

## BrokerCheck Report

**Christopher Warren Wright**

CRD# 4134973

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



## Christopher W. Wright

CRD# 4134973

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

**IA WRIGHT WEALTH MANAGEMENT GROUP**  
 3181 CLEARWATER DR  
 SUITE A  
 PRESCOTT, AZ 86305  
 CRD# 156184  
 Registered with this firm since: 03/27/2014

**B REALTA EQUITIES, INC.**  
 3181 CLEARWATER DRIVE  
 SUITE A  
 PRESCOTT, AZ 86305  
 CRD# 23769  
 Registered with this firm since: 12/13/2023

## 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
- 15 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

**B CENTER STREET SECURITIES, INC.**  
 CRD# 26898  
 PRESCOTT, AZ  
 06/2010 - 12/2023

**IA MULTI-FINANCIAL SECURITIES CORPORATION**  
 CRD# 10299  
 GREENWOOD VILLAGE, IL  
 04/2008 - 06/2010

**B MULTI-FINANCIAL SECURITIES CORPORATION**  
 CRD# 10299  
 PRESCOTT, AZ  
 09/2006 - 06/2010

### 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	8



## 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 15 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**  
 Main Office Address: **1201 N. ORANGE STREET  
 SUITE 729  
 WILMINGTON, DE 19801**  
 Firm CRD#: **23769**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	12/13/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	12/13/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/13/2024
B	Alaska	Agent	Approved	01/26/2024
B	Arizona	Agent	Approved	01/24/2024
B	California	Agent	Approved	12/13/2023
B	Colorado	Agent	Approved	02/02/2024
B	Florida	Agent	Approved	12/19/2023
B	Idaho	Agent	Approved	11/20/2024
B	Indiana	Agent	Approved	02/19/2024
B	Michigan	Agent	Approved	01/26/2024
B	Nevada	Agent	Approved	02/08/2024
B	North Carolina	Agent	Approved	08/30/2024



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Oregon	Agent	Approved	12/20/2023
<b>B</b>	Texas	Agent	Approved	02/13/2024
<b>B</b>	Utah	Agent	Approved	02/05/2025
<b>B</b>	Wisconsin	Agent	Approved	02/12/2024

### Branch Office Locations

**REALTA EQUITIES, INC.**  
 3181 CLEARWATER DRIVE  
 SUITE A  
 PRESCOTT, AZ 86305

### Employment 2 of 2

Firm Name: **WRIGHT WEALTH MANAGEMENT GROUP**  
 Main Office Address: **3181 CLEARWATER DR**  
**SUITE A**  
**PRESCOTT, AZ 86305**  
 Firm CRD#: **156184**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	02/11/2015
<b>IA</b>	Texas	Investment Adviser Representative	Restricted Approval	04/03/2019

### Branch Office Locations

3181 CLEARWATER DR  
 SUITE A  
 PRESCOTT, AZ 86305

**Broker Qualifications**



**Employment 2 of 2, continued**

---



## 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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	12/29/2001

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/09/2010
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	03/18/2000

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/14/2008
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/01/2000

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/](http://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>B</b> 06/2010 - 12/2023	CENTER STREET SECURITIES, INC.	26898	PRESCOTT, AZ
<b>IA</b> 04/2008 - 06/2010	MULTI-FINANCIAL SECURITIES CORPORATION	10299	PRESCOTT, AZ
<b>B</b> 09/2006 - 06/2010	MULTI-FINANCIAL SECURITIES CORPORATION	10299	PRESCOTT, AZ
<b>B</b> 09/2003 - 09/2006	LINSCO/PRIVATE LEDGER CORP.	6413	PRESCOTT, AZ
<b>B</b> 03/2000 - 10/2003	H.D. VEST INVESTMENT SERVICES	13686	DALLAS, TX

### 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
12/2023 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
06/2002 - Present	WRIGHT WEALTH MANAGEMENT	DIRECT OWNER	Y	PRESCOTT, AZ, United States
11/1999 - Present	Various Insurance Companies	Licensed Insurance Agent	Y	Prescott, AZ, United States
06/2010 - 12/2023	CENTER STREET SECURITIES	REGISTERED REP	Y	NASHVILLE, TN, 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.

