

Varner, et al. v. Atlas44, LLC, et al.
Case No. CV-2018-053074
Amended Verified Complaint

Exhibit 1

(Documents reflecting James Nielsen's Law License, CPA and Securities Broker registration)



Investment Adviser Representative Public Disclosure Report

JAMES ANDREW NIELSEN

CRD# 5479680

Report #93334-42265, data current as of Tuesday, August 21, 2018.

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IAPD Information about Investment Adviser Representatives

IAPD offers information on all current-and many former-Investment Adviser Representatives. Investors are strongly encouraged to use IAPD to check the background of Investment Adviser Representatives before deciding to conduct, or continue to conduct, business with them.

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

- IAPD reports for individual Investment Adviser 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 Investment Adviser 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 Investment Adviser 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 Investment Adviser Representatives.
-

- **How current is this information?**

- Generally, Investment Adviser 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 Investment Adviser 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>.



Investment Adviser Representative Report Summary

JAMES ANDREW NIELSEN (CRD# 5479680)

The report summary provides an overview of the Investment Adviser Representative's professional background and conduct. The information contained in this report has been provided by the Investment Adviser 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 Investment Adviser Representative, a previous employing firm, or a securities regulator on 01/11/2016.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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 Investment Adviser Representative was previously registered with the following Investment Adviser firms:

FIRM (IARD#) - LOCATION	REGISTRATION DATES
JAT INVESTMENT ADVISORS (IARD# 118022) - SCOTTSDALE, AZ	03/28/2013 - 01/11/2016
EXETER FINANCIAL, LLC (IARD# 143420) - SCOTTSDALE, AZ	08/08/2012 - 03/27/2013
JAT INVESTMENT ADVISORS (IARD# 118022) - SCOTTSDALE, AZ	02/05/2008 - 10/27/2011

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 Investment Adviser Representative? **No**



Investment Adviser Representative Qualifications

REGISTRATIONS

This section provides the states and U.S. territories in which the Investment Adviser Representative is currently registered and licensed, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the Investment Adviser Representative is currently employed, the address of each location where the Investment Adviser Representative works.

This individual is not currently registered as an Investment Adviser Representative.



Investment Adviser Representative Qualifications

PASSED INDUSTRY EXAMS

This section includes all required state securities exams that the Investment Adviser Representative has passed. Under limited circumstances, an Investment Adviser Representative may attain registration after receiving an exam waiver based on a combination of exams the Investment Adviser Representative has passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on an Investment Adviser Representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed the following exams:

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/29/2008

PROFESSIONAL DESIGNATIONS

This section details that the Investment Adviser Representative has reported **0** professional designation(s).

No information reported.



Investment Adviser Representative Registration and Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
03/28/2013 - 01/11/2016	JAT INVESTMENT ADVISORS	118022	SCOTTSDALE, AZ
08/08/2012 - 03/27/2013	EXETER FINANCIAL, LLC	143420	SCOTTSDALE, AZ
02/05/2008 - 10/27/2011	JAT INVESTMENT ADVISORS	118022	SCOTTSDALE, AZ

EMPLOYMENT HISTORY

Below is the Investment Adviser Representative's employment history for up to the last 10 years.

Please note that the Investment Adviser Representative is required to provide this information only while registered and the information is not updated after the Investment Adviser Representative ceases to be registered, with a state regulator. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.

Employment Dates	Employer Name	Employer Location
11/2011 - Present	CSJEFFERSON COMPANIES, LLC	PHOENIX, AZ
10/2011 - Present	EXETER FINANCIAL LLC	SCOTTSDALE, AZ
07/2010 - Present	CREDITSUPPLIERS, LLC	SCOTTSDALE, AZ
10/2007 - Present	NIELSEN CONSULTING	SCOTTSDALE, AZ
02/2008 - 10/2011	JAT INVESTMENT ADVISORS	SCOTTSDALE, AZ
11/2008 - 05/2010	SAGE CREEK CAPITAL, LLC	SCOTTSDALE, AZ

OTHER BUSINESS ACTIVITIES

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

NIELSEN CONSULTING, LLC
7541 E. VIA ESTRELLA, SCOTTSDALE, ARIZONA
BUSINESS ADVISORY AND CONSULTING
PRESIDENT
START: 10/2007
10 HRS/MO
BUSINESS CONSULTING AND FUND RAISING

CREDIT SUPPLIERS, LLC
7541 E. VIA ESTRELLA, SCOTTSDALE, ARIZONA
CREDIT AND COLLECTIONS
CEO
START: 06/2011
5 HRS/MO
BUSINESS CONSULTING

