

BrokerCheck Report

ADAM K. VERON

CRD# 4508315

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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.](http://www.finra.org)

ADAM K. VERON

CRD# 4508315

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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

QUESTAR CAPITAL CORPORATION

CRD# 43100
LAKE CHARLES, LA
09/2013 - 02/2017

LPL FINANCIAL LLC

CRD# 6413
LAKE CHARLES, LA
09/2009 - 10/2013

MUTUAL SERVICE CORPORATION

CRD# 4806
LAKE CHARLES, LA
10/2008 - 09/2009

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
Termination	2

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.

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
No information reported.		

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	06/18/2002
General Securities Representative Examination	Series 7	11/16/2006

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	09/17/2002
Uniform Investment Adviser Law Examination	Series 65	02/20/2003

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
09/2013 - 02/2017	QUESTAR CAPITAL CORPORATION	43100	LAKE CHARLES, LA
09/2009 - 10/2013	LPL FINANCIAL LLC	6413	LAKE CHARLES, LA
10/2008 - 09/2009	MUTUAL SERVICE CORPORATION	4806	LAKE CHARLES, LA
10/2002 - 10/2008	AMERICAN GENERAL SECURITIES INCORPORATED	13626	LAKE CHARLES, LA
06/2002 - 10/2002	FRANKLIN FINANCIAL SERVICES CORPORATION	5435	HOUSTON, TX

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 Dates	Employer Name	Employer Location
09/2013 - Present	QUESTAR ASSET MANAGEMENT	MINNEAPOLIS, MN
09/2013 - Present	QUESTAR CAPITAL CORPORATION	MINNEAPOLIS, MN
09/2009 - 09/2013	LPL FINANCIAL CORPORATION	LAKE CHARLES, LA
10/2007 - 09/2013	STRATEGIC FINANCIAL CONCEPTS, LLC	SAN ANTONIO, TX
10/2008 - 09/2009	MUTUAL SERVICE CORPORATION	LAKE CHARLES, LA
10/2002 - 10/2008	AIG AMERICAN GENERAL LIFE INS COMPANY	LAKE CHARLES, LA
10/2002 - 10/2008	AMERICAN GENERAL SECURITIES INCORPORATED	LAKE CHARLES, LA

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.



Registration and Employment History

Other Business Activities, continued

QUESTAR ASSET MANAGEMENT

POSITION: IAR. NATURE: INVESTMENT ADVISORY. INVESTMENT RELATED: YES NUMBER OF HOURS: 5
SECURITIES TRADING HOURS: 5 START DATE: 09/16/2013
ADDRESS: 4560 LAKE ST, LAKE CHARLES LA 70605.
DESCRIPTION: INVESTMENT ADVISORY SERVICES.

ASSET PLANNING & CONSULTING LLC

POSITION: INSURANCE AGENT. NATURE: SALES AND SERVICE. INVESTMENT RELATED: YES NUMBER OF
HOURS: 80 SECURITIES TRADING HOURS: 80 START DATE: 10/01/2013
ADDRESS: 4560 LAKE ST, LAKE CHARLES, LA 70605.
DESCRIPTION: FIXED ANNUITIES, LIFE, HEALTH, DISABILITY, LTC, EMPLOYEE BENEFITS, PROPERTY &
CASUALTY

ADVANCED MEDICAL EQUIPMENT & SUPPLIES, LLC,

POSITION: 50% OWNER. NATURE: DURABLE MEDICAL EQUIPMENT COMPANY. INVESTMENT RELATED: NO
NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 5 START DATE: 10/01/2013
ADDRESS: 1013 E MCNEESE ST, LAKE CHARLES LA 70607.
DESCRIPTION: GENERAL OVERSIGHT OF COMPANY OPERATIONS.

OLD SCHOOL POBOYS LLC

POSITION: OWNER. NATURE: FOOD SALES. INVESTMENT RELATED: NO NUMBER OF HOURS: 35 SECURITIES
TRADING HOURS: 20 START DATE: 05/15/2014
ADDRESS: 1614 SAMPSON ST WEST, LAKE CHARLES LA 70669.
DESCRIPTION: RESTAURANT OWNER.

OLD SCHOOL POBOYS LAKE LLC

POSITION: PART OWNER. NATURE: FOOD SALES. INVESTMENT RELATED: NO NUMBER OF HOURS: 20
SECURITIES TRADING HOURS: 10 START DATE: 12/01/2014
ADDRESS: 4404 LAKE ST, LAKE CHARLES LA 70605.
DESCRIPTION: RESTAURANT.

QUESTAR ASSET MANAGEMENT DBA ASSET PLANNING & CONSULTING LLC

POSITION: INVESTMENT ADVISOR REPRESENTATIVE. NATURE: INVESTMENT ADVISORY. INVESTMENT
RELATED: YES NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 09/16/2013
ADDRESS: 4560 LAKE ST, LAKE CHARLES LA 70605.
DESCRIPTION: INVESTMENT ADVISORY SERVICES.

CENTRAL MARKETING GROUP LLC

POSITION: OWNER. NATURE: PROPERTY HOLDING COMPANY. INVESTMENT RELATED: NO NUMBER OF
HOURS: 15 SECURITIES TRADING HOURS: 5 START DATE: 10/01/2013
ADDRESS: 4560 LAKE ST, LAKE CHARLES, LA 70605.
DESCRIPTION: PROPERTY HOLDINGS.



Registration and Employment History

Other Business Activities, continued

DIABETIC AND COMFORT SHOESTORE

POSITION: OWNER NATURE: MEDICAL SUPPLY SALES. INVESTMENT RELATED: NO NUMBER OF HOURS: 10

SECURITIES TRADING HOURS: 5 START DATE: 12/01/2013

ADDRESS: 1013 E MCNEESE ST LAKE CHARLES LA 70607.

DESCRIPTION: RETAIL SALES.

VOTUM SAPIENTIA LLC

POSITION: OWNER. DESCRIPTION: FAMILY HOLDING COMPANY. INVESTMENT RELATED: NO NUMBER OF

HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 07/01/2014

ADDRESS: 4560 LAKE ST, LAKE CHARLES LA 70605.

DESCRIPTION: FAMILY HOLDINGS.

CENTRAL MARKETING GROUP, LLC

POSITION: Owner. NATURE: Owns Franchise rights to all restaurants. Is Franchisor. INVESTMENT RELATED: No

NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2014

ADDRESS: 4560 Lake St, Lake Charles LA 70605

DESCRIPTION: Meet with GM on % due from each restaurant.



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.
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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
Termination	N/A	2	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.

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 2

Reporting Source:	Firm
Employer Name:	Questar Asset Management
Termination Type:	Discharged
Termination Date:	02/09/2017
Allegations:	Registrant failed to report an outside business activity on a timely basis in violation of firm policies and procedures for an affiliated firm of the RIA.
Product Type:	No Product

Disclosure 2 of 2

Reporting Source:	Firm
Employer Name:	Questar Capital Corporation
Termination Type:	Discharged
Termination Date:	02/09/2017
Allegations:	Registrant failed to report an outside business activity on a timely basis in violation of firm policies and procedures
Product Type:	No Product

End of Report



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