(1) FIXED INSURANCE AGENT, SINCE 11/1999, PRESCOTT, AZ, FIXED INSURANCE SALES, WWW.WRIGHTWEALTHMANAGEMENT.COM;



## Registration and Employment History

### Other Business Activities, continued

DIRECT COMMISSIONS FROM INSURANCE CARRIERS; APPROXIMATELY 5 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(2) C.W. WRIGHT FINANCIAL GROUP, REGISTERED BUSINESS NAME WITH STATE USING DBA OF WRIGHT WEALTH MANAGEMENT, START 09/06/06, 3181 CLEARWATER DR, STE A, PRESCOTT AZ 86305, WWW.WRIGHTWEALTHMANAGEMENT.COM, DBA NAME FOR FINANCIAL SERVICES (LICENSED AS AN INVESTMENT ADVISER SINCE 1/31/2011), PRESIDENT, FEE BASED COMPENSATION, 40 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(3) LONGRANGE OUTDOORS LLC, PRESCOTT, AZ, START 03/31/2011, SOLE MEMBER, PROVIDE OUTDOOR EDUCATION TO FAMILY, FRIENDS AND YOUTH GROUPS, NON-INVESTMENT RELATED, LESS THAN 10 HOURS PER MONTH DURING NON-TRADING HOURS.

(4) MALAPAI HOMES AND DEVELOPMENT LLC, PRESCOTT, AZ, START 3/8/2004, OWNER OF BUILDING, USE OF LLC TO HOLD COMMERCIAL BUILDING, LESS THAN ONE HOUR PER WEEK DURING NORMAL TRADING HOURS.

(5) STANLEY PROPERTIES LLC, NOT INVESTMENT RELATED, PRESCOTT, AZ, START 3/4/2005, REAL ESTATE INVESTMENTS, LESS THAN ONE HOUR PER MONTH-DURING NON-TRADING HOURS

(6) ALTURAS, LLC; START: 12/2023; NOT INVESTMENT RELATED; 3181 CLEARWATER DR STE A PRESCOTT, AZ 86305; FUTURE RENTAL PROPERTIES AND RENTAL VEHICLE ACTIVITY; NO COMPENSATION; 2 HOURS PER MONTH DURING NORMAL TRADING HOURS.

---

## 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.
  -
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.
  -
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	2	6	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 - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 5

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Center Street Securities, Inc.
<b>Allegations:</b>	Claimants allege breach of fiduciary duty, violation of NASD and NYSE rules, breach of contract and negligence, and negligent supervision.
<b>Product Type:</b>	Other: Equity Income Fund
<b>Alleged Damages:</b>	\$50,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	No
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	23-03424
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	12/01/2023

### Customer Complaint Information

**Date Complaint Received:** 01/24/2024



<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	05/31/2024
<b>Settlement Amount:</b>	\$3,750.00
<b>Individual Contribution Amount:</b>	\$3,750.00

---

#### Disclosure 2 of 5

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	CENTER STREET SECURITIES, INC.
<b>Allegations:</b>	Client alleges registered representative recommended unsuitable investments.
<b>Product Type:</b>	Other: Alternative Investments
<b>Alleged Damages:</b>	\$500,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Between \$100,000 and \$500,000
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	23-00059
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/06/2023

#### Customer Complaint Information

<b>Date Complaint Received:</b>	01/15/2023
<b>Complaint Pending?</b>	No
<b>Status:</b>	Evolved into Arbitration/CFTC reparation (the individual is a named party)



**Status Date:** 01/06/2023

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 23-00059

**Date Notice/Process Served:** 01/15/2023

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/12/2025

**Monetary Compensation Amount:** \$14,900.00

**Individual Contribution Amount:** \$14,900.00

**Broker Statement** The client claims investments were unsuitable. However, the client reviewed the risks by reading the prospectuses, reviewing all disclosures and suitability forms before signing all forms and applications. All of the investment recommendations - including the many profitable ones - that I made for the clients were suitable for them based on their investment profile and the information reasonably available at the time of the recommendations. In addition, all of the material risks and features of those investments were thoroughly and accurately disclosed to the clients.

### Disclosure 3 of 5

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CENTER STREET SECURITIES, INC.

