BrokerCheck Report

RICHARD FREITAG

CRD# 2587780

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.

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.

RICHARD FREITAG

CRD# 2587780

This broker is not currently registered.

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 not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **WORLD INVESTMENTS, INC.**
CRD# 20626
BAYONNE, NJ
03/2005 - 07/2025

B **TERRA SECURITIES CORPORATION**
CRD# 10358
SCHAUMBURG, IL
01/2004 - 03/2005

B **CAPITAL BROKERAGE CORPORATION**
CRD# 10465
GLEN ALLEN, VA
12/2001 - 01/2004

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? **No**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at https://www.adviserinfo.sec.gov

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 broker is not currently registered.

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 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/23/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/21/2006
B	Uniform Securities Agent State Law Examination	Series 63	01/14/1997

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.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	03/2005 - 07/2025	WORLD INVESTMENTS, INC.	20626	BAYONNE, NJ
B	01/2004 - 03/2005	TERRA SECURITIES CORPORATION	10358	SCHAUMBURG, IL
B	12/2001 - 01/2004	CAPITAL BROKERAGE CORPORATION	10465	GLEN ALLEN, VA
B	03/2000 - 12/2000	NATIONAL PLANNING CORPORATION	29604	LOS ANGELES, CA
B	01/2000 - 01/2000	VESTAX SECURITIES CORPORATION	10332	HUDSON, OH
B	08/1996 - 02/1998	GUARDIAN INVESTOR SERVICES CORPORATION	6635	NEW YORK, NY

Employment History

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
03/2005 - Present	TFS SECURITIES, INC.	REGISTERED REP	Y	LINCROFT, NJ, United States
01/2004 - Present	TERRA SECURITIES CORPORATION	Mass Transfer	Y	STAMFORD, CT, United States
10/2001 - Present	CAPITAL BROKERAGE CORPORATION	REGISTERED REPRESENTATIVE	Y	BRIDGEWATER , NJ, United States
10/2001 - Present	WS VOGEL AGENCY	AGENT	Y	BRIDGEWATER, NJ, United States
05/1992 - Present	IFM GROUP INC	PRESIDENT - PRESIDENT	Y	WATCHUNG, NJ, United States
04/1992 - Present	IFM GROUP	PRESIDENT	Y	BRIDGEWATER, NJ, United States

Registration and Employment History

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.

1. IFM GROUP, INC.
1200 ROUTE 22 EAST, SUITE 2000, BRIDGEWATER, NJ 08807
100% OWNER.
START - 4/01/1992
COMPENSATION AND BENCHMARKING STUDIES - FEE FOR SERVICE AND ALL MANNER OF COMPENSATION AND BENEFIT PROGRAMS AND ACTUARIAL SERVICES FOR RETIREMENT PLANS.
COMPENSATION IS IN FORM OF FEE FOR SERVICES PERFORMED AND COMMISSIONS FOR INSURANCE PRODUCTS PAID BY INSURANCE COMPANIES.

2. TREETOP INVESTMENTS, LLC
48 TREETOP ROAD, WHITEHOUSE STATION, NJ 08889
100% OWNER
START - 12/30/2008
THIS IS AN LLC WHICH NEVER HAS HAD NOR CURRENTLY HAS REVENUE NOR ANY HOLDINGS.
IT WAS ESTABLISHED TO OWN AN INTEREST IN ASSISTED LIVING PROPERTIES/MANAGEMENT COMPANIES. THERE MAYBE SUCH PROPERTIES/MANAGEMENT COMPANIES LATER IN 2010.

3. BD INVESTORS GROUP INC
PRESIDENT
START 5/24/2011
7105 CAST IRON FOREST TRAIL, COLLEYVILLE, TX 76034
PRESIDENT AND 50% INVESTOR. INVESTED IN NORTH CAPTIVA
MARINA GROUP LLC NON PUBLIC GROUPS
25 HOURS PER YEAR
INVESTMENT GAIN

POWER OF ATTORNEY AS OF 10/2016

End of Report

This page is intentionally left blank.