



IAPD Report

CHARLES ERIC GRETH

CRD# 1317916

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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

CHARLES ERIC GRETH (CRD# 1317916)

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 **10/21/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ALTITUDE CAPITAL MANAGEMENT LLC	CRD# 329366	10/24/2024

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
B	EQUITABLE ADVISORS, LLC	6627	BELLEVUE, WA	04/25/2022 - 02/07/2023
IA	EQUITABLE ADVISORS, LLC	6627	BELLEVUE, WA	04/25/2022 - 02/07/2023
IA	CETERA INVESTMENT ADVISERS LLC	105644	RENTON, WA	12/18/2020 - 04/22/2022

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	2
Financial	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: **ALTITUDE CAPITAL MANAGEMENT LLC**
Main Address: 2015 GRAND AVENUE
SUITE 100
DES MOINES, IA 50312
Firm ID#: 329366

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	10/24/2024

Branch Office Locations

ALTITUDE CAPITAL MANAGEMENT LLC
1201 PACIFIC AVENUE, SUITE 603
TACOMA, WA 98402




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/03/2004

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/15/1984

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	03/02/2010
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/17/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	04/25/2022 - 02/07/2023	EQUITABLE ADVISORS, LLC	CRD# 6627	BELLEVUE, WA
IA	04/25/2022 - 02/07/2023	EQUITABLE ADVISORS, LLC	CRD# 6627	BELLEVUE, WA
IA	12/18/2020 - 04/22/2022	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	RENTON, WA
B	12/18/2020 - 04/22/2022	CETERA INVESTMENT SERVICES LLC	CRD# 15340	RENTON, WA
B	12/11/2015 - 11/23/2020	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SHELTON, WA
IA	12/10/2015 - 11/23/2020	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SHELTON, WA
IA	01/29/2015 - 12/15/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HENDERSON, NV
B	01/21/2015 - 12/15/2015	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	HENDERSON, NV
IA	05/28/2013 - 01/02/2015	LEGEND ADVISORY CORP	CRD# 104761	LAS VEGAS, NV
B	05/28/2013 - 01/02/2015	LEGEND EQUITIES CORPORATION	CRD# 30999	LAS VEGAS, NV
IA	03/05/2010 - 05/30/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAS VEGAS, NV
B	01/15/2010 - 05/30/2013	VALIC FINANCIAL ADVISORS, INC.	CRD# 42803	LAS VEGAS, NV
B	08/07/1995 - 01/04/2010	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	ALBUQUERQUE, NM
B	03/11/1994 - 07/25/1995	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	03/18/1991 - 08/20/1993	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	WAVERLY, IA
B	04/09/1990 - 04/03/1991	PEBSCO SECURITIES CORP.	CRD# 7110	COLUMBUS, OH



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	03/27/1989 - 06/16/1989	KENNEDY, CABOT & CO.	CRD# 2417	BEVERLY HILLS, CA
B	05/28/1988 - 12/19/1988	MARKETING ONE SECURITIES, INC.	CRD# 16611	
B	07/14/1986 - 03/04/1988	ISFA CORPORATION	CRD# 12984	
B	04/04/1986 - 07/14/1986	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	
B	12/21/1984 - 07/01/1985	BLINDER, ROBINSON & CO.,INC.	CRD# 5096	

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
10/2024 - Present	ALTITUDE CAPITAL MANAGEMENT LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	DE MOINES, IA, United States
02/2023 - Present	MY BENEFIT ADVISOR LLC	MEDICARE ADVISOR	N	SEATTLE, WA, United States
04/2022 - 01/2023	Equitable Advisors, LLC	Registered Representative	N	New York, NY, United States
12/2020 - 04/2022	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	RENTON, WA, United States
12/2020 - 04/2022	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
12/2015 - 12/2020	CUSO FINANCIAL SERVICES, LP	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
12/2015 - 12/2018	ONE NEVADA CREDIT UNION	REGISTERED REPRESENTATIVE	Y	LAS VEGAS, NV, United States



Registration & Employment History



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.