**Allegations:** Clients allege registered representative recommended an unsuitable investment.

**Product Type:** Other: GWG L Bonds

**Alleged Damages:** \$135,000.00



**Is this an oral complaint?** No  
**Is this a written complaint?** Yes  
**Is this an arbitration/CFTC reparation or civil litigation?** Yes  
**Arbitration/Reparation forum or court name and location:** FINRA  
**Docket/Case #:** 22-01258  
**Filing date of arbitration/CFTC reparation or civil litigation:** 06/03/2022

### Customer Complaint Information

**Date Complaint Received:** 06/08/2022  
**Complaint Pending?** No  
**Status:** Settled  
**Status Date:** 09/30/2023  
**Settlement Amount:** \$47,143.75  
**Individual Contribution Amount:** \$0.00

### Disclosure 4 of 5

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** CENTER STREET SECURITIES, INC.  
**Allegations:** nov 2019.client is complaining that rep rolled an annuity with 3 years to go into another annuity which restarted the surrender period. client states that he did not want more annuities  
**Product Type:** Annuity-Fixed  
**Alleged Damages:** \$197,000.00  
**Is this an oral complaint?** No  
**Is this a written complaint?** Yes



**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 04/28/2020

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/08/2020

**Settlement Amount:** \$0.00

**Individual Contribution  
Amount:** \$0.00

**Broker Statement** The annuity company gave back to the client his money and unwound the annuity.  
There was no money issued to the client in settlement of this matter.

### Disclosure 5 of 5

**Reporting Source:** Broker

**Employing firm when  
activities occurred which led  
to the complaint:** CENTER STREET SECURITIES, INC.

**Allegations:** 8/14/2015. Respondent mishandled the Claimants' assets by failing to properly  
allocate and diversify Claimants' retirement portfolios

**Product Type:** Other: alternatives

**Alleged Damages:** \$14,000.00

**Alleged Damages Amount  
Explanation (if amount not  
exact):** they still own this product

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC  
reparation or civil litigation?** Yes

**Arbitration/Reparation forum  
or court name and location:** FINRA office of dispute resolution

**Docket/Case #:** 19-01660





**Filing date of arbitration/CFTC reparation or civil litigation:** 06/13/2019

### **Customer Complaint Information**

**Date Complaint Received:** 06/13/2019

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 06/08/2021

**Settlement Amount:** \$36,000.00

**Individual Contribution Amount:** \$0.00

### **Broker Statement**

I vehemently deny any allegations of wrongdoing in connection with the two "cherry-picked" investments that the clients placed at issue in this matter. All of the investment recommendations - including the many profitable ones - that I made for the clients were suitable for them based on their investment profile and the information reasonably available at the time of the recommendations. In addition, all of the material risks and features of those investments were thoroughly and accurately disclosed to the clients. The Firm made a business decision to resolve this matter by way of settlement, for an amount that was less than the fees and costs necessary just to defend this matter through a final hearing, and the Firm (and I) expressly deny any liability to the clients whatsoever in connection with that settlement.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

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

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MULTI-FINANCIAL SECURITIES CORPORATION
<b>Allegations:</b>	CLIENT ALLEGED SUITABILITY ISSUES WITH HER VARIABLE ANNUITY PURCHASE
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$5,800.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	09/28/2009
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	10/27/2009
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	

<b>Broker Statement</b>	I HAVE REVIEWED THE COMPLAINT BY [CUSTOMER]. I HAVE FOUND THAT HER ALLEGATIONS ARE INCORRECT. THE JACKSON NATIONAL ANNUITY IS FULLY SUITABLE FOR HER. IT PROVIDES THE GUARANTEE OF PRINCIPLE SHE WAS LOOKING FOR.
-------------------------	---



## 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 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CENTER STREET SECURITIES, INC.

**Allegations:** The claimant alleges unsuitable, illiquid, and high-risk alternative investments.

**Product Type:** Other: Alternative Investments

**Alleged Damages:** \$125,000.00

### Arbitration Information

**Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA

**Docket/Case #:** 25-01385

**Date Notice/Process Served:** 08/28/2025

**Arbitration Pending?** Yes

### Disclosure 2 of 2

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** CENTER STREET SECURITIES, INC.

**Allegations:** The claimant alleges unsuitable investments.

**Product Type:** Other: Alternative Investments

**Alleged Damages:** \$90,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes



**Is this an arbitration/CFTC  
reparation or civil litigation?** No

### **Customer Complaint Information**

**Date Complaint Received:** 10/01/2024

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement** Client claims investments were unsuitable. However, client reviewed risks by reading the prospectuses, reviewing all disclosures and suitability forms before signing all forms and applications.

## End of Report



**This page is intentionally left blank.**