



IAPD Report

ROBERT ALLEN ZEINER

CRD# 1052912

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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.



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

ROBERT ALLEN ZEINER (CRD# 1052912)

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 **07/27/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VIRTUE CAPITAL MANAGEMENT, LLC	CRD# 167816	10/08/2019

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	STRATTON & CO. RETIREMENT INVESTMENT STRATEGIES, LLC	174948	JACKSONVILLE, FL	10/14/2015 - 06/21/2019
IA	TLG ADVISORS, INC.	111052	JACKSONVILLE, FL	09/19/2014 - 03/19/2019
B	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ	02/04/2014 - 03/19/2019

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
Regulatory Event	1



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **VIRTUE CAPITAL MANAGEMENT, LLC**

Main Address: 12 CADILLAC DR.
SUITE 280
BRENTWOOD, TN 37027

Firm ID#: 167816

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	10/08/2019

Branch Office Locations

VIRTUE CAPITAL MANAGEMENT, LLC
Jacksonville, FL



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/17/1982

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	04/19/1996



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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	10/14/2015 - 06/21/2019	STRATTON & CO. RETIREMENT INVESTMENT STRATEGIES, LLC	CRD# 174948	JACKSONVILLE, FL
IA	09/19/2014 - 03/19/2019	TLG ADVISORS, INC.	CRD# 111052	JACKSONVILLE, FL
B	02/04/2014 - 03/19/2019	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
B	04/15/2013 - 10/24/2013	FORESTERS EQUITY SERVICES, INC.	CRD# 18464	SAN DIEGO, CA
IA	05/18/2011 - 04/02/2013	SPC	CRD# 110692	JACKSONVILLE, FL
B	03/04/2011 - 04/02/2013	SAMMONS SECURITIES COMPANY, LLC	CRD# 115368	JACKSONVILLE, FL
B	05/25/2007 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	JACKSONVILLE, FL
B	11/17/1997 - 05/07/2007	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	JACKSONVILLE, FL
IA	11/17/1997 - 05/07/2007	PRINCOR FINANCIAL SERVICES CORPORATION	CRD# 1137	JACKSONVILLE, FL
B	05/31/1985 - 11/12/1997	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	08/20/1982 - 06/04/1985	CONNECTICUT MUTUAL FINANCIAL SERVICES, INC.	CRD# 173	

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
04/2019 - Present	Virtue Capital Management, LLC	Investment Adviser Representative	Y	BRENTWOOD, TN, United States
02/2015 - 06/2019	STRATTON AND CO. RETIREMENT INVESTMENT STRATEGIES, LLC	PRESIDENT	Y	JACKSONVILLE, FL, United States
09/2014 - 03/2019	TLG ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	LITTLETON, CO, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2014 - 03/2019	THE LEADERS GROUP INC	REGISTERED REPRESENTATIVE	Y	LITTLETON, CO, 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) ROBERT A. ZEINER , Title: SALES/OWNER, Description: INSURANCE BUS, , Start Date: 03-01-2010, Address: 7807 BAYMEADOWS RD E, STE 402, JACKSONVILLE FL , Investment-related? NO, Hours per month: 2, During trading hours: 2



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/08/2019
Docket/Case Number:	94342-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Stratton and Co. Retirement Investment Strategies, LLC
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/08/2019
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 10/10/2019**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

On October 8, 2019, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Robert Allen Zeiner. Mr. Zeiner neither admitted nor denied the findings but consented to the entry of findings by the Office. The Office found that Robert Allen Zeiner published an advertisement on his firm's website which contained misleading information and a testimonial that concerned the service rendered by the investment adviser. Pursuant to the Final Order, Mr. Zeiner agreed to cease and desist from all present and future violations of Chapter 517, F.S. and the administrative rules thereunder; and to pay an administrative fine in the amount of \$5,000.00 jointly and severally with Stratton and Co. Retirement Investment Strategies, LLC.

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Reporting Source: Individual**Regulatory Action Initiated By:** The STATE OF FLORIDA, OFFICE OF FINANCIAL REGULATION**Sanction(s) Sought:** Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 09/26/2019**Docket/Case Number:** 94342-S**Employing firm when activity occurred which led to the regulatory action:** STRATTON AND CO. RETIREMENT INVESTMENT STRATEGIES, LLC**Product Type:** No Product**Allegations:** Stratton & Co. Retirement Investment Strategies, LLC ("S&C") and Robert Zeiner (former President & CCO of S&C) agreed to a stipulation and consent order from the State of Florida in which they agreed to pay an administrative fine of \$5,000 and agreed to cease and desist in violations of Chapter 517 of the Florida statutes and strictly comply with such Florida statutes on a go forward basis. S&C was found to have failed to (i) file financials in accordance with GAAP as required under Florida regs, (ii) file timely financials as required under Florida regs, (iii) maintain written policies and procedures, (iv) maintain advisory agreements with all of the required elements.

Mr. Zeiner and S&C were found to have caused the firm's website to contain



misleading information and a testimonial that concerned a service by the investment adviseR

Current Status: Final

Resolution: Stipulation and Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Yes

Resolution Date: 10/08/2019

Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: No

Date Paid by individual: 10/08/2019

Was any portion of penalty waived? No

Amount Waived:



End of Report

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