

BrokerCheck Report

BRUCE CAMERON AMMAN

CRD# 2130243

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

BRUCE C. AMMAN

CRD# 2130243

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B LPL FINANCIAL LLC**
CRD# 6413
GOLDEN, CO
09/2008 - 07/2020
- B CITIGROUP GLOBAL MARKETS INC.**
CRD# 7059
DENVER, CO
05/2007 - 07/2008
- B CITICORP INVESTMENT SERVICES**
CRD# 23988
DENVER, CO
01/2006 - 05/2007

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Criminal	2
Termination	1
Judgment/Lien	3

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/26/2003
B General Securities Representative Examination	Series 7	04/30/1991

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	03/30/2001
B Uniform Securities Agent State Law Examination	Series 63	05/08/1991

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2008 - 07/2020	LPL FINANCIAL LLC	6413	GOLDEN, CO
B 05/2007 - 07/2008	CITIGROUP GLOBAL MARKETS INC.	7059	DENVER, CO
B 01/2006 - 05/2007	CITICORP INVESTMENT SERVICES	23988	DENVER, CO
B 02/1999 - 01/2006	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B 09/1993 - 11/1998	PIPER JAFFRAY INC.	665	MINNEAPOLIS, MN
B 05/1991 - 09/1993	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
09/2020 - Present	PVG Asset Management Corporation	President of PVG Family Office , Investment Adviser Representative	Y	Centennial, CO, United States
08/2015 - 07/2020	LPL FINANCIAL	FINANCIAL ADVISOR	Y	DENVER, CO, United States
05/2007 - 08/2015	Citi Private Bank	VICE PRESIDENT, PRIVATE BANKER	Y	DENVER, CO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	1	0
Criminal	0	2	0
Termination	N/A	1	N/A
Judgment/Lien	3	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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:

Date Initiated: 04/20/2022

Docket/Case Number: [2020067292901](#)

Employing firm when activity occurred which led to the regulatory action: LPL Financial LLC

Product Type: Other: private placement

Allegations: Without admitting or denying the findings, Amman consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving one of his member firm customers without providing prior written notice to the firm. The findings stated that the customer, a sophisticated investor, was selling partnership interests in a limited partnership which would generate large capital gains and he wanted to invest in a specialized tax-advantaged investment that would offset those gains. Amman introduced the customer to a third party with experience in these types of investments. In addition to making the introduction, Amman also provided information about the customer to the third party, participated in two phone calls with the customer and the third party, and facilitated the wire transfer out of the customer's firm account used to fund the investment.



The customer invested approximately \$3.5 million in the investment, which was a security and structured as a private placement. The customer did not complain. In addition, when asked on an annual firm questionnaire whether he had participated in a private securities transaction, Amman incorrectly answered “no.”

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:	04/20/2022
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 capacities
Duration:	12 months
Start Date:	05/02/2022
End Date:	05/01/2023

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:** deferred**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:****Date Initiated:** 04/20/2022**Docket/Case Number:** [2020067292901](#)**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC**Product Type:** Other: private placement

Allegations: Without admitting or denying the findings, Amman consented to the sanctions and to the entry of findings that he participated in a private securities transaction involving one of his member firm customers without providing prior written notice to the firm. The findings stated that the customer, a sophisticated investor, was selling partnership interests in a limited partnership which would generate large capital gains and he wanted to invest in a specialized tax-advantaged investment that would offset those gains. Amman introduced the customer to a third party with experience in these types of investments. In addition to making the introduction, Amman also provided information about the customer to the third party, participated in two phone calls with the customer and the third party, and facilitated the wire transfer out of the customer's firm account used to fund the investment. The customer invested approximately \$3.5 million in the investment, which was a



security and structured as a private placement. The customer did not complain. In addition, when asked on an annual firm questionnaire whether he had participated in a private securities transaction, Amman incorrectly answered "no."

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Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All capacities
Duration:	12 months
Start Date:	05/02/2022
End Date:	05/01/2023
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	deferred
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Organization Name (if charge(s) were brought against an organization over which broker exercised control):	ON 6/12/04 I WAS CHARGED WITH DISTURBING THE PEACE IN HERMOSA BEACH, CA. THIS IS WHAT WAS NEGOTIATED AFTER BEING ARRESTED FOR INTERRUPTING AN INVESTIGATION AND DISTURBING THE PEACE.
Court Details:	CASE NUMBER 4SB05085 MISDEMEANOR CHARGE OF DISTURBING THE PEACE IN SOUTHWEST COURT OF TORRANCE, CA.
Charge Date:	06/12/2004
Charge Details:	CASE NUMBER 4SB05085 HERMOSA BEACH 1)ONE COUNT 2)MISDEMEANOR CHARGE OF DISTURBING THE PEACE 3)GUILTY 4)N/A 1 COUNT OBSTRUCTING, MISDEMEANOR, NOT GUILTY
Felony?	No
Current Status:	Final
Status Date:	09/15/2004
Disposition Details:	CASE NUMBER 4SB05085 MISDEMEANOR CHARGE OF DISTURBING THE PEACE IN SOUTHWEST COURT OF TORRANCE, CA. OBSTRUCTION DISMISSED.
Broker Statement	MEANWHILE A SEALED COURT DOCUMENT WILL FOLLOW. DISMISSED

