

BrokerCheck Report

Deetra Marie Tesla

CRD# 2567278

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



Deetra M. Tesla

CRD# 2567278

Currently employed by and registered with the following Firm(s):

- B** **TCFG WEALTH MANAGEMENT, LLC**
MISSOURI CITY, TX
CRD# 164153
Registered with this firm since: 03/05/2014

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 registered with:

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B** **AUGMENT CAPITAL, LLC**
CRD# 322519
AUSTIN, TX
11/2023 - 04/2026
- B** **PORTSMOUTH FINANCIAL SERVICES**
CRD# 13980
SAN FRANCISCO, CA
01/2023 - 08/2023
- B** **AMERICAN ALTERNATIVE CAPITAL, LLC**
CRD# 309956
Irvine, CA
08/2021 - 07/2022

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
Customer Dispute	1



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 individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **TCFG WEALTH MANAGEMENT, LLC**

Main Office Address: **28202 CABOT ROAD, SUITE 305
LAGUNA NIGUEL, CA 92677**

Firm CRD#: **164153**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	03/05/2014
B	FINRA	General Securities Representative	Approved	03/05/2014
B	FINRA	Operations Professional	Approved	03/05/2014
B	FINRA	Compliance Officer	Approved	10/01/2018

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/05/2014
B	Connecticut	Agent	Approved	12/06/2021
B	Florida	Agent	Approved	01/13/2021
B	Maryland	Agent	Approved	01/19/2017
B	Massachusetts	Agent	Approved	01/13/2021
B	Nevada	Agent	Approved	03/29/2022
B	New Hampshire	Agent	Approved	08/30/2021
B	New Jersey	Agent	Approved	01/13/2021
B	New York	Agent	Approved	07/15/2020



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	South Carolina	Agent	Approved	11/04/2021
B	Texas	Agent	Approved	03/05/2014
B	Washington	Agent	Approved	12/22/2021
B	West Virginia	Agent	Approved	02/03/2016

Branch Office Locations

TCFG WEALTH MANAGEMENT, LLC
MISSOURI CITY, TX



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. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/02/2023
B Compliance Officer Examination	Series 14	01/02/2023

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Limited Representative-Equity Trader Exam	Series 55	04/24/2000
B General Securities Representative Examination	Series 7	01/16/1995

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/26/1995

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/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 11/2023 - 04/2026	AUGMENT CAPITAL, LLC	322519	AUSTIN, TX
B 01/2023 - 08/2023	PORTSMOUTH FINANCIAL SERVICES	13980	SAN FRANCISCO, CA
B 08/2021 - 07/2022	AMERICAN ALTERNATIVE CAPITAL, LLC	309956	Irvine, CA
B 11/2021 - 04/2022	LEX	304601	NEW YORK, NY
B 05/2016 - 07/2020	VOLEO USA, INC	273027	Missouri city, TX
B 09/2019 - 04/2020	COINSHARES CAPITAL LLC	170506	New York, NY
B 10/2019 - 03/2020	NEXTREND SECURITIES, INC.	43710	AUSTIN, TX
B 07/2018 - 01/2019	MML INVESTORS SERVICES, LLC	10409	SPRINGFIELD, MA
B 02/2018 - 12/2018	WINDWARD CAPITAL, INC.	142245	Missouri City, TX
B 01/2014 - 04/2014	LION STREET FINANCIAL, LLC	165828	MISSOURI CITY, TX
B 12/2012 - 12/2013	TCFG WEALTH MANAGEMENT, LLC	164153	MISSOURI CITY, TX
B 10/2010 - 01/2012	ALPHA OMEGA CAPITAL SECURITIES, LLC	133822	GLEN ALLEN, VA
B 05/2005 - 09/2009	NELSONREID, INC.	45503	HOUSTON, TX
B 06/2006 - 01/2007	HUCKIN FINANCIAL GROUP, INC.	8593	HOUSTON, TX
B 11/2002 - 04/2003	NAVILLUS SECURITIES, INC.	31230	WEST CONSHOHOCKEN, PA
B 06/1999 - 12/2000	NEXTREND TRADING, INC.	43710	AUSTIN, TX
B 10/1998 - 05/1999	A I M DISTRIBUTORS, INC.	7369	HOUSTON, TX
B 01/1998 - 07/1998	ADVANTAGE SECURITIES	42879	HOUSTON, TX
B 01/1995 - 04/1997	BLOCK TRADING INC.	36666	HOUSTON, TX

