User Guidance

www.adviserinfo.sec.gov

IAPD Report

Vincent Keith Annable

CRD# 1033573

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.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

Vincent Keith Annable (CRD# 1033573)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	REALTA EQUITIES, INC.	CRD# 23769	09/29/2021
IA	TRANSCE3ND LLC	CRD# 317745	07/25/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	COASTAL INVESTMENT ADVISORS	134952	SCOTTSDALE, AZ	07/19/2021 - 12/20/2023
IA	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ	06/30/2020 - 11/01/2023
IA	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ	06/03/2020 - 12/31/2021

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **30** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**

Main Address: 1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801

Firm ID#: 23769

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/29/2021
B	FINRA	General Securities Representative	Approved	09/29/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	09/29/2021
B	Alabama	Agent	Approved	10/30/2025
B	Alaska	Agent	Approved	10/28/2025
B	Arizona	Agent	Approved	10/01/2021
B	California	Agent	Approved	09/30/2021
B	Colorado	Agent	Approved	08/02/2022
B	Florida	Agent	Approved	10/26/2021
B	Georgia	Agent	Approved	10/17/2025
B	Idaho	Agent	Approved	09/08/2023
B	Indiana	Agent	Approved	01/13/2026
B	Iowa	Agent	Approved	11/22/2021

Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	09/29/2022
B	Louisiana	Agent	Approved	06/14/2024
B	Minnesota	Agent	Approved	04/08/2024
B	Nevada	Agent	Approved	10/11/2021
B	New Hampshire	Agent	Approved	11/10/2025
B	New Jersey	Agent	Approved	10/04/2021
B	New Mexico	Agent	Approved	07/18/2025
B	New York	Agent	Approved	10/05/2025
B	North Carolina	Agent	Approved	10/06/2021
B	North Dakota	Agent	Approved	06/16/2022
B	Ohio	Agent	Approved	06/27/2024
B	Oklahoma	Agent	Approved	06/12/2025
B	Oregon	Agent	Approved	11/04/2024
B	Pennsylvania	Agent	Approved	12/06/2022
B	South Dakota	Agent	Approved	12/20/2023
B	Texas	Agent	Approved	09/29/2021
B	Utah	Agent	Approved	10/28/2021
B	Virginia	Agent	Approved	05/02/2024
B	Washington	Agent	Approved	10/26/2021

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	07/17/2023

Branch Office Locations

COASTAL EQUITIES, INC.
17207 N PERIMETER DRIVE #120
SCOTTSDALE, AZ 85255

Employment 2 of 2

Firm Name: **TRANSCE3ND LLC**

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

Firm ID#: 317745

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	08/11/2023
IA	California	Investment Adviser Representative	Approved	07/26/2023
IA	Florida	Investment Adviser Representative	Approved	07/27/2023
IA	North Dakota	Investment Adviser Representative	Approved	08/21/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	07/25/2023

Branch Office Locations

TRANSCE3ND LLC
17207 N Perimeter Drive #120
Scottsdale, AZ 85255

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/07/2011

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/28/2008
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/26/2005

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/27/2005
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/18/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	07/19/2021 - 12/20/2023	COASTAL INVESTMENT ADVISORS	CRD# 134952	SCOTTSDALE, AZ
IA	06/30/2020 - 11/01/2023	WEALTH STRATEGIES ADVISORY GROUP	CRD# 308173	SCOTTSDALE, AZ
IA	06/03/2020 - 12/31/2021	WEALTH STRATEGIES ADVISORY GROUP	CRD# 308173	SCOTTSDALE, AZ
IA	01/04/2021 - 07/21/2021	ARETE WEALTH ADVISORS, LLC	CRD# 145488	Scottsdale, AZ
IA	08/21/2015 - 06/15/2020	CENTER STREET ADVISORS, INC.	CRD# 169329	SCOTTSDALE, AZ
B	08/14/2015 - 06/15/2020	CENTER STREET SECURITIES, INC.	CRD# 26898	SCOTTSDALE, AZ
IA	11/03/2009 - 08/24/2015	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	SCOTTSDALE, AZ
B	07/31/2009 - 08/24/2015	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	SCOTTSDALE, AZ
IA	06/02/2009 - 07/09/2009	COMPAK ASSET MANAGEMENT	CRD# 109930	NEWPORT BEACH, CA
B	12/14/2006 - 07/09/2009	COMPAK SECURITIES, INC.	CRD# 125472	NEWPORT BEACH, CA
IA	01/01/2006 - 10/12/2006	CBS ADVISORS, LLC	CRD# 134922	SCOTTSDALE, AZ
B	07/29/2005 - 10/12/2006	COMMUNITY BANKERS SECURITIES, LLC	CRD# 42794	SCOTTSDALE, AZ
B	05/27/1994 - 10/24/1994	AMERICAN TRADING SECURITIES CORP.	CRD# 13221	
B	07/20/1993 - 03/26/1994	AMERICAN TRADING SECURITIES CORP.	CRD# 13221	
B	09/12/1992 - 01/08/1993	BROKERS TRANSACTION SERVICES, INC.	CRD# 17587	

