

BrokerCheck Report

RICHARD ANTHONY BREWSTER

CRD# 3238721

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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.

**RICHARD A. BREWSTER**

CRD# 3238721

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

- B CLEARVIEW TRADING ADVISORS, INC.**
 10 GLENWOOD ROAD
 TENAFLY, NJ 07670
 CRD# 142873
 Registered with this firm since: 04/07/2024

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
- 0 U.S. states and territories

This broker has passed:

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

Registration History

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

- B CDS1 SECURITIES LLC**
 CRD# 289604
 Palmetto, FL
 05/2019 - 05/2025
- B MODERN CAPITAL SECURITIES INC.**
 CRD# 130876
 RALEIGH, NC
 08/2024 - 10/2024
- B LIBERTY PARTNERS FINANCIAL SERVICES, LLC**
 CRD# 130390
 RALEIGH, NC
 08/2024 - 10/2024

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**



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 0 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **CLEARVIEW TRADING ADVISORS, INC.**
Main Office Address: **10 GLENWOOD ROAD
TENAFLY, NJ 07670**
Firm CRD#: **142873**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	04/07/2024
B	FINRA	General Securities Representative	Approved	04/07/2024
B	FINRA	Investment Banking Principal	Approved	04/07/2024
B	FINRA	Investment Banking Representative	Approved	04/07/2024
B	FINRA	Municipal Securities Representative	Approved	04/07/2024
B	FINRA	Operations Professional	Approved	04/07/2024

Branch Office Locations

CLEARVIEW TRADING ADVISORS, INC.
10 GLENWOOD ROAD
TENAFLY, NJ 07670



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 3 principal/supervisory exams, 8 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Compliance Officer Examination	Series 14	04/18/2024
B Investment Company Products/Variable Contracts Principal Examination	Series 26	04/10/2024
B General Securities Principal Examination	Series 24	08/21/2002

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Private Securities Offerings	Series 82TO	04/10/2024
B Direct Participation Programs Representative Examination	Series 22TO	04/10/2024
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	04/10/2024
B Investment Banking Registered Representative Examination	Series 79TO	01/02/2023
B Municipal Securities Representative Examination	Series 52TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/24/1999

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/01/2002
B Uniform Securities Agent State Law Examination	Series 63	08/31/1999

Broker Qualifications



Industry Exams this Broker has Passed, continued

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 05/2019 - 05/2025	CDS1 SECURITIES LLC	289604	Palmetto, FL
B 08/2024 - 10/2024	MODERN CAPITAL SECURITIES INC.	130876	RALEIGH, NC
B 08/2024 - 10/2024	LIBERTY PARTNERS FINANCIAL SERVICES, LLC	130390	RALEIGH, NC
B 10/2021 - 04/2024	SBC PARTNERS	284750	New York, NY
B 08/2014 - 04/2024	CLEARVIEW TRADING ADVISORS, INC.	142873	southampton, NY
B 02/2020 - 05/2020	HERITAGE FINANCIAL SYSTEMS, INC.	133019	MALVERN, PA
B 10/2010 - 12/2012	LAIDLAW & COMPANY (UK) LTD.	119037	NEW YORK, NY
B 04/2010 - 11/2010	AEGIS CAPITAL CORP.	15007	NEW YORK, NY
B 08/2008 - 12/2009	JOSEPH GUNNAR & CO. LLC	24795	NEW YORK, NY
B 01/2001 - 08/2008	CASIMIR CAPITAL L.P.	105061	NEW YORK, NY
B 11/2002 - 03/2003	KUHNS BROTHERS SECURITIES CORPORATION	47331	LIME ROCK, CT
B 10/1999 - 01/2001	SANDS BROTHERS & CO., LTD.	26816	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
08/2024 - Present	AdvisiFi LLC	CCO	Y	New York, NY, United States
11/2023 - Present	InvestiFi Inc.	Head of Compliance, InvestiFi	Y	Dover, DE, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2019 - Present	CDS1 Securities LLC	CCO	Y	New York, NY, United States
10/2018 - Present	Dexter Consulting Group LLC	President & CEO	Y	New York, NY, United States
07/2014 - Present	Clearview Trading Advisors, Inc.	REGISTERED REPRESENTATIVE	Y	New York, NY, United States
08/2024 - 10/2024	Liberty Partners Financial	CCO	Y	Raleigh, NC, United States
08/2024 - 10/2024	Modern Capital Advisor	CCO	Y	Raleigh, NC, United States
08/2024 - 10/2024	Modern Capital Securities	CCO	Y	Raleigh, NC, United States
10/2021 - 04/2024	Ekats Securities	CCO	Y	Santa Monica, CA, United States
07/2022 - 11/2023	EthTrust Inc	VP of Compliance	N	Lewes, DE, United States
02/2022 - 11/2023	BitGreen Markets	CCO	Y	New York, NY, United States
05/2019 - 06/2022	ConsenSys Inc.	Chief Compliance Officer - ConsenSys Digital Securities	N	Brooklyn, NY, United States
01/2009 - 01/2018	BonAccord Capital	MANAGING DIRECTOR	Y	New York, NY, 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.

AdvisiFi LLC located in New York, NY 10007 is an SEC Registered Investment Advisor. Mr. Brewster has been the Chief Compliance Officer since August 2024. Up to 60 hours per month, and up to 2 hrs per trading day are devoted to AdvisiFi. Investment-related.

InvestiFi Inc., located in Dover, DE 19901. InvestiFi is a credit union service organization (CUSO) and software as a service (SaaS) company specializing in providing a technology platform to domestic credit union institutional clients. Mr. Brewster has been Head of Compliance, InvestiFi since November 2023. Up to 20 hours per month, and approximately 1 hr per trading day are devoted to InvestiFi. Investment related.

CDS1 Securities LLC, located at 260 Madison Avenue, New York, NY 10016 is a registered broker-dealer. Mr. Brewster has been the Chief Compliance Officer since May 2019. Up to 100 hours per month, and approximately 4.5 hrs per trading day. Investment-related.

Clearview Trading Advisors, located at 10 Glenwood Rd, Tenafly NJ, 07670, is a registered broker dealer. Mr. Brewster has been a Registered Representative since July 2014, and currently may provide ad-hoc compliance related advice. De minimis time per month, de minimis time per trading day are devoted to Clearview Trading Advisors. Investment-related.

Dexter Consulting Group LLC, located at 100 Church St, 8th FL New York, NY 10007 is a Business Management and Compliance consulting company. Mr. Brewster has been the President and sole proprietor since 2018. Up to 20 hours per month, and de minimis time per trading day. Investment-related (compliance).

Registration and Employment History



Other Business Activities, continued

Marenco International Trading, located at 16115 SW 117th Ave, Miami FL 33177 is a family owned, industrial parts procurement business. Mr. Brewster has been the Director of Government Contracts since 2019, and may provide ad hoc advice. De minimis time per month, de minimis time per trading day. Non-investment related.

8670 SW 212 St Apt 307, LLC. located at 16115 SW 117th Ave, Miami FL 33177 is a single family, residential rental property. Mr. Brewster has been the owner since 2018. Company managed by family member, de minimis time per month, de minimis time per trading day. Investment-related (real estate).

Harboro Capital Limited, located at The Shard, Level 14, 32 London Bridge Street, London SE1 9SG is a UK, FCA registered broker dealer/ financial services firm. Mr. Brewster has been a Managing Director of Fixed Income & Compliance since September 2019 and may provide ad hoc advice. De minimis time per month, de minimis time per trading day are devoted to Harboro Capital Limited. Investment-related.

End of Report



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