Employment History



Registration and Employment History

Employment History, continued

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	Employer Name	Position	Investment Related	Employer Location
04/2017 - Present	Aliso Solutions, LLC	Owner, Managing Director	N	Missouri City, TX, United States
05/2012 - Present	TCFG WEALTH MANAGEMENT, LLC	Chief Compliance Officer	Y	LAGUNA NIGUEL, CA, United States
11/2023 - 04/2026	Augment Capital, LLC	Chief Compliance Officer	Y	Austin, TX, United States
01/2023 - 07/2023	Portsmouth Financial	Chief Compliance Officer	Y	San Francisco, CA, United States
10/2021 - 03/2022	LEX MARKETS LLC	CUSTOMER ONBOARDING SUPERVISOR	Y	NEW YORK, NY, United States
08/2015 - 06/2020	Voleo USA, INC	Second Principal	Y	Vancouver, Canada
09/2019 - 04/2020	CoinShares Capital	CCO	Y	Clarks Summit, PA, United States
06/2018 - 12/2018	MML Investors Services, LLC	Reg Rep	Y	Missouri City, TX, United States
05/2018 - 12/2018	MassMutual	Consultant	Y	Springfield, MA, United States
02/2005 - 04/2017	DNM CONSULTING	PRESIDENT	N	MISSOURI CITY, TX, United States

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.

TCFG Wealth Management and TCFG Investment Advisors | 3/05/2014 | 10323 Deerpark drive Missouri City TX 77459 | Compliance |

Aliso Solutions, LLC | 03/2017 | 10323 Deerpark Drive, Sienna Plantation, TX 77459 | Managing Partner, Founder | Compliance consulting
 |Aliso Solutions LLC, is a compliance consulting firm. The time is as needed during and after market hours. I serve in the capacity as needed for

Registration and Employment History



Other Business Activities, continued

compliance consulting clients, assisting with compliance needs such as filings, audits or operational consulting. This sometimes requires registration with firms as a principal or CCO. This company was previously Aliso Advisors |



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
Customer Dispute	1	0	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.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: TCFG WEALTH MANAGEMENT, LLC

Allegations: Claimant alleges that, at an unspecified time after September 2022, a former registered representative of the Firm recommended overconcentrated positions in unsuitable Delaware Statutory Trusts ("DSTs"), which were designed to (and did) provide tax benefits in the form of delayed or avoided capital gains taxes following Claimant's recent sale of real estate property. As to the registered representative and/or the Firm, Claimant asserts claims for breach of fiduciary duty, negligence, negligent supervision, fraud, breach of contract, violation of the Securities Exchange Act, and violation of the Florida Securities and Investor Protection Act. As to Ms. Tesla, Claimant asserts only a single claim for liability under the Securities Exchange Act, based solely on conclusory allegations of status as a "control person" of the Firm.

Product Type: Other: Delaware Statutory Trust ("DST")

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimants do not specify any damages or damages amount, but allege damages of \$1,000,000 to \$5,000,000, "stated solely for the purpose of complying with FINRA Code of Arbitration Procedure section 12900."

Arbitration Information



Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA Dispute Resolution
Docket/Case #:	26-00475
Date Notice/Process Served:	03/11/2026
Arbitration Pending?	Yes
Broker Statement	Ms. Tesla believes that the claims asserted (including in particular the single claim asserted as against her) are without any merit, in intends to vigorously defend the claim asserted against her.

End of Report



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