

BrokerCheck Report

INTEGRAL WEALTH SECURITIES LLC

CRD# 36143

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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.



INTEGRAL WEALTH SECURITIES LLC

CRD# 36143

SEC# 8-47026

Main Office Location

200 VESEY ST.
24TH FLOOR
NEW YORK, NY 10281
Regulated by FINRA New York Office

Mailing Address

200 VESEY ST.
24TH FLOOR
NEW YORK, NY 10281

Business Telephone Number

888-799-8856

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 Pennsylvania on 01/01/2002.

Its fiscal year ends in June.

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
- 46 U.S. states and territories

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

This firm conducts 2 types of businesses.

This firm is affiliated with 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? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2



Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Pennsylvania on 01/01/2002.

Its fiscal year ends in June.

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.

INTEGRAL WEALTH SECURITIES LLC

Doing business as INTEGRAL WEALTH SECURITIES LLC

CRD# 36143

SEC# 8-47026

Main Office Location

200 VESEY ST.
24TH FLOOR
NEW YORK, NY 10281

Regulated by FINRA New York Office

Mailing Address

200 VESEY ST.
24TH FLOOR
NEW YORK, NY 10281

Business Telephone Number

888-799-8856



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): AMERA HOLDINGS LLC

Is this a domestic or foreign entity or an individual? Domestic Entity

Position DIRECT OWNER

Position Start Date 06/2019

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): GIBSON, JOHN

7661898

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

Position CEO/CCO

Position Start Date 05/2025

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): PETERS, ROBERT WILLIAM

1704577

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

Position FINOP, PRINCIPAL FINANCIAL OFFICER, PRINCIPAL OPERATIONS OFFICER

Position Start Date 08/2019

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?	No
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):	INTEGRAL CAPITAL PARTNERS INC.
Is this a domestic or foreign entity or an individual?	Foreign Entity
Company through which indirect ownership is established	WALL STREET HOLDINGS INC.
Relationship to Direct Owner	OWNER
Relationship Established	07/2023
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):	WALL STREET HOLDINGS INC
Is this a domestic or foreign entity or an individual?	Domestic Entity
Company through which indirect ownership is established	AMERA HOLDINGS LLC
Relationship to Direct Owner	OWNER
Relationship Established	03/2018
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

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 46 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/08/1994

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	11/08/1994



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/05/2022
Alaska	Approved	02/03/2021
Arizona	Approved	10/14/2015
Arkansas	Approved	01/19/2017
California	Approved	01/27/2017
Colorado	Approved	08/27/2012
Connecticut	Approved	02/03/2021
Delaware	Approved	03/12/2021
Florida	Approved	03/06/2015
Georgia	Approved	01/27/2017
Hawaii	Approved	06/08/2021
Idaho	Approved	02/04/2021
Illinois	Approved	06/22/2022
Indiana	Approved	05/08/2023
Iowa	Approved	08/20/2020
Kansas	Approved	09/12/2013
Kentucky	Approved	03/19/2021
Louisiana	Approved	01/23/2017
Maine	Approved	06/09/2015
Maryland	Approved	02/23/2021
Massachusetts	Approved	01/26/2021
Michigan	Approved	02/02/2017
Minnesota	Approved	05/24/2021
Mississippi	Approved	02/16/2021
Missouri	Approved	02/01/2017
Montana	Approved	03/18/2021
Nebraska	Approved	04/27/2023
Nevada	Approved	05/17/2022
New Jersey	Approved	10/18/2004
New Mexico	Approved	01/31/2017
New York	Approved	01/23/2017
North Carolina	Approved	01/24/2017
North Dakota	Approved	02/19/2021

U.S. States & Territories	Status	Date Effective
Ohio	Approved	01/13/2021
Oklahoma	Approved	01/23/2017
Oregon	Approved	08/18/2020
Pennsylvania	Approved	01/19/2017
Rhode Island	Approved	02/03/2021
South Carolina	Approved	01/19/2021
South Dakota	Approved	02/25/2021
Tennessee	Approved	01/26/2021
Texas	Approved	01/17/2017
Utah	Approved	02/18/2021
Washington	Approved	01/14/2021
Wisconsin	Approved	02/10/2021
Wyoming	Approved	02/17/2021



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 2 types of businesses.

Types of Business

Private placements of securities

Other - THE APPLICANT IS APPROVED TO ENGAGE IN THE FOLLOWING TYPES OF BUSINESS:
PRIVATE PLACEMENT OF SECURITIES (ON A BEST EFFORTS BASIS ONLY),
MUTUAL FUND WHOLESALER,
CORPORATE ADVISORY SERVICES

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:

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.

Firm Operations

Industry Arrangements



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

Name:	ADVISOR VAULT
Business Address:	842 BROADVIEW AVENUE TORONTO, CANADA M4K 2R1
Effective Date:	02/18/2019
Description:	APPLICANT SUBSCRIBES TO ADVISOR VAULT'S SERVICE TO ELECTRONICALLY ARCHIVE SOME OR ALL OF ITS RECORDS AS REQUIRED BY SEC RULE 17A-4.

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.



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.**

INTEGRAL WEALTH SECURITIES LIMITED is under common control with the firm.

Business Address:	181 UNIVERSITY AVE. SUITE 1600 TORONTO, CANADA M5H 3M7
Effective Date:	07/11/2023
Foreign Entity:	Yes
Country:	CANADA
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	INTEGRAL WEALTH SECURITIES LIMITED AND THE APPLICANT ARE UNDER COMMON CONTROL OF INTEGRAL CAPITAL PARTNERS INC.

