

BrokerCheck Report

PEAK BROKERAGE SERVICES, LLC

CRD# 157045

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Firm Profile	2 - 9
Firm History	10
Firm Operations	11 - 20
Disclosure Events	21



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.



PEAK BROKERAGE SERVICES, LLC

CRD# 157045

SEC# 8-68829

Main Office Location

1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999
Regulated by FINRA Florida Office

Mailing Address

1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999

Business Telephone Number

561-641-5050

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 limited liability company.

This firm was formed in Georgia on 02/16/2011.

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
- 51 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? No

This firm conducts 12 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm has 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? Yes

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Firm Profile

This firm is classified as a limited liability company.
This firm was formed in Georgia on 02/16/2011.
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.

PEAK BROKERAGE SERVICES, LLC
Doing business as PEAK BROKERAGE SERVICES, LLC
CRD# 157045
SEC# 8-68829

Main Office Location
1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999
Regulated by FINRA Florida Office

Mailing Address
1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999

Business Telephone Number
561-641-5050

Other Names of this Firm

Name	Where is it used
BLACKRIDGE ASSET MANAGEMENT, LLC	AR, AZ, CA, CO, CT, DC, DE, FL, GA, IL, IN, KS, KY, LA, MA, MD, MI, MN, MO, NC, NE, NH, NJ, NY, OH, OR, PA, PR, SC, TN, TX, UT, VA, VT, WA, WI
TOP ADVISORS GROUP	AK, AR, AZ, CA, CO,

CT, DC, DE, FL, GA,
HI, IA, ID, IL, IN, KS,
KY, LA, MA, MD, ME,
MI, MN, MO, MS, MT,
NC, ND, NE, NH, NJ,
NM, NV, NY, OH, OK,
OR, PA, RI, SC, SD,
TN, TX, UT, VA, WA,
WI, WV, WY



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):	FINANCIAL SERVICES HOLDINGS, LLC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	SOLE SHAREHOLDER
Position Start Date	02/2025
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):	COKER, KAREN 2731928
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF RISK OFFICER
Position Start Date	02/2025
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):	HALVOSA, JAMES 2603382
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	03/2025

Firm Profile



Direct Owners and Executive Officers (continued)

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): MUELLER, CHRISTOPHER BRIAN
2098597

Is this a domestic or foreign entity or an individual? Individual

Position CHIEF OPERATIONS OFFICER

Position Start Date 03/2023

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): REYNOLDS, MATTHEW MARK
4077413

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT/FINOP

Position Start Date 01/2023

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): RUDNICK, REGINA MARY

Firm Profile



Direct Owners and Executive Officers (continued)

	2373530
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT/HEAD OF ADVISOR SERVICES
Position Start Date	02/2023
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



Firm Profile

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

Indirect Owners

Legal Name & CRD# (if any):	JAMES J. TITAK IRREVOCABLE TRUST
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	FINANCIAL SERVICES HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	02/2025
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
<hr/>	
Legal Name & CRD# (if any):	PARKER, RICHARD WILSON 5497397
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	JAMES J. TITAK IRREVOCABLE TRUST
Relationship to Direct Owner	TRUSTEE, JAMES J. TITAK IRREVOCABLE TRUST
Relationship Established	02/2025
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
<hr/>	
Legal Name & CRD# (if any):	PARKER, RICHARD WILSON 5497397

Firm Profile



Indirect Owners (continued)

Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	FINANCIAL SERVICES HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	02/2025
Percentage of Ownership	25% but less than 50%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	PELUSO, JOHN GABRIEL JR. 1902776
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	FINANCIAL SERVICES HOLDINGS, LLC
Relationship to Direct Owner	OWNER
Relationship Established	02/2025
Percentage of Ownership	Other General Partners
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	REYNOLDS, MATTHEW MARK 4077413
Is this a domestic or foreign entity or an individual?	Individual

Firm Profile



Indirect Owners (continued)

Company through which indirect ownership is established FINANCIAL SERVICES HOLDINGS, LLC

Relationship to Direct Owner OWNER

Relationship Established 02/2025

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): TITAK, JAMES JOHN
1008441

Is this a domestic or foreign entity or an individual? Individual

Company through which indirect ownership is established FINANCIAL SERVICES HOLDINGS, LLC

Relationship to Direct Owner OWNER

Relationship Established 02/2025

Percentage of Ownership Other General Partners

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Firm History

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

No information reported.