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/22/1990 - 12/31/1991	PLANNED INVESTMENTS INC.	CRD# 5066	
B	01/02/1990 - 02/21/1990	FOCUS II SECURITIES, INC.	CRD# 25068	
B	11/19/1989 - 01/01/1990	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	
B	02/06/1987 - 11/19/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	11/01/1985 - 06/30/1987	ASH SECURITIES & INVESTMENT CORP.	CRD# 16719	
B	02/21/1986 - 02/27/1987	VCG SECURITIES, INC.	CRD# 15563	
B	11/05/1984 - 04/10/1985	DH EQUINE, INC.	CRD# 15629	
B	04/13/1984 - 08/09/1984	SUTRO & CO. INCORPORATED	CRD# 801	
B	11/21/1983 - 03/19/1984	MUNICICORP OF CALIFORNIA	CRD# 7184	
B	03/08/1982 - 06/29/1982	BACHE HALSEY STUART SHIELDS INCORPORATED	CRD# 7471	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2023 - Present	TRANSCE3ND, LLC	IAR	Y	KYLE, TX, United States
09/2021 - 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
05/2020 - 12/2023	WEALTH STRATEGIES ADVISORY GROUP, LLC	CEO, Investment Adviser Representative	Y	SCOTTSDALE, CA, United States
12/2020 - 07/2021	Arete Wealth Advisor LLC	Investment Advisor Representative	Y	Chicago, IL, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2015 - 05/2020	CENTER STREET ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	NASHVILLE, TN, United States
08/2015 - 05/2020	CENTER STREET SECURITIES, INC.	REGISTERED REPRESENTATIVE	N	NASHVILLE, TN, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) TRANSCE3ND, LLC; KYLE, TX; START 12/2023; INVESTMENT ADVISORY SERVICES; IAR; FEE BASED COMPENSATION; 20 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(2) VFO (VIRTUAL FAMILY OFFICE) ADVISORY GROUP; 17207 N PERIMETER DRIVE #120 SCOTTSDALE, AZ 85255; CONSULTING; WWW.VFOAG.COM; CONSULTING - WORKING WITH POTENTIAL COI IN A CONSULTING ROLE SENIOR PARTNER/CONSULTANT; NO COMPENSATION; 10 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(3) HOUSEHOLD ENDOWMENT MODEL; 17207 N PERIMETER DRIVE #120 SCOTTSDALE, AZ 85255; CONSULTING AND EDUCATION; WWW.THEHOURSEHOLDENDOWMENTMODEL.COM; CONSULTING AND EDUCATION REGARDING THE ENDOWMENT MODEL WITH COI; NO COMPENSATION; 10 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(4) VINCE ANNABLE CONSULTING LLC;17207 N PERIMETER DRIVE #120 SCOTTSDALE, AZ 85255; FIXED INSURANCE SALES; INSURANCE AGENT, COMMISSIONS FROM SALES; 10 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(5) YOUR MONEY MANUAL PODCAST: OWNER; WWW.WSAGAZ,COM; 1 HOUR PER WEEK DURING NORMAL TRADING HOURS.

(6) ANNABLE LIVING TRUST, SCOTTSDALE, AZ, LIVING TRUST, TRUSTEE, 10/28/2004, 0 HOURS PER MONTH DEVOTED, 0 HOURS PER MONTH DEVOTED DURING SECURITIES TRADING.

(7) WEALTH STRATEGIES; 17207 N PERIMETER SCOTTSDALE, AZ 85255; START: 11/2024; RENTAL INCOME FROM TENANTS; COMPENSATION: RENTAL PAYMENTS; 0 HOURS

(8) VFO TAX; 17207 N PERIMETER SCOTTSDALE, AZ 85255; START: 11/2024; TAX CONSULTATION (PART OF VFO CONSULTING THE FAMILY OFFICE PLANNING GROUP); 50% OWNER; COMPENSATION: POSSIBLE CONSULTING/PROJECT FEES; 5 HOURS PER WEEK SOME DURING NORMAL TRADING HOURS.

