

BrokerCheck Report

Robert Lloyd Annable

CRD# 4657825

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



Robert L. Annable

CRD# 4657825

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

IA TRANSCE3ND LLC
 16220 N Scottsdale Road, Suite 440
 Scottsdale, AZ 85254
 CRD# 317745
 Registered with this firm since: 07/26/2023

B REALTA EQUITIES, INC.
 16220 N SCOTTSDALE ROAD
 SUITE 440
 SCOTTSDALE, AZ 85254
 CRD# 23769
 Registered with this firm since: 07/16/2021

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
- 40 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA COASTAL INVESTMENT ADVISORS**
 CRD# 134952
 WILMINGTON, DE
 07/2021 - 12/2023
- IA WEALTH STRATEGIES ADVISORY GROUP**
 CRD# 308173
 SCOTTSDALE, AZ
 08/2021 - 11/2023
- IA WEALTH STRATEGIES ADVISORY GROUP**
 CRD# 308173
 SCOTTSDALE, AZ
 08/2021 - 12/2021

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	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 40 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 Principal	Approved	07/16/2021
B	FINRA	General Securities Representative	Approved	07/16/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	07/16/2021

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/30/2025
B	Alaska	Agent	Approved	10/28/2025
B	Arizona	Agent	Approved	07/16/2021
B	Arkansas	Agent	Approved	07/16/2021
B	California	Agent	Approved	07/16/2021
B	Colorado	Agent	Approved	07/16/2021
B	Florida	Agent	Approved	07/16/2021
B	Georgia	Agent	Approved	10/16/2025
B	Hawaii	Agent	Approved	08/09/2024
B	Idaho	Agent	Approved	07/16/2021



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Illinois	Agent	Approved	07/16/2021
B	Indiana	Agent	Approved	12/24/2025
B	Iowa	Agent	Approved	11/04/2021
B	Kansas	Agent	Approved	07/16/2021
B	Kentucky	Agent	Approved	09/28/2022
B	Louisiana	Agent	Approved	06/13/2024
B	Massachusetts	Agent	Approved	09/27/2023
B	Michigan	Agent	Approved	12/14/2022
B	Minnesota	Agent	Approved	04/08/2024
B	Missouri	Agent	Approved	07/16/2021
B	Montana	Agent	Approved	07/16/2021
B	Nevada	Agent	Approved	07/16/2021
B	New Hampshire	Agent	Approved	11/04/2025
B	New Jersey	Agent	Approved	07/20/2021
B	New Mexico	Agent	Approved	07/18/2025
B	New York	Agent	Approved	02/04/2022
B	North Carolina	Agent	Approved	07/16/2021
B	North Dakota	Agent	Approved	07/16/2021
B	Ohio	Agent	Approved	08/12/2021
B	Oklahoma	Agent	Approved	06/12/2025
B	Oregon	Agent	Approved	05/02/2024



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	07/16/2021
B	South Dakota	Agent	Approved	07/20/2021
B	Tennessee	Agent	Approved	07/16/2021
B	Texas	Agent	Approved	07/16/2021
B	Utah	Agent	Approved	07/20/2021
B	Virginia	Agent	Approved	04/30/2024
B	Washington	Agent	Approved	07/16/2021
B	Wisconsin	Agent	Approved	07/16/2021
B	Wyoming	Agent	Approved	07/16/2021

Branch Office Locations

REALTA EQUITIES, INC.

16220 N SCOTTSDALE ROAD
SUITE 440
SCOTTSDALE, AZ 85254

Employment 2 of 2

Firm Name: **TRANSC3ND LLC**

Main Office Address: **835 MAIN STREET
BUILDING 200
BUDA, TX 78610**

Firm CRD#: **317745**

	U.S. State/ Territory	Category	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	08/11/2023



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	07/26/2023
IA	Florida	Investment Adviser Representative	Approved	09/27/2023
IA	Missouri	Investment Adviser Representative	Approved	07/27/2023
IA	North Dakota	Investment Adviser Representative	Approved	08/14/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

Branch Office Locations

835 MAIN STREET
 BUILDING 200
 BUDA, TX 78610

16220 N Scottsdale Road, Suite 440
 Scottsdale, AZ 85254



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	05/24/2013

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/27/2010
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/16/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/01/2015
B Uniform Securities Agent State Law Examination	Series 63	12/06/2010

