

BrokerCheck Report

Collin Trent Habig

CRD# 6796377

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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.

**Collin T. Habig**

CRD# 6796377

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

IA SUMMIT FINANCIAL, LLC
 2601 CATTLEMEN RD
 STE 501
 SARASOTA, FL 34232
 CRD# 299322
 Registered with this firm since: 04/14/2025

B PURSHE KAPLAN STERLING INVESTMENTS
 2601 Cattleman Road
 Suite 501
 Sarasota, FL 34232
 CRD# 35747
 Registered with this firm since: 05/02/2025

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
- 11 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA LPF ADVISORS, LLC**
 CRD# 298068
 SARASOTA, FL
 04/2024 - 06/2025
- B OSAIC WEALTH, INC.**
 CRD# 23131
 SARASOTA, FL
 06/2024 - 05/2025
- B SECURITIES AMERICA, INC.**
 CRD# 10205
 SARASOTA, FL
 04/2024 - 06/2024

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

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Office Address: **80 STATE STREET
ALBANY, NY 12207**

Firm CRD#: **35747**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/02/2025

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	05/02/2025
B	Georgia	Agent	Approved	05/02/2025
B	Indiana	Agent	Approved	05/02/2025
B	Massachusetts	Agent	Approved	05/02/2025
B	Mississippi	Agent	Approved	05/02/2025
B	New Jersey	Agent	Approved	10/31/2025
B	North Dakota	Agent	Approved	10/08/2025
B	Pennsylvania	Agent	Approved	05/02/2025
B	Rhode Island	Agent	Approved	05/02/2025
B	Texas	Agent	Approved	10/31/2025
B	Utah	Agent	Approved	10/15/2025

Branch Office Locations



Broker Qualifications

Employment 1 of 2, continued

PURSHE KAPLAN STERLING INVESTMENTS
80 STATE STREET
ALBANY, NY 12207

PURSHE KAPLAN STERLING INVESTMENTS
2601 Cattleman Road
Suite 501
Sarasota, FL 34232

Employment 2 of 2

Firm Name: SUMMIT FINANCIAL, LLC
Main Office Address: 4 CAMPUS DRIVE
PARSIPPANY, NJ 07054
Firm CRD#: 299322

U.S. State/ Territory		Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	04/14/2025

Branch Office Locations

2601 CATTLEMEN RD
STE 501
SARASOTA, FL 34232



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, 2 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	10/12/2018
B General Securities Representative Examination	Series 7	10/11/2018

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/20/2018

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

	Registration Dates	Firm Name	CRD#	Branch Location
IA	04/2024 - 06/2025	LPF ADVISORS, LLC	298068	SARASOTA, FL
B	06/2024 - 05/2025	OSAIC WEALTH, INC.	23131	SARASOTA, FL
B	04/2024 - 06/2024	SECURITIES AMERICA, INC.	10205	SARASOTA, FL
IA	10/2022 - 04/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	Plainville, MA
B	10/2022 - 04/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	Plainville, MA
IA	12/2018 - 10/2022	EDWARD JONES	250	NORTH ATTLEBORO, MA
B	10/2018 - 10/2022	EDWARD JONES	250	NORTH ATTLEBORO, MA

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
05/2025 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
04/2025 - Present	Summit Financial dba LPF Advisors	INVESTMENT ADVISOR REPRESENTATIVE	Y	Sarasota, FL, United States
06/2024 - 04/2025	OSAIC WEALTH, INC.	Mass Transfer	Y	SARASOTA, FL, United States
10/2022 - 03/2025	Habig Capital	Officer - Treasurer, Officer - President, Officer - Secretary	N	Plainville, MA, United States
04/2024 - 06/2024	Osaic Wealth, Inc.	Registered Representative	Y	Sarasota, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2022 - 04/2024	Doucette Capital	Advisor; DBA/Support Company	Y	Plainville, MA, United States
10/2022 - 04/2024	Raymond James Financial Services Advisors, Inc.	Investment Advisor Representative	Y	Plainville, MA, United States
10/2022 - 04/2024	Raymond James Financial Services, Inc.	Registered Representative	Y	Plainville, MA, United States
09/2018 - 10/2022	Edward Jones	Financial Advisor	Y	St Louis, MO, United States
06/2017 - 09/2018	Toby Keiths I Love This Bar and Grill	Assistant Manager	N	Foxboro, MA, United States
09/2014 - 05/2018	Nichols College	Full-time education	N	Dudley, MA, United States
03/2015 - 12/2017	G Norwood Landscape Management	Landscape Technician	N	Brockton, MA, United States
05/2017 - 08/2017	Merrill Lynch Pierce Fenner & Smith Inc	Global Wealth and Investment Management Intern	Y	Providence, RI, 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) Summit Financial dba LPF Advisors. Investment related. At registered location. RIA. IAR. Start date: 04/2025. 160 hrs/month; all during trading hours. I am a financial advisor with the RIA firm that meets with clients and provides wealth management services.
- 2) Fixed Insurance. Investment related. At registered location. Traditional/fixed insurance. Agent. Start date: 04/2025 5 hrs/month; all during trading hours. Sales of traditional/fixed insurance.
- 3) PKSF. Investment related. At registered location. Traditional/fixed insurance. Agent. Start date: 04/2025. 1 hr/month; during trading hours. Sales of traditional/fixed insurance.

End of Report



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