MEDICARE ADVISOR, NOT INVESTMENT RELATED, TACOMA, WA, MEDICARE ADVICE, GUIDANCE AND ENROLLMENT, MEDICARE ADVISOR, 10-20 HOURS DEVOTED TO ACTIVITY INCLUDING DURING 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	2
Financial	1

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FINANCIAL NETWORK INVESTMENT CORPORATION
Allegations:	CLIENT ALLEGES THAT REPRESENTATIVE SOLD HER AN UNSUITABLE INSURANCE PRODUCT IN FEBRUARY OF 2002.
Product Type:	Annuity-Variable
Alleged Damages:	\$590,247.76
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/08/2009
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	01/05/2010
Settlement Amount:	

Individual Contribution Amount:
.....



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FINANCIAL NETWORK INVESTMETN CORPORATION

Allegations: CLIENT ALLEGES THAT REPRESENTATIVE SOLD HER AN UNSUITABLE INVESTMENT IN FEBRUARY OF 2002

Product Type: Annuity-Variable

Alleged Damages: \$590,287.76

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT INDICATE DOLLAR AMOUNT. THE ALLEGED DAMAGED AMOUNT IS THE DIFFERENCE BETWEEN INITIAL INVESTMETN AND MARKET VALUE AS OF 12/18/08 AS WE ARE NO LONGER BD OR RECORD.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/08/2009

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/05/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE CLIENT'S CLAIM IS UNTRUE. I'VE DOCUMENTED EXTENSIVE FACT FINDING TO OBTAIN HER FINANCIAL STATUS, TAX STATUS, INVESTMETN OBJECTIVES AND OTHER FINANCIAL INFORMATION TO MAKE A SUITABLE RECOMMENDATION. THE CLIENT IS MISREPRESENTING HER KNOWLEGDE AND UNDERSTANDING. IT IS DOCUMENTED THAT SHE HAD INVESTMENTS AND A BROAD UNDERSTANDING OF INVESTMENTS LONG BEFORE I MET HER IN 2002

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FINANCIAL NETWORK INVESTMENT CORPORATION

Allegations: CLIENTS ALLEGE THAT REPRESENTATIVE DID NOT RETURN THEIR PHONE CALLS FROM JAN TO MARCH 2009 WHICH LED TO MARKET LOSS IN THEIR ACCOUNTS.

Product Type: Mutual Fund

Alleged Damages: \$46,000.00

Is this an oral complaint? No



Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** No

Customer Complaint Information

Date Complaint Received: 03/12/2009

Complaint Pending? No

Status: Settled

Status Date: 07/17/2009

Settlement Amount: \$27,443.58

**Individual Contribution
Amount:** \$0.00

Broker Statement

I WAS AVAILABLE DURING JANUARY TO MARCH 2009 AND THE CLIENT DID NOT CONTACT ME. I DID NOT RECEIVE ANY CALLS OR MESSAGES FROM THE CLIENT. THE CLIENT HAD SEVERAL DIFFERENT PHONE NUMBERS, FAX NUMBERS AND AN EMAIL ADDRESS AS MEANS TO CONTACT ME. ADDITIONALLY THE LOCAL OSJ OFFICE RECEIVED NO CALLS FROM THE CLIENT UNTIL THE COMPLAINT WAS MADE EVEN THOUGH THE CLIENT HAD BEEN INSTRUCTED TO CALL THERE IF I WAS EVER UNAVAILABLE.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 12/13/2017

Organization Investment-Related?

Type of Court: Federal Court
Name of Court: US Bankruptcy Court, District of Nevada
Location of Court: Las Vegas, Nevada
Docket/Case #: 17-16640
Action Pending? No
Disposition: Discharged
Disposition Date: 03/13/2018

Broker Statement Full acceptance of this BK filing will discharge Representative of judgment placed against him by former disreputable business partner



End of Report

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