BrokerCheck Report

PAUL ANGELO MANESE

CRD# 4642565

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.
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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.

PAUL A. MANESE

CRD# 4642565

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

IA **RCX CAPITAL GROUP ADVISORS, LLC**
Aliso Viejo, CA
CRD# 170463
Registered with this firm since: 07/24/2019

B **RCX CAPITAL GROUP, LLC**
Golden, CO
CRD# 114290
Registered with this firm since: 07/24/2019

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:

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

Registration History

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

IA **KINGSTONE CAPITAL PARTNERS TEXAS, LLC**
CRD# 281593
FRISCO, TX
01/2018 - 07/2019

B **EMERSON EQUITY LLC**
CRD# 130032
La Jolla, CA
11/2016 - 07/2019

IA **KINGSTONE CAPITAL PARTNERS TEXAS, LLC**
CRD# 281593
FRISCO, TX
02/2017 - 12/2017

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
Financial	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 2

Firm Name: **RCX CAPITAL GROUP ADVISORS, LLC**

Main Office Address: **271 SLEEPY VALLEY DRIVE**
BOONE, NC 28607

Firm CRD#: **170463**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	07/24/2019

Branch Office Locations

271 SLEEPY VALLEY DRIVE
BOONE, NC 28607

Aliso Viejo, CA

Employment 2 of 2

Firm Name: **RCX CAPITAL GROUP, LLC**

Main Office Address: **2002 TIMBERLOCH PLACE**
SUITE 200
THE WOODLANDS, TX 77380

Firm CRD#: **114290**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/24/2019

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	07/24/2019
B	Colorado	Agent	Approved	06/03/2020
B	Florida	Agent	Approved	10/20/2022
B	Georgia	Agent	Approved	02/20/2026
B	Hawaii	Agent	Approved	02/14/2023
B	Idaho	Agent	Approved	07/26/2021
B	Montana	Agent	Approved	05/23/2022
B	Nevada	Agent	Approved	05/12/2021
B	New York	Agent	Approved	06/21/2022
B	Pennsylvania	Agent	Approved	06/15/2021
B	Texas	Agent	Approved	07/30/2019
B	Virginia	Agent	Approved	03/12/2025
B	Washington	Agent	Approved	04/03/2024

Branch Office Locations

RCX CAPITAL GROUP, LLC
Golden, CO

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, 4 general industry/product exams, and 3 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	Direct Participation Programs Representative Examination	Series 22	11/18/2016
B	General Securities Representative Examination	Series 7	08/16/2006
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	07/07/2003

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	02/09/2017
B	Uniform Securities Agent State Law Examination	Series 63	12/14/2016
B IA	Uniform Combined State Law Examination	Series 66	08/28/2006

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
IA	01/2018 - 07/2019	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	281593	La Jolla, CA
B	11/2016 - 07/2019	EMERSON EQUITY LLC	130032	La Jolla, CA
IA	02/2017 - 12/2017	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	281593	La Jolla, CA
B	11/2009 - 03/2013	REALTY CAPITAL SECURITIES, LLC	145454	IRVINE, CA
B	11/2007 - 07/2009	INLAND SECURITIES CORPORATION	15807	OAK BROOK, IL
B	01/2007 - 10/2007	KBS CAPITAL MARKETS GROUP LLC	132299	NEWPORT BEACH, CA
IA	08/2006 - 01/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	NEWPORT BEACH, CA
B	07/2006 - 01/2007	BANC OF AMERICA INVESTMENT SERVICES, INC.	16361	NEWPORT BEACH, CA
B	12/2005 - 07/2006	MML DISTRIBUTORS, LLC	38030	SPRINGFIELD, MA
B	12/2004 - 12/2005	METLIFE INVESTORS DISTRIBUTION COMPANY	107622	NEW YORK CITY, NY
B	07/2003 - 12/2004	METLIFE INVESTORS DISTRIBUTION COMPANY	6695	NEWPORT BEACH, CA

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
11/2020 - Present	COVENANT INVESTMENT CAPITAL, LLC	INVESTMENT ADVISOR	Y	BOONE, NC, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
07/2019 - Present	RCX CAPITAL GROUP LLC	Registered Representative	Y	The Woodlands, TX, United States
07/2019 - 11/2020	COVENANT INVESTMENT CAPITAL LLC	Investment Advisor	Y	New York, NY, United States
11/2016 - 07/2019	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	San Mateo, CA, United States
05/2016 - 07/2019	KINGSTONE CAPITAL PARTNERS TEXAS, LLC	Director - Business Development	Y	La Jolla, CA, 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.

No information reported.

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.
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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
Financial	0	1	N/A

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Compromise
Action Date:	05/10/2017
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	12/21/2021
If a compromise with creditor, provide:	
Name of Creditor:	Wells Fargo Credit Card
Original Amount Owed:	$25,169.00
Terms Reached with Creditor:	The amount of settlement was $17,016.00, the monthly payment is 709.00 beginning June 15, 2017, and is to continue for 24 months, ending in May 2019.
Broker Statement	FINAL PAYMENT OF $20,111.56 WAS MADE ON DECEMBER 22, 2021, AND MY OBLIGATION FOR THIS ACCOUNT IS FULFILLED.

End of Report

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