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 51 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	08/09/2011

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: Yes

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	08/09/2011



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	09/11/2015
Alaska	Approved	07/16/2015
Arizona	Approved	03/20/2014
Arkansas	Approved	07/27/2015
California	Approved	05/03/2012
Colorado	Approved	07/16/2015
Connecticut	Approved	09/02/2015
Delaware	Approved	08/02/2015
District of Columbia	Approved	08/03/2015
Florida	Approved	09/09/2011
Georgia	Approved	08/19/2011
Hawaii	Approved	09/22/2015
Idaho	Approved	07/02/2015
Illinois	Approved	09/25/2015
Indiana	Approved	01/14/2015
Iowa	Approved	07/02/2015
Kansas	Approved	09/09/2011
Kentucky	Approved	07/06/2015
Louisiana	Approved	07/20/2015
Maine	Approved	08/05/2015
Maryland	Approved	07/31/2015
Massachusetts	Approved	08/06/2015
Michigan	Approved	08/22/2011
Minnesota	Approved	07/01/2015
Mississippi	Approved	08/06/2015
Missouri	Approved	08/29/2011
Montana	Approved	08/26/2015
Nebraska	Approved	07/23/2015
Nevada	Approved	11/17/2011
New Hampshire	Approved	09/03/2015
New Jersey	Approved	09/21/2015
New Mexico	Approved	09/10/2015
New York	Approved	07/06/2015

U.S. States & Territories	Status	Date Effective
North Carolina	Approved	01/19/2012
North Dakota	Approved	07/20/2015
Ohio	Approved	08/20/2015
Oklahoma	Approved	09/02/2011
Oregon	Approved	08/10/2015
Pennsylvania	Approved	07/06/2015
Rhode Island	Approved	08/03/2015
South Carolina	Approved	11/18/2014
South Dakota	Approved	08/04/2015
Tennessee	Approved	09/08/2015
Texas	Approved	06/18/2013
Utah	Approved	07/06/2015
Vermont	Approved	08/18/2015
Virginia	Approved	07/30/2015
Washington	Approved	07/20/2015
West Virginia	Approved	07/29/2015
Wisconsin	Approved	07/28/2015
Wyoming	Approved	08/07/2015



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 12 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
U S. government securities broker
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Solicitor of time deposits in a financial institution
Put and call broker or dealer or option writer
Broker or dealer selling tax shelters or limited partnerships in primary distributions
Non-exchange member arranging for transactions in listed securities by exchange member
Private placements of securities
Broker or dealer involved in a networking, kiosk or similar arrangement with a: bank, savings bank or association, or credit union

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.

This firm does engage in other non-securities business.

Non-Securities Business Description: THE FIRM OFFERS FIXED LIFE INSURANCE AND ANNUITIES.



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 refer or introduce customers to other brokers and dealers.

Name: RAYMOND JAMES & ASSOCIATES, INC.

CRD #: 705

Business Address: 880 CARILLON PARKWAY
ST PETERESBURG, FL 33716

Effective Date: 09/18/2015

Description: FULLY DISCLOSED BD.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE H0004-05E
ST. LOUIS, MO 63103

Effective Date: 08/18/2025

Description: PEAK BROKERAGE SERVICES INTRODUCES CUSTOMER ACCOUNTS TO FIRST CLEARING* ON A FULLY DISCLOSED BASIS. *FIRST CLEARING IS A TRADE NAME OF WELLS FARGO CLEARING SERVICES, LLC

Firm Operations

Industry Arrangements



This firm does have books or records maintained by a third party.

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE H0004-05E
ST. LOUIS, MO 63103

Effective Date: 08/18/2025

Description: PEAK BROKERAGE SERVICES CLIENT RECORDS ARE MAINTAINED BY FIRST CLEARING* AS WELL AS BY THE APPLICANT. *FIRST CLEARING IS A TRADE NAME OF WELLS FARGO CLEARING SERVICES, LLC

Name: MYCOMPLIANCEOFFICE

Business Address: 535 5TH AVE
NEW YORK, NY 10017

Effective Date: 01/01/2025

Description: COMPLIANCE PLATFORM FOR CODE OF ETHICS, ACQ, AND ALL REQUIRED COMPLIANCE APPROVALS. ALL INFORMATION GATHERED IS ALSO ARCHIVED HERE.

Name: BRISTAL LANE GROUP

Business Address: 300 E. MAIN ST.
CARMEL, IN 46032

Effective Date: 11/14/2022

Description: BRISTAL LANE GROUP PROVIDES OUTSOURCED FINOP, FINANCIAL, AND COMPLIANCE SERVICES TO PEAK BROKERAGE SERVICES.

Name: MIRRORWEB

Business Address: 600 CONGRESS AVE STE. 14020
AUSTIN, TX 78701

Effective Date: 03/04/2024

Description: USED TO ARCHIVE SOCIAL MEDIA AND EMAILS

This firm does have accounts, funds, or securities maintained by a third party.

Name: RAYMOND JAMES & ASSOCIATES, INC.

