

BrokerCheck Report

BENJAMIN CORY TREECE

CRD# 5687784

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



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:
 - o 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
 - o 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.

**BENJAMIN C. TREECE**

CRD# 5687784

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

IA SB ADVISORY, LLC
 Indianapolis, IN
 CRD# 154680
 Registered with this firm since: 04/14/2021

B SAN BLAS SECURITIES LLC
 233 S WACKER DR
 SUITE 4400
 CHICAGO, IL 60606
 CRD# 290605
 Registered with this firm since: 04/14/2021

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
- 10 U.S. states and territories

This broker has passed:

- 2 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 TREECE INVESTMENT ADVISORY CORP**
 CRD# 110449
 TOLEDO, OH
 09/2010 - 05/2021
- B TREECE FINANCIAL SERVICES CORP.**
 CRD# 23296
 TOLEDO, OH
 05/2010 - 05/2021

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? **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 10 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **SAN BLAS SECURITIES LLC**

Main Office Address: **233 S WACKER DR
SUITE 4400
CHICAGO, IL 60606**

Firm CRD#: **290605**

	SRO	Category	Status	Date
B	FINRA	Financial and Operations Principal	Approved	04/14/2021
B	FINRA	General Securities Principal	Approved	04/14/2021
B	FINRA	General Securities Representative	Approved	04/14/2021
B	FINRA	Operations Professional	Approved	04/14/2021

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	04/14/2021
B	Florida	Agent	Approved	04/14/2021
B	Indiana	Agent	Approved	04/16/2024
B	Michigan	Agent	Approved	04/14/2021
B	Missouri	Agent	Approved	04/14/2021
B	North Carolina	Agent	Approved	04/15/2021
B	Ohio	Agent	Approved	06/09/2021
B	Pennsylvania	Agent	Approved	04/14/2021
B	Tennessee	Agent	Approved	04/14/2021



Broker Qualifications

Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Texas	Agent	Approved	04/14/2021

Branch Office Locations

SAN BLAS SECURITIES LLC

233 S WACKER DR
SUITE 4400
CHICAGO, IL 60606

Employment 2 of 2

Firm Name: **SB ADVISORY, LLC**
Main Office Address: **3424 PEACHTREE ROAD NE
SUITE 2200
ATLANTA, GA 30326-1184**
Firm CRD#: **154680**

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	04/14/2021
IA	Florida	Investment Adviser Representative	Approved	08/20/2021
IA	Indiana	Investment Adviser Representative	Approved	04/16/2024
IA	Michigan	Investment Adviser Representative	Approved	04/14/2021
IA	Missouri	Investment Adviser Representative	Approved	04/14/2021
IA	North Carolina	Investment Adviser Representative	Approved	09/17/2021
IA	Ohio	Investment Adviser Representative	Approved	06/09/2021
IA	Pennsylvania	Investment Adviser Representative	Approved	04/14/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	04/14/2021

Broker Qualifications



Employment 2 of 2, continued

Branch Office Locations

3424 PEACHTREE ROAD NE
SUITE 2200
ATLANTA, GA 30326-1184

Indianapolis, IN



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

Principal/Supervisory Exams

Exam	Category	Date
B Financial and Operations Principal Examination	Series 27	04/25/2011
B General Securities Principal Examination	Series 24	03/07/2011

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	05/20/2010

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/27/2010

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 09/2010 - 05/2021	TREECE INVESTMENT ADVISORY CORP	110449	TOLEDO, OH
B 05/2010 - 05/2021	TREECE FINANCIAL SERVICES CORP.	23296	TOLEDO, OH

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
04/2021 - Present	SAN BLAS ADVISORY	INVESTMENT ADVISOR	Y	ATLANTA, GA, United States
04/2021 - Present	SAN BLAS SECURITIES	REGISTERED REP	Y	ATLANTA, GA, United States
06/2006 - 05/2021	TREECE FINANCIAL SERVICES CORP	VICE PRESIDENT	Y	TOLEDO, OH, United States
06/2006 - 05/2021	TREECE INVESTMENT ADVISORY CORP	VICE PRESIDENT	Y	TOLEDO, OH, United States
06/2009 - 11/2018	TREECE FARMS, LLC	OWNER	N	TOLEDO, OH, 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) WATERSIDE SYLVANIA LLC, NOT INVESTMENT RELATED, SINCE 09/2015, PARTNER, LAND HOLDING COMPANY, DEVOTE LESS THAN 5HRS /WK TO THIS ACTIVITY..
- 2) PICKLE JAR FINANCE; TOLEDO,OH; NOT INVESTMENT-RELATED; SINCE 12/2018; WRITER; INFORMATIONAL NEWS LETTER; DUTIES: PRODUCE CONTENT; DEVOTE 5 HRS./WEEK TO THIS ACTIVITY.
- 3.)DOUGLAS ALLEN ASSOCIATES, LLC, OWNER, OFFICE SUPPLY AND STAFFING COMPANY, NOT INVESTMENT RELATED, NO ADDITIONAL COMPENSATION (ALL COMPENSATION THROUGH DOUGLAS ALLEN IS A RESULT OF TIAC OR TFSC).
- 4.) N731PC LLC, OWNER, OWNS AND MAINTAINS AN AIRCRAFT, NOT INVESTMENT RLEATED, NO ADDITIONAL COMPENSATION.
- 5.) SB ADVISORY, INVESTMENT ADVISOR, INVESTMENT RELATED, COMPENSATED 1099 FOR INVESTMENT ADVISORY SERVICES, DEVOTE 40+ HOURS/WEEK
- 6.) TREECE INVESTMENTS LLC: INVESTMENT RELATED, MANAGING MEMBER, DBA (TREECE INVESTMENTS PORTFOLIO

Registration and Employment History



Other Business Activities, continued

MANAGEMENT AND BUSINESS CONSULTING) FOR MARKETING BROKERAGE AND ADVISORY SERVICES OFFERED THROUGH SAN BLAS SECURITIES AND SB ADVISORY, COMPENSATED VIA REVENUE GENERATED FROM BROKERAGE AND ADVISORY SERVICES, 40+ HOURS/WEEK

7) THE GOFOLIO, not investment related, business is not an LLC presently with an address or defined ownership, software solution for statistical analysis, consultant, no affiliation with other business, start date 1/24/2024, 10 hours/mo and less than 1 hour per week during trading hours, work with software developer to make introductions to institutional entities that may have an interest in the product.

End of Report



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