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	2	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 2

Reporting Source: Regulator

Current Status: Final



Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO TIMELY FILE WITH FINRA OFFERING DOCUMENTS RELATED TO 18 PRIVATE PLACEMENTS. THE FINDINGS STATED THAT INSTEAD OF MAKING THE REQUIRED FILINGS FOR THESE OFFERINGS WITHIN 15 CALENDAR DAYS OF THE DATE OF FIRST SALE, THE FIRM MADE THE FILINGS BETWEEN 14 DAYS AND 1,020 DAYS LATE, WITH TWELVE OF THESE FILINGS MADE MORE THAN ONE YEAR LATE.

Initiated By: FINRA

Date Initiated: 07/18/2025

Docket/Case Number: [2023077014001](#)

Principal Product Type: Other

Other Product Type(s): PRIVATE PLACEMENTS

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/18/2025

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$20,000.

Reporting Source: Firm

Current Status: Final

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT IT FAILED TO TIMELY FILE WITH FINRA OFFERING DOCUMENTS RELATED TO 18 PRIVATE PLACEMENTS. THE FINDINGS STATED THAT INSTEAD OF MAKING THE



REQUIRED FILINGS FOR THESE OFFERINGS WITHIN 15 CALENDAR DAYS OF THE DATE OF FIRST SALE, THE FIRM MADE THE FILINGS BETWEEN 14 DAYS AND 1,020 DAYS LATE, WITH TWELVE OF THESE FILINGS MADE MORE THAN ONE YEAR LATE.

Initiated By: FINRA

Date Initiated: 07/18/2025

Docket/Case Number: [2023077014001](#)

Principal Product Type: Other

Other Product Type(s): PRIVATE PLACEMENTS

Principal Sanction(s)/Relief Sought: Other

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 07/18/2025

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: THE FIRM WAS CENSURED AND FINED \$20,000.

Firm Statement THE FIRM AGREED TO THE AWC ON 07/01/2025 AND THE AWC WAS ACCEPTED BY FINRA ON 07/18/2025. THE STATUS IS CLOSED.

Disclosure 2 of 2

Reporting Source: Regulator

Current Status: Final

Allegations: SECURITIES EXCHANGE ACT OF 1934 RULE 17A-4 AND 17A-4(I)(2)(II); FINRA RULE 2010; NASD RULES 2110, 3010(D), 3110:
THE FIRM'S REPRESENTATIVES USED NON-FIRM EMAIL ACCOUNTS FOR BUSINESS-RELATED COMMUNICATIONS. THE FIRM WAS AWARE OF SUCH USE AND FAILED TO RETAIN AND REVIEW ALL OF THESE EMAILS AS REQUIRED BY SECTION 17(A) OF THE SECURITIES EXCHANGE ACT OF 1934 (EXCHANGE ACT) AND RULE 17A-4 THEREUNDER.
IN ADDITION, THE FIRM FAILED TO PRESERVE EMAILS IN THE MANNER REQUIRED BY EXCHANGE ACT RULE 17A-4. SPECIFICALLY, THE FIRM DID NOT HAVE A SYSTEM TO PRESERVE ITS EMAILS IN A NON-REWRITEABLE, NON-ERASABLE FORMAT.



THE FIRM HAD WRITTEN SUPERVISORY PROCEDURES (WSPS) THAT MANDATED, INTER ALIA, THE MONTHLY REVIEW OF CORRESPONDENCE AND A RECORD OF SUCH REVIEWS. THE FIRM FAILED TO ENFORCE THESE PROCEDURES.

Initiated By: FINRA

Date Initiated: 01/02/2014

Docket/Case Number: [2012030599001](#)

Principal Product Type: No Product

Other Product Type(s):

Principal Sanction(s)/Relief Sought:

Other Sanction(s)/Relief Sought:

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 01/02/2014

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Sanctions Ordered: Censure
Monetary/Fine \$32,500.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE IT IS CENSURED AND FINED \$32,500. FINE PAID IN FULL JANUARY 25, 2016.

Reporting Source: Firm

Current Status: Final

Allegations: SECURITIES EXCHANGE ACT OF 1934 RULE 17A-4 AND 17A-4(1)(2)(11); FINRA RULE 2010; NASD RULES 2110, 3010(D), 3110: CERTAIN OF THE FIRM'S REPRESENTATIVES USED NON-FIRM EMAIL ACCOUNTS FOR BUSINESS RELATED COMMUNICATIONS. THE FIRM FAILED TO PRESERVE EMAILS IN THE MANNER REQUIRED, IT DID NOT HAVE A SYSTEM TO



PRESERVE THE EMAILS IN A NON-ERASABLE, NON-REWRITABLE FORMAT AND FAILED TO ENFORCE ITS WSPS THAT MANDATED MONTHLY REVIEW OF EMAILS AND RECORDING OF SUCH REVIEWS.

Initiated By:	FINRA
Date Initiated:	01/02/2014
Docket/Case Number:	2012030599001
Principal Product Type:	Other
Other Product Type(s):	PLACEMENT AGENT/THIRD PARTY MARKETER
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	01/02/2014
Sanctions Ordered:	Censure Monetary/Fine \$32,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, THE FIRM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE IT IS CENSURED AND FINED \$32,500.00.
Firm Statement	THIS ISSUE OCCURRED UNDER THE PREVIOUS OWNERS OF THE FIRM.

End of Report



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