IAPD Report

Scott Martin Bresky

CRD# 1427534

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

Scott Martin Bresky (CRD# 1427534)

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 **10/17/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CHELSEA FINANCIAL SERVICES	CRD# 47770	04/17/2023
IA	CHELSEA ADVISORY SERVICES, INC	CRD# 150791	04/17/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SCF INVESTMENT ADVISORS, INC.	123608	HOLMDEL, NJ	07/01/2019 - 04/25/2023
B	SCF SECURITIES, INC.	47275	HOLMDEL, NJ	07/01/2019 - 04/25/2023
IA	CONCORDE ASSET MANAGEMENT, LLC	140367	ROSELAND, NJ	01/02/2013 - 07/02/2019

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
Customer Dispute	2

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

Employment 1 of 2

Firm Name: **CHELSEA FINANCIAL SERVICES**

Main Address: 242 MAIN STREET
STATEN ISLAND, NY 10307

Firm ID#: 47770

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/17/2023
B	FINRA	General Securities Representative	Approved	04/17/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	04/17/2023
B	California	Agent	Approved	04/17/2023
B	Florida	Agent	Approved	04/17/2023
B	New Jersey	Agent	Approved	04/17/2023
B	Ohio	Agent	Approved	04/17/2023

Branch Office Locations

101 Crawfords Corner Road
Suite 4116
Holmdel, NJ 07733

Employment 2 of 2

Firm Name: **CHELSEA ADVISORY SERVICES, INC**

Main Address: 242 MAIN STREET
STATEN ISLAND, NY 10307

Firm ID#: 150791

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	04/17/2023

Branch Office Locations

CHELSEA ADVISORY SERVICES, INC
101 Crawfords Corner Road
Suite 4116
Staten island, NJ 07733

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	06/17/1991

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	06/20/1987
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/14/1985

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/01/2005
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/21/1991

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	07/01/2019 - 04/25/2023	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	HOLMDEL, NJ
B	07/01/2019 - 04/25/2023	SCF SECURITIES, INC.	CRD# 47275	HOLMDEL, NJ
IA	01/02/2013 - 07/02/2019	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	ROSELAND, NJ
B	01/02/2013 - 07/02/2019	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	ROSELAND, NJ
IA	08/17/2011 - 12/31/2012	INNOVATIVE MARKET TRENDS	CRD# 20626	RANDOLPH, NJ
B	08/17/2011 - 12/31/2012	TFS SECURITIES, INC.	CRD# 20626	RANDOLPH, NJ
IA	02/25/2011 - 08/16/2011	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	RED BANK, NJ
B	02/25/2011 - 08/16/2011	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	RED BANK, NJ
IA	07/20/2007 - 03/01/2011	FINANCIAL PLANNING ASSOCIATES,INC.	CRD# 112357	PLEASANTVILLE, NY
B	06/30/2005 - 02/24/2011	ALTERNATIVE WEALTH STRATEGIES, INC.	CRD# 130933	ROSELAND, NJ
IA	03/27/2006 - 12/11/2006	JAMES C. GAUL & ASSOCIATES	CRD# 113871	ROSELAND, NJ
B	01/07/2004 - 04/26/2004	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	CINCINNATI, OH
B	12/03/1999 - 09/04/2002	EVERGREEN INVESTMENT SERVICES, INC.	CRD# 487	CHARLOTTE, NC
B	09/18/1996 - 12/03/1999	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	CHICAGO, IL
B	08/01/1994 - 09/18/1996	CHEMICAL INVESTMENT SERVICES CORP.	CRD# 36312	
B	05/05/1993 - 08/01/1994	LIBERTY SECURITIES CORPORATION	CRD# 14416	PURCHASE, NY

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	09/12/1992 - 05/07/1993	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	10/23/1990 - 09/21/1992	FN INVESTMENT CENTER	CRD# 19631	SACRAMENTO, CA
B	07/27/1989 - 10/29/1990	G - W BROKERAGE GROUP, INC.	CRD# 22691	BEVERLY, NJ
B	11/18/1985 - 05/27/1988	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN

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
04/2023 - Present	Chelsea Advisory Services	Investment Advisor Representative	Y	Staten Island, NY, United States
04/2023 - Present	Chelsea Financial Services	Registered Representative	Y	Staten island, NY, United States
07/2019 - 04/2023	SCF INVESTMENT ADVISORS, INC	INVESTMENT ADVISOR REP	Y	FRESNO, CA, United States
07/2019 - 04/2023	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, CA, United States
01/2013 - 07/2019	CONCORDE ASSET MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	TROY, MI, United States
01/2013 - 07/2019	CONCORDE INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	TROY, MI, 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.

