ORIGINAL PRINCIPAL.
Product Type:	No Product
Alleged Damages:	$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	05/21/1999
Complaint Pending?	No
Status:	Settled
Status Date:	09/14/1999
Settlement Amount:	$22,500.00
Individual Contribution Amount:	$22,500.00

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Arbitration Information

Disposition: Award to Customer

Disposition Date: 09/14/1999

Broker Statement ALL TRADES WERE SOLICITED AND DOCUMENTATION MAINTAINED. THE ISSUE CONCERNED CERTAIN ORDERS WHICH WERE EXECUTED AFTER A 24 OUR PERIOD FROM CONSENT. CLIENT HAD SIGNIFICANT POSITIVE INVESTMENT RETURNS OVER THE DURATION OF THE ACCOUNT RELATIONSHIP. SETTLED FOR $22,500.00

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations:

Product Type:

Alleged Damages: $70,595.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Litigation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Court Details: DISTRICT; 82-555

Date Notice/Process Served: 04/01/1983

Litigation Pending? No

Disposition: Settled

Disposition Date: 07/01/1984

Monetary Compensation Amount: $17,000.00

Individual Contribution Amount:

Firm Statement CUSTOMERS, DON STEVENSON INTERIORS, LTD., PROFIT SHARING TRUST,
BY DONALD R. STEVENSON, ARDIS M. STEVENSON AND KENNETH LEWIS TRUSTTES, FILED SUIT AGAINST BELFORD, HAMMERBECK, INC. AND BRIAN
C. RALL IN U.S.D.C. DISTRICT OF OR ALLEGING CHURNING, UNSUITABILITY, FRAUD, BREACH OF FIDUCIARY RELATIONSHIP, MISREPRESENTATION, FAILURE TO SUPERVISE, AND NEGLIGENCE IN THE CREATION AND HANDLING OF A MARGIN ACCOUNT. PLAINTIFFS DEMAND

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JURY TRAIL AND SEEK DAMAGES FOR THE TOTAL AMOUNT OF $70,595 WITH
INTEREST AND ATTORNEY FEES. CIVIL NO. 82-555. PENDING.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BELFORD HAMMERBECK

Allegations: CHURNING, UNSUITABILITY, FRAUD, BREACH OF FIDUCIARY RELATIONSHIP, MISREPRESENTATION, FAILURE TO SUPERVISE AND NEGLIGENCE. ALLEGED COMPENSATORY DAMAGES OF $70,595 WITHINTEREST AND ATTORNEY FEES.

Product Type: Debt-Corporate
Debt-Municipal
Equity-OTC
Equity Listed (Common & Preferred Stock)

Alleged Damages: $70,595.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Settled

Status Date: 07/01/1984

Settlement Amount: $17,000.00

Individual Contribution Amount: $0.00

Civil Litigation Information

Disposition: Settled

Disposition Date: 07/01/1984

Broker Statement THE COMPLAINT WAS SETTLED OUT OF COURT IN JULY, 1984 FOR $17,000.00 WITHOUT ADMISSION OF ANY WRONGDOING ON THE DEFENDANT'S PART.
CLIENT WAS A SOPHISTICATED INVESTOR. ALL TRANSACTIONS WERE SUITABLE, SOLICITED AND DOCUMENTATION OF CALLS WERE RECORDED. NET RETURNS, EXCLUDING NEW CONTRIBUTIONS WAS POSITIVE FOR THE DURATION OF THE ACCOUNT RELATIONSHIP.

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CIBC OPPENHEIMER CORP.

Allegations: MISREPRESENTATIONS, DAMAGES OF ALMOST $30,000.00

Product Type:

Alleged Damages: $30,000.00

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Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Association of Securities Dealers, Inc.; 88-03162

Date Notice/Process Served: 02/01/1989

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/01/1990

Monetary Compensation Amount: $29,000.00

Individual Contribution Amount:

Firm Statement OPPENHEIMER PAID $29,000.00
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CIBC OPPENHEIMER CORP.

Allegations: MISREPRESENTED STATUS AS CLAIMANT IN BANKRUPTCY. MISREPRESENTED TRADING OF "WHEN ISSUED" SECURITY. ALLEGED DAMAGES $8,000

Product Type: Derivative
Equity-OTC

Alleged Damages: $30,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 02/01/1989

Complaint Pending? No

Status: Settled

Status Date: 04/01/1990

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Settlement Amount:	$29,000.00
Individual Contribution Amount:	$0.00

Arbitration Information

Date Notice/Process Served:	02/01/1989
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/01/1990
Monetary Compensation Amount:	$29,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AN AWARD RENDERED AGAINST OPPENHEIMER IN THE AMOUNT OF $29,667.94. I WAS NAMED AS A PARTY IN THE ARBITRATION NOR WAS I MENTIONED IN ANYWAY. IN THE PANEL'S DECISION. OPPENHEIMER DOES NOT CONSIDER THIS AWARD TO BE AGAINST ME. Not Provided

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End of Report

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