Disclosure 2 of 2

Reporting Source:	Broker
Court Details:	COURT ARIZONA JDS 0047-09-891
Charge Date:	02/21/1987
Charge Details:	I WAS CHARGED WITH MISDEMEANOR SHOPLIFTING (VALUE LESS THAN \$100.00) AND FALSE INFORMATION TO A POLICE OFFICER.
Felony?	No
Current Status:	Final



Status Date: 02/21/1987

Disposition Details: MISDEMEANOR- AN EIGHT HOUR CLASS

Broker Statement

IN 1987 I WAS INVOLVED IN AN INCIDENT THAT ENDED IN COMPLETE EXPUNCTION. I WAS CHARGED WITH MISDEMEANOR SHOPLIFTING AND FALSE INFORMATION TO A POLICE OFFICER. THIS INCIDENT INCLUDED SEVERAL PEOPLE WHOM WERE INVOLVED IN THE WRONGFUL TAKING OF PROPERTY FROM A DEPARTMENT STORE. AT THE TIME I WAS SOCIAL CHAIRMAN FOR A FRATERNITY AND WAS HELD RESPONSIBLE. THE MISDEMEANOR CHARGE CAME BECAUSE THE VALUE WAS LESS THAN ON HUNDRED DOLLARS. THE FALSE INFORMATION WAS A FALSE BIRTHDATE GIVEN.

I ACCEPT FULL RESPOSIBILITY FOR THE WRONGDOINGS THAT TOOK PLACE IN MY COLLEGE DAYS AND HAVE NO EXCUSES. THIS KIND OF ACTIVITY WAS AN ERROR IN JUDGEMENT, JUVENIAL AND EMBARRASSING.

I ASSURE YOU THIS INCIDENT IS NOT A REFLECTION OF MY INTEGRITY. I HAVE REQUESTED THE CHARGE INFORMATION FROM THE FEDERAL BUREAU OF INVESTIGATION AND ACCORDING TO THE INFORMATION FROM THE ARIZONA COURT SYSTEM; ALL ARREST DATA HAS BEEN DELETED FROM THE COURT FILETHE EVENT TOOK PLACE WHEN I WAS 18YRS. IT WAS A FRATERNITY INCIDENT. THE ONLY REASON I WAS TAKEN INTO THE SCOTTSDALE POLICE DEPT. WAS BECAUSE I DI NOT HAVE ANY PROPER ID. I INFORMED THE POLICE OFFICER I WAS 17 YR OLD THINKING I WOULD BE LET OFF. THEREFORE I WAS CHARGED WITH A FALSE INFORMATION MISDEMEANOR. TO THE BEST OF MY KNOWLEDGE BOTH WERE EXPUNGED.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Employer Name:	LPL Financial LLC
Termination Type:	Discharged
Termination Date:	06/19/2020
Allegations:	Use of short-term mutual fund product switches in brokerage accounts.
Product Type:	Mutual Fund



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$21,799.60
Judgment/Lien Type:	Tax
Date Filed with Court:	08/06/2019
Date Individual Learned:	09/18/2019
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	ARAPAHO COUNTY, CO
Docket/Case #:	D9078609
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEAR 2018

Disclosure 2 of 3

Reporting Source:	Broker
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$32,450.19
Judgment/Lien Type:	Tax
Date Filed with Court:	07/19/2018
Date Individual Learned:	05/15/2019
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	SEATTLE, WA
Docket/Case #:	D8074693
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEARS 2015, 2016 & 2017.

**Disclosure 3 of 3**

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$97,803.99
Judgment/Lien Type:	Tax
Date Filed with Court:	05/13/2016
Date Individual Learned:	06/01/2016
Type of Court:	County
Name of Court:	Arapahoe County Clerk and Recorder
Location of Court:	Littleton, CO
Docket/Case #:	D6053166
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX 2008, 2010, 2011, 2012, 2013 & 2014.

End of Report



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