



IAPD Report

KYE AUBREY ABRAHAM

CRD# 872944

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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

KYE AUBREY ABRAHAM (CRD# 872944)

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 **08/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ABRAHAM SECURITIES CORPORATION	CRD# 13498	10/20/1983
IA	ABRAHAM & CO., INC.	CRD# 299085	06/28/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **Yes**

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	ABRAHAM & CO., INC.	13498	GIG HARBOR, WA	03/17/2000 - 08/04/2019
B	FINANCIAL PLANNERS EQUITY CORPORATION	7420	GIG HARBOR, WA	10/08/1981 - 07/12/1982
B	PRIVATE LEDGER FINANCIAL SERVICES, INCORPORATED	6413	GIG HARBOR, WA	10/24/1979 - 11/18/1981

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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

This individual has 6 inactive or suspended registration(s).

Employment 1 of 2

Firm Name: **ABRAHAM & CO., INC.**
Main Address: GIG HARBOR, WA
Firm ID#: 299085

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Florida	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Nevada	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Oregon	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Tennessee	Investment Adviser Representative	Approved - Pending IAR CE	01/01/2026
IA Texas	Investment Adviser Representative	Approved	06/22/2021
IA Utah	Investment Adviser Representative	Approved	03/13/2023
IA Washington	Investment Adviser Representative	Approved	06/28/2019

Branch Office Locations

ABRAHAM & CO., INC.
GIG HARBOR, WA

Employment 2 of 2

Firm Name: **ABRAHAM SECURITIES CORPORATION**
Main Address: 3724 47TH STREET CT



Qualifications

Firm ID#: GIG HARBOR, WA 98335
13498

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Inactive - Continuing Education	10/20/1983
B FINRA	General Securities Representative	Inactive - Continuing Education	11/09/1983
B FINRA	General Securities Principal	Inactive - Continuing Education	02/23/1990
B FINRA	Introducing BD/Finan Operation Principal	Inactive - Continuing Education	03/22/1991
B FINRA	Operations Professional	Inactive - Continuing Education	12/06/2012
B FINRA	Compliance Officer	Inactive - Continuing Education	10/01/2018
B Washington	Agent	Approved	03/05/1992

Branch Office Locations

ABRAHAM & CO., INC.
3724 47TH STREET CT
GIG HARBOR, WA 98335

ABRAHAM & CO., INC.
GIG HARBOR, WA






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 3 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Compliance Officer Examination (S14)	Series 14	01/02/2023
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	03/21/1991
 General Securities Principal Examination (S24)	Series 24	02/14/1990

General Industry/Product Exams

Exam	Category	Date
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/20/1979

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	11/12/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	03/24/1981



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	03/17/2000 - 08/04/2019	ABRAHAM & CO., INC.	CRD# 13498	GIG HARBOR, WA
B	10/08/1981 - 07/12/1982	FINANCIAL PLANNERS EQUITY CORPORATION	CRD# 7420	
B	10/24/1979 - 11/18/1981	PRIVATE LEDGER FINANCIAL SERVICES, INCORPORATED	CRD# 6413	

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
03/2000 - Present	ABRAHAM & CO., INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	GIG HARBOR, WA, United States
01/1983 - Present	ABRAHAM SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	GIG HARBOR, WA, United States
12/1982 - Present	Caldera Partners Limited Partnership	General Partner	Y	Gig Harbor, WA, United States
08/1982 - Present	LKA Gold Incorporated	PRESIDENT, CHAIRMAN	N	Gig Harbor, 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.

1) LKA Gold Incorporated; Investment related: Yes; Location: 3724 47th Street Ct - Gig Harbor, WA 98335; Description: LKA Gold Incorporated (OTC:LKAI) is a publicly traded gold mining and exploration company with mining properties located in Colorado.; Position Title: President/Chairman; Responsibilities Duties: Chief Executive Officer; Start date: 1988-03-15; Hours during trading hours: 10; Hours outside trading hours: 20;

2) Abraham Securities Corporation; Investment related: Yes; Location: 3724 47th Street Ct - Gig Harbor, WA 98335; Description: Abraham Securities Corporation is a SEC registered Broker-Dealer which is a wholly-owned subsidiary of Abraham & Co., Inc. The Firm is a member of FINRA and SIPC.; Position Title: President/Chairman; Responsibilities Duties: Chief Compliance Officer, Principal, and Financial Operations Principal.; Start date: 1983-01-01; Hours during trading hours: 5; Hours outside trading hours: 5; Additional notes: This firm is current in its reporting to regulatory authorities but operationally inactive. It's parent company, Abraham & Co., Inc. currently intends to sell this entity.