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
IA 07/2021 - 12/2023	COASTAL INVESTMENT ADVISORS	134952	SCOTTSDALE, AZ
IA 08/2021 - 11/2023	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ
IA 08/2021 - 12/2021	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ
IA 03/2021 - 07/2021	ARETE WEALTH ADVISORS, LLC	145488	Scottsdale, AZ
B 03/2021 - 07/2021	ARETE WEALTH MANAGEMENT, LLC	44856	CHICAGO, IL
IA 05/2020 - 07/2021	CENTER STREET ADVISORS, INC.	169329	Scottsdale, AZ
B 04/2020 - 07/2021	CENTER STREET SECURITIES, INC.	26898	SCOTTSDALE, AZ
IA 07/2017 - 04/2020	KALOS MANAGEMENT	133025	Scottsdale, AZ
B 07/2017 - 04/2020	KALOS CAPITAL, INC.	44337	Scottsdale, AZ
IA 08/2015 - 07/2017	CENTER STREET ADVISORS, INC.	169329	SCOTTSDALE, AZ
B 08/2015 - 07/2017	CENTER STREET SECURITIES, INC.	26898	SCOTTSDALE, AZ
IA 05/2015 - 08/2015	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	130814	SCOTTSDALE, AZ
B 07/2014 - 08/2015	NEWBRIDGE SECURITIES CORPORATION	104065	SCOTTSDALE, AZ
B 11/2010 - 06/2014	REALTY CAPITAL SECURITIES, LLC	145454	SCOTTSDALE, AZ
B 03/2005 - 12/2006	COMMUNITY BANKERS SECURITIES, LLC	42794	SCOTTSDALE, AZ
B 05/2003 - 05/2004	LIBERTY GROUP, LLC	106036	OAKLAND, CA

Employment History



Registration and Employment History

Employment History, continued

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	TRANSCE3ND, LLC	IAR	Y	KYLE, TX, United States
07/2021 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2021 - 12/2023	COASTAL INVESTMENT ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2021 - 12/2023	Wealth Strategies Advisory Group	Senior Partner / Private Wealth Advisor	Y	Scottsdale, AZ, United States
02/2021 - 07/2021	Arete Wealth Advisors	Investment Advisor	Y	Chicago, IL, United States
02/2021 - 07/2021	Arete Wealth Management	Registered Representative	Y	Chicago, IL, United States
04/2020 - 07/2021	CENTER STREET ADVISORS, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	NASHVILLE, TN, United States
04/2020 - 07/2021	Center Street Securities, Inc	REGISTERED REPRESENTATIVE	Y	NASHVILLE, TN, United States
07/2017 - 04/2020	Kalos Capital	Registered Rep	Y	Alpharetta, GA, United States
07/2017 - 04/2020	Kalos Management	Investment Advisor	Y	Alpharetta, GA, United States
08/2015 - 07/2017	CENTER STREET ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	NASHVILLE, TN, United States
08/2015 - 07/2017	CENTER STREET SECURITIES, INC	REGISTERED REPRESENTATIVE	N	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.



Registration and Employment History

Other Business Activities, continued

(1) REALTA EQUITIES INC. INVESTMENT RELATED, 1201 N ORANGE ST WILMINGTON DE 19801, BROKER-DEALER, REGISTERED REPRESENTATIVE, START 07/16/2021, APPROX 80 HOURS/MONTH, PROVIDING BROKERAGE PRODUCTS AND SERVICE TO CUSTOMERS.

(2) INSURANCE AGENT; FIXED INSURANCE BUSINESS; LIFE AND ANNUITY; PROVIDE INSURANCE PRODUCT SOLUTIONS TO CLIENTS WHERE APPROPRIATE. INVESTMENT RELATED: 25 - 5 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(3) TRANSCE3ND, LLC; KYLE, TX; START: 12/2023; RIA ADVISORY BUSINESS; [HTTPS://TRANSCENDIM.COM](https://transcendim.com); INVESTMENT ADVISORY REPRESENTATIVE; FEE BASED COMPENSATION; 20 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(4) ROBERT L ANNABLE II PLC; 16220 N SCOTTSDALE ROAD, STE 440 SCOTTSDALE, AZ 85254; START: 4/2025; PERSONAL S-CORP FOR MANAGING BUSINESS REVENUE AND EXPENSES; OWNER; 40+ HOURS PER WEEK DURING NORMAL TRADING HOURS.

(5) BREAKLINE WEALTH AND TAX, LLC: START: 2/2026; DBA; 16220 N. SCOTTSDALE ROAD, STE 440 SCOTTSDALE, AZ 85254; WWW.BREAKLINEWEALTHANDTAX.COM; OWNER AND WEALTH ADVISOR; COMMISSIONS; 5 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.
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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
Customer Dispute	1	0	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 - 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 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Realta Equities, Inc., Wealth Strategies Advisory Group, LLC, Transce3nd, LLC, and VFO Consulting Group, LLC
Allegations:	The claimants allege they were directly lied to and facts were misrepresented about investments.
Product Type:	Other: Alternative Investments
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged Compensatory Damage is unspecified.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-02738
Date Notice/Process Served:	12/18/2025
Arbitration Pending?	Yes

End of Report



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