

BrokerCheck Report

Shaun Eck

CRD# 5574644

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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.



Shaun Eck

CRD# 5574644

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

IA REALTA INVESTMENT ADVISORS, INC
 21720 W LONG GROVE ROAD
 SUITE C 411
 DEER PARK, IL 60047
 CRD# 134952
 Registered with this firm since: 07/06/2022

B REALTA EQUITIES, INC.
 21720 W LONG GROVE ROAD
 SUITE C-411
 DEER PARK, IL 60010
 CRD# 23769
 Registered with this firm since: 07/01/2022

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
- 26 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA KESTRA PRIVATE WEALTH SERVICES, LLC**
 CRD# 155193
 AUSTIN, TX
 09/2020 - 07/2022
- B KESTRA INVESTMENT SERVICES, LLC**
 CRD# 42046
 Palatine, IL
 09/2020 - 07/2022
- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
 CRD# 7691
 NEW YORK, NY
 10/2017 - 09/2020

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

Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**
 Main Office Address: **12636 HIGH BLUFF DRIVE
 SUITE 300
 SAN DIEGO, CA 92130**
 Firm CRD#: **23769**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	07/01/2022

U.S. State/ Territory	Category	Status	Date
B Alaska	Agent	Approved	07/01/2022
B Arizona	Agent	Approved	07/01/2022
B California	Agent	Approved	07/01/2022
B Connecticut	Agent	Approved	07/01/2022
B Delaware	Agent	Approved	10/17/2022
B Florida	Agent	Approved	07/01/2022
B Georgia	Agent	Approved	07/01/2022
B Illinois	Agent	Approved	07/11/2022
B Iowa	Agent	Approved	10/16/2023
B Kansas	Agent	Approved	04/26/2023
B Maine	Agent	Approved	07/01/2022
B Maryland	Agent	Approved	08/09/2024



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Massachusetts	Agent	Approved	07/01/2022
B	Michigan	Agent	Approved	07/01/2022
B	Missouri	Agent	Approved	07/01/2022
B	Nebraska	Agent	Approved	07/13/2022
B	Nevada	Agent	Approved	07/01/2022
B	New Jersey	Agent	Approved	11/20/2024
B	North Carolina	Agent	Approved	12/23/2024
B	Pennsylvania	Agent	Approved	07/01/2022
B	South Carolina	Agent	Approved	07/01/2022
B	Texas	Agent	Approved	07/01/2022
B	Utah	Agent	Approved	10/13/2022
B	Virginia	Agent	Approved	07/01/2022
B	Washington	Agent	Approved	11/20/2024
B	Wisconsin	Agent	Approved	07/01/2022

Branch Office Locations

REALTA EQUITIES, INC.
 21720 W LONG GROVE ROAD
 SUITE C-411
 DEER PARK, IL 60010

Employment 2 of 2

Firm Name: **REALTA INVESTMENT ADVISORS, INC**

Main Office Address: **1201 N. ORANGE STREET**



Broker Qualifications

Employment 2 of 2, continued

SUITE 729
WILMINGTON, DE 19801

Firm CRD#: 134952

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	07/06/2022
IA	Texas	Investment Adviser Representative	Approved	08/02/2022

Branch Office Locations

1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801

21720 W LONG GROVE ROAD
SUITE C 411
DEER PARK, IL 60047



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, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	11/11/2008
B General Securities Representative Examination	Series 7	09/25/2008

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	10/20/2008

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 09/2020 - 07/2022	KESTRA PRIVATE WEALTH SERVICES, LLC	155193	Palatine, IL
B 09/2020 - 07/2022	KESTRA INVESTMENT SERVICES, LLC	42046	Palatine, IL
IA 10/2017 - 09/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DEER PARK, IL
B 10/2017 - 09/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	DEER PARK, IL
IA 09/2015 - 10/2017	CETERA INVESTMENT ADVISERS LLC	105644	ROSEMONT, IL
B 09/2015 - 10/2017	CETERA INVESTMENT SERVICES LLC	15340	CHICAGO, IL
IA 12/2013 - 09/2015	LPL FINANCIAL LLC	6413	DUNDEE, IL
B 12/2013 - 09/2015	LPL FINANCIAL LLC	6413	DUNDEE, IL
B 01/2013 - 12/2013	FIFTH THIRD SECURITIES, INC.	628	GURNEE, IL
IA 01/2013 - 12/2013	FIFTH THIRD SECURITIES, INC.	628	GURNEE, IL
B 03/2011 - 01/2013	LPL FINANCIAL LLC	6413	DUNDEE, IL
IA 03/2011 - 01/2013	LPL FINANCIAL LLC	6413	DUNDEE, IL
B 08/2009 - 03/2011	PRIMEVEST FINANCIAL SERVICES, INC.	15340	MCHENRY, IL
IA 08/2009 - 03/2011	PRIMEVEST FINANCIAL SERVICES, INC.	15340	MCHENRY, IL
B 06/2009 - 07/2009	MORGAN STANLEY SMITH BARNEY	149777	BARRINGTON, IL
IA 06/2009 - 07/2009	MORGAN STANLEY SMITH BARNEY LLC	149777	BARRINGTON, IL
IA 12/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	BARRINGTON, IL
B 09/2008 - 06/2009	MORGAN STANLEY & CO. INCORPORATED	8209	BARRINGTON, IL

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
07/2022 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2022 - Present	REALTA INVESTMENT ADVISORS, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	WILMINGTON, DE, United States
09/2020 - 07/2022	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PALATINE, IL, United States
09/2020 - 07/2022	KESTRA PRIVATE WEALTH SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	PALATINE, IL, United States
02/2018 - 09/2020	Bank of America, N.A.	Professional Transition Advisor - NPF	Y	Deer Park, IL, United States
10/2017 - 09/2020	Merrill Lynch, Pierce, Fenner & Smith Incorporated	Professional Transition Advisor - NPF	Y	Deer Park, IL, United States
09/2015 - 10/2017	AMERICAN AIRLINES CREDIT UNION	REGISTERED REP	Y	ROSEMONT, IL, United States
09/2015 - 10/2017	CETERA INVESTMENT ADVISERS LLC	REGISTERED INVESTMENT ADVISER	Y	ROSEMONT, IL, United States
09/2015 - 10/2017	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
12/2013 - 09/2015	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	CARY, 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.

(1) Quantas Group, LLC; 21720 W Long Grove Road, Suite C 411 Deer Park, IL 60010; dba for marketing purposes; www.quantas.group; owner;

Registration and Employment History



Other Business Activities, continued

revenue generated by management fees and commissions for transactional business; 40 hours per week during normal trading hours. (2) Realta Investment Advisors, Inc.; 1201 N Orange St Ste 729 Wilmington, DE 19801; Investment Advisory Services; Investment Advisor Representative; www.realtawealth.com; Compensation in the form of fees; 40 hours per week during normal trading hours. (3) Quantus Group, LLC; 21720 W Long Grove Rd, Suite C 411 Deer Park, IL 60010; tax benefits through life insurance products; www.quantasgroup.com; advise on securities that involve tax benefits and refer clients to service providers such as accounting firms; Planning fees; 20 hours per week during normal trading hours.

End of Report



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