3) Insurance Products; Investment related: Yes; Location: 3724 47th Street Ct - Gig Harbor, WA 98335; Description: In the course of structuring and implementing retirement planning for clients, Mr. Abraham often uses insurance products (specifically, fixed



Registration & Employment History



OTHER BUSINESS ACTIVITIES

index annuities) to help insulate investment portfolios from market volatility and increase income stability. These products usually pay non-negotiable commissions (paid by the insurance companies, not the client). This may potentially create a conflict of interest when recommending these products to clients vs traditional market-based instruments. Clients are not required to accept any recommendations involving these products or purchase them thru Mr. Abraham.; Position Title: Licensed Insurance Agent/Producer; Responsibilities Duties: insurance planning and recommendations; Start date: 2013-01-07; Hours during trading hours: 10; Hours outside trading hours: 10.

4) Caldera Partners Limited Partnership Investment related: Yes; Location: 3724 47th Street Ct - Gig Harbor, WA 98335; Description: Caldera Partners LP is a private limited partnership engaged in funding the gold mining and exploration project(s) of LKA Gold Incorporated (formerly LKA International, Inc.) with mining properties located in Colorado.; Position Title: General Partner; Responsibilities Duties: Managing the affairs of the Partnership; Start date: December 1982; Hours devoted to Partnership business during trading hours: < 2 hrs per month; Hours outside trading hours: 5 hrs per month.



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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/27/1987
Docket/Case Number:	SEA-440
Employing firm when activity occurred which led to the regulatory action:	ABRAHAM & CO., INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	07/28/1988
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	COMPLAINT NO. SEA-440 FILED NOVEMBER 27, 1987 BY DISTRICT NO. 1 AGAINST RESPONDENTS ABRAHAM & CO., INC. AND KYE AUBREY



ABRAHAM
 ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF
 FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THOROUGH
 RESPONDENT ABRAHAM EXECUTED SALES OF SHARES TO NINE
 INVESTORS
 AND, IN CONNECTION WITH THESE SALES, FAILED TO TAKE REASONABLE
 AND NECESSARY STEPS TO ENSURE THAT THESE SHARES WOULD BE
 TRANSFERRED TIMELY TO THE PURCHASERS.

DECISION RENDERED JULY 28, 1988, WHEREIN THE OFFER OF
 SETTLEMENT SUBMITTED BY THE RESPONDENTS WAS ACCEPTED;
 THEREFORE, RESPONDENTS ABRAHAM & CO., INC. AND KYE AUBREY
 ABRAHAM ARE EACH CENSURED AND FINED \$1,000.00, JOINTLY AND
 SEVERALLY.

\$1,000 FINE PAID J&S 12/19/88 - DEPOSIT #249

Reporting Source: Individual

Regulatory Action Initiated By: DBCC

Sanction(s) Sought: Censure

Date Initiated: 11/27/1987

Docket/Case Number: SEA-440

Employing firm when activity occurred which led to the regulatory action: Abraham & Co., Inc.

Product Type: No Product

Allegations: VIOLATION OF ARTICLE III SECTION 1 OF THE NASD'S RULES OF FAIR PRACTICE. THERE WERE NO SPECIFIC CLAIMS OR DAMAGES ALLEGED.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

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: 11/27/1987

Sanctions Ordered: Censure
 Monetary Penalty other than Fines
 Other: Decision & Order of Offer of Settlement Monetary/Fine Amount
 \$1,000.00
 (Paid if full)

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$1,000.00



Portion Levied against individual: \$1,000.00

Payment Plan: N/A

Is Payment Plan Current: Yes

Date Paid by individual: 12/13/1988

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

This was an NASD (FINRA) regulatory action taken against Mr. Abraham and Abraham & Co., Inc. in 1987. The Association determined that Mr. Abraham failed to take the appropriate steps to insure that one of Abraham & Co.'s customers received a stock certificate in a "timely manner" following a private placement (share purchase) by the customer in a telecommunications company (cellular provider). Mr. Abraham contends that there was no improper conduct and that he was prevented from prompt delivery of the certificate by the cellular provider's legal counsel due to a pending public offering of the company's shares. The certificate was delivered to the customer after the public offering and prior to this regulatory action. Mr. Abraham did not agree with the Association's findings but chose not to contest them. The fine was paid in full and the matter resolved on 12/13/1988.



End of Report

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