

## BrokerCheck Report

**TRAVIS ELLIOT VINCENT**

CRD# 4312515

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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](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).

**TRAVIS E. VINCENT**

CRD# 4312515

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
- 11 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

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

- B MARCH CAPITAL CORP.**  
CRD# 24142  
CHICAGO, IL  
06/2016 - 07/2024
- B UHLMANN PRICE SECURITIES, LLC**  
CRD# 42854  
SKOKIE, IL  
06/2015 - 11/2017
- B ALPS DISTRIBUTORS, INC.**  
CRD# 16853  
LAKE BLUFF, IL  
12/2013 - 06/2015

### 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 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, 11 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Limited Representative-Private Securities Offerings	Series 82TO	01/02/2023
<b>B</b> Direct Participation Programs Representative Examination	Series 22TO	01/02/2023
<b>B</b> Corporate Securities Limited Representative Examination	Series 62	01/02/2023
<b>B</b> Registered Options Representative Examination	Series 42	01/02/2023
<b>B</b> Operations Professional Examination	Series 99TO	01/02/2023
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
<b>B</b> Government Securities Representative Examination	Series 72	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	12/03/2013
<b>B</b> National Commodity Futures Examination	Series 3	08/08/2011
<b>B</b> Limited Representative-Equity Trader Exam	Series 55	01/25/2001

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	12/09/2013

## Broker Qualifications



### Industry Exams this Broker has Passed, continued

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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> 06/2016 - 07/2024	MARCH CAPITAL CORP.	24142	CHICAGO, IL
<b>B</b> 06/2015 - 11/2017	UHLMANN PRICE SECURITIES, LLC	42854	SKOKIE, IL
<b>B</b> 12/2013 - 06/2015	ALPS DISTRIBUTORS, INC.	16853	LAKE BLUFF, IL
<b>B</b> 12/2000 - 01/2002	HOLD BROTHERS ON-LINE INVESTMENT SERVICES INC.	36816	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
06/2016 - Present	MARCH CAPITAL CORP	REGISTERED REPRESENTATIVE	Y	Chicago, IL, United States
06/2015 - 12/2017	UHLMANN PRICE SECURITIES	REGISTERED REPRESENTATIVE	Y	CHICAGO, IL, United States
02/2017 - 06/2017	WELink Energy	CONSULTANT	N	LONDON, United Kingdom
09/2011 - 12/2016	GIBRALTAR FUTURES	MANAGING MEMBER	Y	CHICAGO, IL, 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.

Graycliff Capital / Graycliff Mortgage: investment related, 1600 Sarno Road, Suite 116, Melbourne, FL 32935; nature of the other business, Mortgage Loan Origination; title, independent contractor, the start date of your relationship, August 11, 2021; the approximate number of hours/month you devote to the other business, 20, of which 10 estimated to be within trading hours; duties: Mortgage Loan Originations

Travis Vincent real estate broker; investment related; address: 276 E Deerpath Rd, #612, Lake Forest, IL 60045; nature of the other business: Real Estate Brokerage; title: Managing Broker; start date of your relationship, 12/1/2021; the approximate number of hours/month you devote to



## Registration and Employment History

### Other Business Activities, continued

the other business, 2, none during securities trading hours; duties: Facilitate purchase and sale of real estate

Oa Capital Corp - 4170 Still Creek Dr, Suite 200 Burnby, BC V5C 6C6;

Investment related; Oa Capital is a Capital Pool Company (CPC), a program of The Toronto Stock Exchange's TSX Venture Exchange. The CPC program is designed as a corporate finance vehicle to provide businesses with an opportunity to obtain financing earlier in their development than might be possible with an IPO. The CPC program permits an IPO to be conducted and an Exchange listing to be achieved by a newly created company that has no assets, other than cash, and has not commenced commercial operations. The CPC then uses this pool of funds to identify and evaluate assets or businesses which, when acquired, qualify the CPC for listing as a regular Tier 1 Issuer or Tier 2 Issuer on the Exchange.

Position: Director; start date August 16, 2022; Hours anticipated: 5 hours per/month, minimal time during securities trading hours; Duties:

Directors/Founders provide seed capital to cover listing expenses, then identify and negotiate the qualifying transaction.

Spectrum Holdings 2.0, Inc. 834 S Perry St Suite F #620 Castle Rock, CO 80104-1918; Not investment related; Nature of business: business management and consulting company; Position: President, Secretary & Treasurer; Start date August 15, 2022; Hours anticipated: 160 hours per month, most during trading hours; Duties include, accounting and treasury functions, business development.

HEKA Partners LLC : Investment Related; address- 1928 Coach House Loop Castle Rock, CO 80109; nature of the other business, Feeder Fund to HSTW Fund invested in Sigma Sense; title- Managing Member; start date- 9/24/2021; approximate number of hours/month you devote to the other business, all during trading hours, 1 hour per month; duties- Monitor HEKA's investment and provide periodic reports to members.

SCCF GP LLC - 834-F S Perry St #1244, Castle Rock, CO 80104; Investment related. Position, Member, start date April 15, 2024. Duties: Members manage SCCF LP. SCCF LP is organized to engage in investment and/or financial trading for its advisees, in particular, to subscribe for, acquire, purchase, invest in, and deal in participations in the Glow blockchain solar carbon credits network, and to trade in instruments deriving therefrom, including blockchain token representations of Voluntary Carbon Credits, Glow tokens, and other related or similar instruments. Hours anticipated: 30 hours per/month, ½ during securities trading hours.

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## End of Report



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