CRD #: 705

Firm Operations



Industry Arrangements (continued)

Business Address: 880 CARILLON PARKWAY
ST PETERESBURG, FL 33716

Effective Date: 09/18/2015

Description: RAYMOND JAMES HOLDS A DEPOSIT FOR PEAK

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE H0004-05E
ST. LOUIS, MO 63103

Effective Date: 08/18/2025

Description: FIRST CLEARING* HOLDS THE ACCOUNTS, FUNDS AND SECURITIES OF PEAK AS FOLLOWS: CLEARING DEPOSIT ACCOUNT, MANAGEMENT FEE ACCOUNTS, SETTLEMENT ACCOUNT, CASH FLOW ACCOUNT AND INVESTMENT ACCOUNT. *FIRST CLEARING IS A TRADE NAME OF WELLS FARGO CLEARING SERVICES, LLC

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: RAYMOND JAMES & ASSOCIATES, INC.

CRD #: 705

Business Address: 880 CARILLON PARKWAY
ST PETERESBURG, FL 33716

Effective Date: 09/18/2015

Description: PEAK IS TRANSITIONING FROM RAYMOND JAMES TO WELLS FARGO CLEARING SERVICES (WFCS). DURING THIS TRANSITION, THERE IS A 30 DAY OVERLAP, WHERE ACCOUNTS/FUNDS/SECURITIES MAY BE AT EITHER RAYMOND JAMES OR WFCS. THE ARRANGEMENT WITH RAYMOND JAMES WILL TERMINATE ON OR BEFORE 9/18/2025

Name: WELLS FARGO CLEARING SERVICES, LLC

CRD #: 19616

Business Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE H0004-05E
ST. LOUIS, MO 63103

Effective Date: 08/18/2025

Description: PEAK IS TRANSITIONING FROM RAYMOND JAMES TO WELLS FARGO CLEARING SERVICES (WFCS). DURING THIS TRANSITION, THERE IS A 30 DAY OVERLAP, WHERE ACCOUNTS/FUNDS/SECURITIES MAY BE AT

Firm Operations



Industry Arrangements (continued)

EITHER RAYMOND JAMES OR WFCS. THE ARRANGEMENT WITH
RAYMOND JAMES WILL TERMINATE ON OR BEFORE 9/18/2025

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.



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, 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.

BLUE DIAMOND SECURITIES OF AMERICA LLC is under common control with the firm.

CRD #:	158821
Business Address:	216 EAST 45TH STREET SUITE 1302 NEW YORK, NY 10017
Effective Date:	01/31/2025
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	PRESIDENT AND PRINCIPAL

TRUEEDGE ASSET MANAGEMENT, LLC is under common control with the firm.

Business Address:	484 EAST CARMEL DRIVE #137 CARMEL, IN 46032
Effective Date:	04/12/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	MATTHEW REYNOLDS PRESIDENT AND MANAGING MEMBER OF TRUEEDGE

THURSTON SPRINGER ADVISORS is under common control with the firm.

Firm Operations



Organization Affiliates (continued)

CRD #: 299201

Business Address: 9000 KEYSTONE CROSSING
SUITE 740
INDIANAPOLIS, IN 46240

Effective Date: 01/31/2025

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: BOTH FIRMS HAVE COMMON OWNERSHIP.

THURSTON SPRINGER FINANCIAL is under common control with the firm.

CRD #: 8478

Business Address: 9000 KEYSTONE CROSSING
SUITE 740
INDIANAPOLIS, IN 462400

Effective Date: 01/31/2025

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: FIRMS HAVE COMMON OWNERSHIP

BLACKRIDGE ASSET MANAGEMENT, LLC is under common control with the firm.

CRD #: 277085

Business Address: 1070 EAST INDIANTOWN ROAD
SUITE 208
JUPITER, FL 33477

Effective Date: 01/20/2016

Foreign Entity: No

Firm Operations



Organization Affiliates (continued)

Country:**Securities Activities:** Yes**Investment Advisory Activities:** Yes**Description:** PEAK REPS LLC IS THE HOLDING COMPANY FOR BOTH PEAK BROKERAGE SERVICES AND BLACKRIDGE ASSET MANAGEMENT.

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



Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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.
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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Firm

Current Status: Final



Allegations: THE NEVADA BRANCH OF THE FIRM FAILED TO MAINTAIN A COMPLAINT FILE. REPRESENTATIVE FAILED TO MAINTAIN SEPARATION BETWEEN TWO ENTITIES IN THE SAME PHYSICAL OFFICE SPACE AND POTENTIAL USE OF NON BROKER DEALER EMAILS TO CONDUCT BROKER DEALER BUSINESS

Initiated By: NEVADA

Date Initiated: 06/10/2019

Docket/Case Number: NEVADA CASE # C 117-076

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought:

Resolution: Order

Resolution Date: 06/21/2019

Sanctions Ordered: Monetary/Fine \$8,000.00

Other Sanctions Ordered: NONE

Sanction Details: THE MONETARY DETAILS ARE OUTLINED IN #13.

Firm Statement THE FIRM PAID AN \$8,000 FINE AND 879.63 IN ADMINISTRATIVE CHARGES.CHECK 2115 WAS CASHED BY NEVADA ON 6/24/2019.

End of Report



This page is intentionally left blank.