CS JEFFERSON COMPANIES, LLC



Investment Adviser Representative Registration and Employment History

OTHER BUSINESS ACTIVITIES

DBA LIEN GIANT
7541 E. VIA ESTRELLA, SCOTTSDALE, ARIZONA
CREDIT AND COLLECTIONS
CEO
START: 08/2011
40 HRS/MO
LEGAL DOCUMENT PREPARATION SERVICE

SAGE CREEK CAPITAL, LLC
8501 N. SCOTTSDALE RD. STE 125
SCOTTSDALE, AZ 85253
REAL ESTATE INVESTMENT
MANAGER
START: 11/2008
1 HRS/MO
MANAGE POTENTIAL PRIVATE REAL ESTATE INVESTMENT OPPORTUNITIES



End of Report

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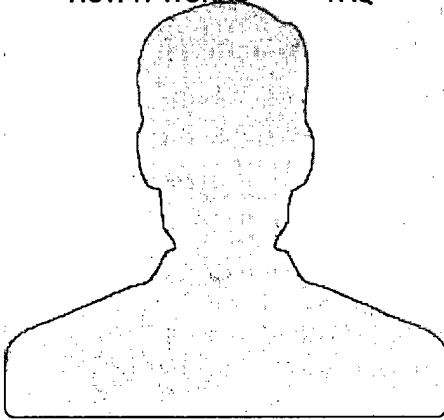
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James A Nielsen

Message

*To message attorneys, please create an account here (/accounts/signup_as_client/JamesANIelsen).

Contact Information

No Contact Information Published

Discipline

None

Miscellaneous

Status: Active

Admitted to Practice Law: 2000

Board Certified Specialization: None

Admitted to State Bar of Arizona: January 25, 2000

Professional Liability Insurance: Not required to report

Other Language(s): None

Biography

No Information added

Areas of Law and Practice

Areas of Law	Areas of Practice
Business Law	Business Start-Ups
Corporate Law	Corporate Commercial Law

Jurisdictions

Arizona (Active)

Law School

Arizona State

Last Updated: August 21, 2018

\$ Typical Hourly Fee:
Typical Fixed Fee:
Typical Contingency Fee:

 Accept Credit Cards: No

 Free Consultations: No

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for Individuals:

Category = LastName

Criteria = Nielsen

Tip: You can re-sort this list by clicking on column headings.

[STATUS DEFINITIONS](#)



Snow Capped Black Hills Mountains Prescott Arizona

Directory Parameters

A "registrant" means any certified public accountant (CPA) or CPA firm. This directory only lists registrants that the Board is currently regulating or has regulated in the last ten years. Please read the [Status Definition link](#) above to learn which statuses are regulated and which are not. Individuals and firms are separately regulated so a search of both, if applicable, is more complete. To inquire about registrants that have not been regulated in over ten years please call our office at (602) 364-0804 or send an email to info@azaccountancy.gov. Registrants may practice in states other than Arizona and [CPA Verify](#) may be an additional resource.

Column Interpretations



Issued - This is the original date the certificate was issued and does not reflect continuous licensure in Arizona for those registrants who have canceled, expired, relinquished or been revoked and later returned as a regulated CPA.

Name / Address - Registrants are listed by their individual or firm name (not necessarily legal name) as they are currently registered with the Board. A registrant must notify the Board of any change in name or address of record which could be either residential or business within 30 days.

Status / Status as of - The Status is the registrant's current standing with the Board effective since the "Status as of" date and does not reflect any board actions prior to that date. For instance, a currently held "active" type of certificate/registration may have been on "probation" or "suspension" previously.

Orders - If a registrant has been subject to disciplinary action, except for suspension for non-registration, the column represents the number of disciplinary orders since 2001. By selecting the number, the disciplinary order with the findings of fact, conclusions of law, and order requirements may be viewed.

Certificate #	Issued	Last Name	First Name	Middle	Suffix	Status	Status as of	City	State	Country	Orders
1622	02/11/1974	NIELSEN	GARY	LEE		Expired	12/01/2015	PHOENIX	AZ		
4720	08/12/1985	NIELSEN	GREGORY	WAYNE		Active	11/05/2014	Mesa	AZ		
12630	05/12/2003	NIELSEN	JAMES	ANDREW		Active	07/05/2013	Scottsdale	AZ		
18375	05/17/2018	NIELSEN	WILLIAM	DAVID		Active	06/17/2018	Phoenix	AZ		
6602	05/14/2018	NIELSEN	PETER	A.		Active	06/15/2018	Phoenix	AZ		