ALTERNATIVE WEALTH GROUP, INC - INVESTMENT RELATED - 101 CRAFRORDS CORNER ROAD SUITE 4116, HOLMDEL, NJ 07733 - FINANCIAL SERVICES, FINANCIAL PLANNING; SELF EMPLOYED INSURANCE AGENT - SAME ADDRESS - NOT INVESTMENT RELATED - SELL FIXED INSURANCE PRODUCTS; ELITE REALTOR OF NEW JERSEY - NOT INVESTMENT RELATED - SAME ADDRESS - SALES ASSOCIATE SELLING MOSTLY COMMERICAL REAL ESTATE; AWG REAL ESTATE ADVISORS & AWG 1031 ADVISORS - REAL ESTATE - SAME ADDRESS - COMMERCIAL REAL ESTATE

Registration & Employment History

OTHER BUSINESS ACTIVITIES

SALES; AWG CONSULTANTS - INVESTMENT RELATED - SAME ADDRESS - HELP SMALL BUSINESS OWNERS IDENTIFY SAVINGS & GROWTH OPPORTUNITIES; CHELSEA ADVISORY SERVICES - INVESTMENT RELATED - SAME ADDRESS - INVESTMENT ADVISOR REP;

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

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:	Individual
Employing firm when activities occurred which led to the complaint:	ALTERNATIVE WEALTH STRATEGIES, INC.
Allegations:	FALSE AND MISLEADING REPRESENTATIONS, AND OMISSIONS OF MATERIAL FACTS. ACTIVITES OCCURRED FROM MARCH 2007 TO JULY 2008.
Product Type:	Real Estate Security
Alleged Damages:	$975,631.00
Alleged Damages Amount Explanation (if amount not exact):	$975,631.00 PLUS INTEREST
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:	02/25/2013
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	03/28/2013

Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	13-00787
Date Notice/Process Served:	03/28/2013
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/08/2014
Monetary Compensation Amount:	$220,000.00
Individual Contribution Amount:	$185,000.00
Broker Statement	THE COMPLAINT IS A BELATED ATTEMPT TO RECOUP LOSSES SUSTAINED IN A NUMBER OF ALTERNATIVE INVESTMENTS WHICH THE CLIENT MADE ONLY AFTER ACKNOWLEDGING IN WRITING, IN THE SUBSCRIPTION AGREEMENTS (AND/OR OTHER OFFERING DOCUMENTS) THAT THE INVESTMENTS WERE SPECULATIVE AND COULD RESULT IN THE COMPLETE LOSS OF INVESTMENT. THEY WERE SUITABLE IN LIGHT OF THE CLIENTS OBJECTIVES, RISK TOLERANCE, AND FINANCIAL PROFILE. BOTH PARTIES ENTERED AN AGREEMENT FOR SETTLEMENT OF THE DISPUTED CLAIMS SOLELY TO AVOID THE INCONVENIENCE, EXPENSE, AND UNCERTAINTY OF LITIGATION, AND, BY SETTLING THIS CLAIM, MR. BRESKY DOES NOT ADMIT ANY LIABILITY OR VIOLATION OF ANY LAW, STATUTE OR REGULATION.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ALTERNATIVE WEALTH STRATEGIES, INC.
Allegations:	FALSE AND MISLEADING REPRESENTATIONS, AND OMISSIONS OF MATERIAL FACTS.
Product Type:	Real Estate Security
Alleged Damages:	$164,781.00
Alleged Damages Amount Explanation (if amount not exact):	$164,781.00 PLUS INTEREST
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:	02/25/2013
Complaint Pending?	No
Status:	Settled
Status Date:	05/08/2014
Settlement Amount:	$20,000.00
Individual Contribution Amount:	$20,000.00
Broker Statement	CUSTOMER COMPLAINED IN WRITING BUT HAS NOT INITIATED A LEGAL ACTION. IN ANY EVENT, THE COMPLAINT IS A BELATED ATTEMPT TO RECOUP LOSSES SUSTAINED IN A NUMBER OF ALTERNATIVE INVESTMENTS WHICH THE CLIENT MADE ONLY AFTER ACKNOWLEDGING IN WRITING, IN THE SUBSCRIPTION AGREEMENTS (AND/OR OTHER OFFERING DOCUMENTS) THAT THE INVESTMENTS WERE SPECULATIVE AND COULD RESULT IN THE COMPLETE LOSS OF INVESTMENT. THEY WERE SUITABLE IN LIGHT OF THE CLIENTS OBJECTIVES, RISK TOLERANCE, AND FINANCIAL PROFILE. BOTH PARTIES ENTERED AN AGREEMENT FOR SETTLEMENT OF THE DISPUTED CLAIMS SOLELY TO AVOID THE INCONVENIENCE, EXPENSE AND UNCERTAINTY OF LITIGATION, AND, BY SETTLING THIS CLAIM, MR. BRESKY DOES NOT ADMIT ANY LIABILITY OR VIOLATION OF ANY LAW, STATUTE OR REGULATION.

End of Report

This page is intentionally left blank.