(9) E2COMPANIES; 8901 QUALITY ROAD BONITA SPRINGS, FL 34135; NOT INVESTMENT RELATED; START: 7/2026; CONSULTING FOR THE SALE OF E2C EQUIPMENT FOR TAX MITIGATION; PAID ON REFERRAL BASIS; 10 HOURS PER MONTH DURING NORMAL TRADING HOURS.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
    - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	3

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 3

Reporting Source:	Individual
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

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when	newbridge financial and center street securities

activities occurred which led to the complaint:	
Allegations:	high risk, unsuitable, illiquid and over concentrated
Product Type:	Other: alternatives
Alleged Damages:	$600,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	Finra
Docket/Case #:	22-00715
Date Notice/Process Served:	04/12/2022
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/04/2023
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$0.00
Firm Statement	The $5,000 Settlement Agreement and Release ("Agreement") is entered into by and among [REDACTED], individually, jointly, and as co-Trustees of the [REDACTED] Trust DTD 03/28/2002

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION AND CENTER STREET SECURITIES INC
Allegations:	Claimants allege: Negligence, Breach of Fiduciary Duty, Breach of Contract, Negligent Supervision, Violation of Securities Laws, and Fraud.
Product Type:	Other: Alternative Investments
Alleged Damages:	$600,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged Damages for Roos is $400,000 AND Alleged Damages for Hull is $200,000

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-00715
Date Notice/Process Served:	04/13/2022
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/21/2023

Monetary Compensation Amount:	$100,000.00
Individual Contribution Amount:	$50,000.00
Firm Statement	HULL SETTLEMENT $55000.00 ROOS SETTLEMENT $45000.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEWBRIDGE SECURITIES CORPORATION AND CENTER STREET SECURITIES, INC.
Allegations:	CLAIMANTS ALLEGE: NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, NEGLIGENT SUPERVISION, VIOLATION OF SECURITIES LAWS, AND FRAUD.
Product Type:	Other: ALTERNATIVE INVESTMENTS
Alleged Damages:	$600,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	22-00715
Date Notice/Process Served:	04/13/2022
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	08/02/2023
Monetary Compensation Amount:	$118,500.00
Individual Contribution Amount:	$50,000.00
Broker Statement	I fully deny any allegations of wrongdoing with respect to these customers. The recommendations provided were entirely suitable based on the clients' investor profiles and the accounts at issue resulted in regular income and overall profits for both customers. While expressly denying any liability to the clients whatsoever, the respondents made a business decision to resolve this matter in an amount that was less than what it would have cost to defend the matter through an arbitration hearing. NEWBRIDGE: HULL SETTLEMENT $55000.00 AND ROOS SETTLEMENT $45000.00 = $100000.00 CENTER STREET: HULL SETTLEMENT $5000.00 AND ROOS SETTLEMENT $13500.00 = $18500.00

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CENTER STREET SECURITIES, INC.

Allegations:	failure of due diligence , unsuitable and over concentration
Product Type:	Other: alternatives
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	between 50000 and 100000
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA office of dispute resolution
Docket/Case #:	21-01031
Filing date of arbitration/CFTC reparation or civil litigation:	04/16/2021

Customer Complaint Information

Date Complaint Received:	04/23/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2021
Settlement Amount:	$31,000.00
Individual Contribution Amount:	$0.00
Firm Statement	I deny any allegations of wrongdoing in connection with the single investment that the client placed at issue. The recommendation was suitable, based on the client's investor profile and the information available at the time of investment. The Firm and I made a business/client relations decision to address the client's concerns by purchasing the subject investment from him (for an amount that was substantially less than what it would have cost just to defend the matter through an arbitration hearing), while expressly denying any liability to the client whatsoever. The client remains a client of mine to this day.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CENTER STREET SECURITIES, INC.
Allegations:	Failure of due diligence, unsuitable and over concentration
Product Type:	Other: Alternatives
Alleged Damages:	$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	Between 50000 and 100000

Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Office of Dispute Resolution
Docket/Case #:	21-01031
Filing date of arbitration/CFTC reparation or civil litigation:	04/16/2021

Customer Complaint Information

Date Complaint Received:	04/23/2021
Complaint Pending?	No
Status:	Settled
Status Date:	06/09/2021
Settlement Amount:	$31,000.00
Individual Contribution Amount:	$0.00
Broker Statement	I deny any allegations of wrongdoing in connection with the single investment that the client placed at issue. The recommendation was suitable, based on the client's investor profile and the information available at the time of investment. The Firm and I made a business/client relations decision to address the client's concerns by purchasing the subject investment from him (for an amount that was substantially less than what it would have cost just to defend the matter through an arbitration hearing), while expressly denying any liability to the client whatsoever. The client remains a client of mine to this day.

End of Report

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