BrokerCheck Report

CORPORATE FINANCE SECURITIES, INC.

CRD# 143453

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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.
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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.

CORPORATE FINANCE SECURITIES, INC.

CRD# 143453

SEC# 8-67566

Main Office Location

120 VANTIS DRIVE
SUITE 300
ALISO VIEJO, CA 92656
Regulated by FINRA Los Angeles Office

Mailing Address

120 VANTIS DRIVE
SUITE 300
ALISO VIEJO, CA 92656

Business Telephone Number

949-305-6710

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 10/03/2006.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 26 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 5 types of businesses.

This firm is not affiliated with any financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**

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Firm Profile

This firm is classified as a corporation.

This firm was formed in Delaware on 10/03/2006.

Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

CORPORATE FINANCE SECURITIES, INC.

Doing business as CORPORATE FINANCE SECURITIES, INC.

CRD# 143453

SEC# 8-67566

Main Office Location

120 VANTIS DRIVE
SUITE 300
ALISO VIEJO, CA 92656

Regulated by FINRA Los Angeles Office

Mailing Address

120 VANTIS DRIVE
SUITE 300
ALISO VIEJO, CA 92656

Business Telephone Number

949-305-6710

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Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	ACADEMY ASSOCIATES LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	12/2019
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CENTAURUS PARTNERS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	03/2013
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CORPORATE FINANCE ASSOCIATES MINNESOTA, INC.
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	04/2010
Percentage of Ownership	10% but less than 25%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CORPORATE FINANCE ASSOCIATES NEW ENGLAND, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	10/2006
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CORPORATE FINANCE ASSOCIATES, INC. A TEXAS CORPORATION
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	03/2013
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	CORPORATE FINANCE ASSOCIATES, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	04/2010
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HEYDENRYCH FAMILY TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	10/2006
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	POWELL, PATRICK SCOTT 5778669
Is this a domestic or foreign entity or an individual?	Individual
Position	SHAREHOLDER
Position Start Date	04/2010
Percentage of Ownership	10% but less than 25%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	AARKENSTONE QUEST, LLC

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Firm Profile

Direct Owners and Executive Officers (continued)

Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SHAREHOLDER
Position Start Date	01/2025
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HEYDENRYCH, HELENA JOANNA 5305105
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER, TRUSTEE
Position Start Date	01/2000
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HEYDENRYCH, PETER MICHAEL 5304971
Is this a domestic or foreign entity or an individual?	Individual
Position	PRINCIPAL OPERATIONS OFFICER,FINANCIAL AND OPERATIONS PRINCIPAL, TRUSTEE
Position Start Date	12/2008
Percentage of Ownership	Less than 5%

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Firm Profile

Direct Owners and Executive Officers (continued)

Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SINYARD, DAVID BLAIR 5122340
Is this a domestic or foreign entity or an individual?	Individual
Position	CCO, AMLCO
Position Start Date	01/2011
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ST. GERMAIN, ROBERT PAUL 5384187
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO, CHAIRMAN
Position Start Date	02/2017
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

Legal Name & CRD# (if any):	GERBERMAN, JAMES HUGO 5915680
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	AARKENSTONE QUEST, LLC
Relationship to Direct Owner	OWNER
Relationship Established	01/2025
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	MOORE, PETER GEORGE
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES NEW ENGLAND, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	12/2005
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	SINYARD, DAVID BLAIR 5122340

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Firm Profile

Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	12/2003
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	WRIGHT, JEFFREY ALAN 6012389
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES MINNESOTA, INC.
Relationship to Direct Owner	OWNER
Relationship Established	01/2019
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HEYDENRYCH, HELENA JOANNA
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is	HEYDENRYCH FAMILY TRUST

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Firm Profile

Indirect Owners (continued)

established

Relationship to Direct Owner	TRUSTEE
Relationship Established	01/2000
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	HEYDENRYCH, PETER
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	HEYDENRYCH FAMILY TRUST
Relationship to Direct Owner	TRUSTEE
Relationship Established	01/2000
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	REGISTER, THOMAS MATTHEW 5524914
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CENTAURUS PARTNERS, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	03/2013

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Firm Profile

Indirect Owners (continued)

Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	WALDEN, GEORGE ARNOLD II 2656168
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CENTAURUS PARTNERS, LLC
Relationship to Direct Owner	PARTNER
Relationship Established	03/2013
Percentage of Ownership	50% but less than 75%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	FICK, TERRY D 5854002
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES, INC., A TEXAS CORPORATION
Relationship to Direct Owner	OWNER
Relationship Established	03/2013
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of	No

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Firm Profile

Indirect Owners (continued)

the firm?

Is this a public reporting company?	No

Legal Name & CRD# (if any):	PURIFOY, BRAD ASHLAND 5841948
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES, INC., A TEXAS CORPORATION
Relationship to Direct Owner	OWNER
Relationship Established	04/2014
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	VERMEIRE, DANIEL KEVIN 6174909
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	CORPORATE FINANCE ASSOCIATES, INC., A TEXAS CORPORATION
Relationship to Direct Owner	OWNER
Relationship Established	03/2013
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

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Firm Profile

Indirect Owners (continued)

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Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

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Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 26 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	09/17/2007

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	09/17/2007

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Arizona	Approved	05/05/2025
Arkansas	Approved	01/05/2026
California	Approved	10/29/2007
Florida	Approved	09/15/2011
Georgia	Approved	10/27/2009
Idaho	Approved	01/13/2020
Illinois	Approved	06/01/2010
Indiana	Approved	04/15/2019
Kentucky	Approved	06/03/2010
Maine	Approved	10/29/2007
Maryland	Approved	10/04/2024
Massachusetts	Approved	09/15/2011
Michigan	Approved	01/30/2018
Minnesota	Approved	03/25/2010
Nebraska	Approved	01/12/2024
New Hampshire	Approved	06/28/2011
New Jersey	Approved	01/07/2013
New York	Approved	11/07/2012
Ohio	Approved	01/09/2008
Pennsylvania	Approved	10/06/2025
Tennessee	Approved	11/07/2019
Texas	Approved	01/10/2008
Vermont	Approved	10/09/2013
Virginia	Approved	06/03/2026
Washington	Approved	09/24/2021
Wyoming	Approved	04/21/2025

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Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 5 types of businesses.

Types of Business

Real estate syndicator
Broker or dealer selling oil and gas interests
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Private placements of securities
Other - CFS WILL ENGAGE IN ACTIVITIES RELATED TO MERGER AND ACQUISITIONS TRANSACTIONS. IN ADDITION, CFS WILL REFER INVESTORS TO A THIRD PARTY BROKER-DEALER FOR EXECUTION OF GENERAL SECURITIES AND INSURANCE BUSINESS. FOR THIS SERVICE, CFS WILL RECEIVE A PORTION OF THE COMMISSIONS GENERATED IN ANY ACCOUNT OPENED WITH THE THIRD PARTY BROKER-DEALER.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

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Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

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Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

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End of Report

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