

## BrokerCheck Report

**SUDHIR Gurudatt PAI**

CRD# 5928622

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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).

**SUDHIR G. PAI**

CRD# 5928622

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

### Registration History

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

- B SAXONY SECURITIES, INC.**  
CRD# 115547  
Plano, TX  
04/2022 - 03/2023
- B EMERSON EQUITY LLC**  
CRD# 130032  
Plano, TX  
11/2019 - 04/2022
- B COASTAL EQUITIES, INC.**  
CRD# 23769  
PLANO, TX  
10/2019 - 11/2019

### 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**

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/04/2019
<b>B</b> General Securities Representative Examination	Series 7TO	09/21/2019
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	07/30/2011

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	01/11/2020
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/08/2019

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> 04/2022 - 03/2023	SAXONY SECURITIES, INC.	115547	Plano, TX
<b>B</b> 11/2019 - 04/2022	EMERSON EQUITY LLC	130032	Plano, TX
<b>B</b> 10/2019 - 11/2019	COASTAL EQUITIES, INC.	23769	PLANO, TX
<b>B</b> 08/2011 - 06/2013	H.D. VEST INVESTMENT SERVICES	13686	FRISCO, TX

### 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
03/2022 - Present	Saxony Capital Management	Investment Advisor Representative	Y	St. Louis, MO, United States
03/2022 - Present	Saxony Securities, Inc.	Registered Representative	Y	St. Louis, MO, United States
10/2021 - Present	Suma Monde Kapital Partners GP LP	an owner	Y	Plano, TX, United States
09/2021 - Present	MyTimeEquity, LLC	MANAGING PARTNER, investment advisor representative	Y	Plano, TX, United States
05/2021 - Present	Surely Now LLC	CEO	N	McKinney, TX, United States
02/2021 - Present	Suma Monde Kapital Partners, LLC	Managing Partner	Y	Plano, TX, United States
01/2020 - Present	Emerson Advisors, LLC	Investment advisor representative	Y	Plano, TX, United States
11/2019 - Present	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	IRVINE, CA, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
09/2019 - Present	Legacy Wealth Planner, LLC	Partner; 100% owner; 4512 Legacy Drive # 100 Plano TX 75024; Primary activity - Wealth Management ; www.myWealthTaxPlanner.com (not yet created); Compensation - Salary - Yet to be decided; Hours - 3 hours during trading hours. (09/2019 to present); investment-related.	Y	Plano, TX, United States
12/2013 - Present	P&G Associates, PLLC	Partner	N	Plano, TX, United States
08/2011 - Present	Sudhir Pai CPA PLLC	managing partner; 100% owner; Primary activity - CPA Firm; Hours - 1 hour in the evening. No time spent on trading hours.	N	Plano, TX, United States
01/2009 - Present	GLOBAL VALUE ADD, INC	CEO	N	PLANO, TX, United States
03/2017 - 07/2021	My Startup CFO LLC	Managing Partner & Director, Head of Operations	N	Plano, TX, United States
09/2019 - 11/2019	COASTAL EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, 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.

all addresses below are 4512 Legacy Drive, Suite 100, Plano, TX 75024 unless stated otherwise.

1)Global Value Add, Inc.; non-investment related; tax preparation; Director; October 2008; 5 hrs/mo; 0 hr/mo during trading hours; preparing tax documents

2)Sudhir Pai CPA, PLCC; non-investment related; CPA Firm; Managing Partner; October 2011; 1 hr/mo; 0 hr/mo during trading hours; CPA duties





## Registration and Employment History

### Other Business Activities, continued

- 3)P&G Associates, PLLC; non-investment related; CPA Firm; Partner; December 2013; 1 hr/mo; 0 hr/mo during trading hours; CPA duties
- 4)Kuvera LLC; non-investment related; Personal investments; member; December 2016; 0 hr/mo; 0 hr/mo during trading hours; activities related to his personal investments
- 5)Surelynw, LLC; non-investment related; Life Insurance, RE and business consulting; CEO; 05/2021; 10 hrs/mo; 0 hr/mo during trading hours; Life insurance related duties
- 6)MyTimeEquity, LLC; investment related; RIA firm; Managing Partner; Sept 2021; 30 hrs/mo; 15 hrs/mo during trading hours; RIA duties
- 7)Suma Monde Kapital Partners GP, LP; investment related; 4512 Legacy Drive, Suite 100, Plano, TX 75024; Real Estate GP; Managing Partner; Oct 2021; 0 hr/mo; 0 hr/mo during trading hours; Real estate asset buying and management
- 8)Suma Monde Kapital Partners, LLC; investment related; Private Equity & RE Firm; Managing Partner; Oct 2021; 30 hrs/mo; 15 hrs/mo during trading hours; Managing real estate related business
- 9)Investment Properties; non-investment related; 4512 Legacy Drive, Suite 100, Plano, TX 75024; Investment Rental properties; owner on title with wife; May 2012; 0 hr/mo; 0 hr/mo during trading hours; investment property duties
- 10)SUPRIYA & SUDHIR PAI FAMILY OFFICE, LLC; non-investment related; 7617 Choctaw Ln, Mckinney, TX 75070; Family Holding Entity; Manager; Oct 2021; 0 hr/mo; 0 hr/mo during trading hours; help his family make investments
- 11)TEF Capital GP, LP; investment related; 4512 Legacy Drive, Suite 100, Plano, TX 75024; Hedge Fund GP entity; Managing Partner; Aug 2021; 0 hr/mo; 0 hr/mo during trading hours; Hedge fund responsibilities
- 12)TEF Capital, LLC; investment related; 4512 Legacy Drive, Suite 100, Plano, TX 75024; Hedge Fund LLC; Managing Partner; Aug 2021; 30 hrs/mo; 15 hrs/mo during trading hours; Hedge fund responsibilities
- 13)SGP BUSINESS HOLDINGS LLC; non-investment related; 7617 Choctaw Ln, Mckinney, TX 75070; Consulting and investment properties rental LLC; no title; Oct 2014; 0 hr/mo; 0 hr/mo during trading hours; consulting and investment responsibilities
- 14)Legacy Wealth Planner, LLC; investment related; DBA name for securities related business
- 15)Suma Monde Real Estate Fund I LP; investment related; Real Estate Fund; Managing Partner; Oct 2021; 15 hrs/mo; 3 hrs/mo during trading hours; real estate fund responsibilities
- 16)Time Equities Fund II, LP; investment related; Hedge Fund investing in equities, current custodian is Interactive Brokers; Aug 2021; 10 hrs/mo; 0 hrs/mo during trading hours; Hedge Fund responsibilities
- 17) Guruganesh Ltd. Family trust [not investment related]; few hours/month as business advisor [start July 2017]
- 18) & 19) MyCMO LLC, [12/2016] and Our PSG LLC [July 2023] : Marketing entities; [not investment related]; business advisor to a marketing entities

## Registration and Employment History



### Other Business Activities, continued

20) SGP LLC; Marketing business, [not investment related]; start 2024, business advisor to a marketing business.

20) Sainaga LLC: Property holding LLC; [not investment related]; 4512 Legacy Drive, Suite 100, Plano, TX ; few hours/mo. as a business advisor  
[May 2012]

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## End of Report



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