



IAPD Report

ROBERT BERRY

CRD# 1575345

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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 BERRY (CRD# 1575345)

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 **03/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MOMENTUM INDEPENDENT NETWORK INC.	CRD# 17587	01/03/2023
IA	MOMENTUM INDEPENDENT NETWORK INC.	CRD# 17587	05/04/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **27** 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	NTB FINANCIAL CORPORATION	7425	Scottsdale, AZ	01/28/2020 - 12/31/2022
B	PORT SECURITIES, INC.	43936	NEWPORT BEACH, CA	02/21/2014 - 03/15/2019
B	BERRY-SHINO SECURITIES, INC.	38098	SCOTTSDALE, AZ	09/27/1995 - 02/21/2014

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

Employment 1 of 1

Firm Name: **MOMENTUM INDEPENDENT NETWORK INC.**

Main Address: 717 N. HARWOOD STREET
SUITE 3400
DALLAS, TX 75201

Firm ID#: 17587

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/03/2023
B	FINRA	General Securities Representative	Approved	01/03/2023
B	FINRA	Investment Banking Representative	Approved	01/03/2023
B	FINRA	Operations Professional	Approved	01/03/2023
B	Arizona	Agent	Approved	01/03/2023
IA	Arizona	Investment Adviser Representative	Approved	10/30/2025
B	California	Agent	Approved	01/03/2023
B	Colorado	Agent	Approved	01/03/2023
IA	Colorado	Investment Adviser Representative	Approved	11/13/2025
B	District of Columbia	Agent	Approved	01/03/2023
B	Florida	Agent	Approved	01/03/2023
B	Illinois	Agent	Approved	01/09/2023
B	Indiana	Agent	Approved	01/16/2023



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	01/03/2023
B	Kansas	Agent	Approved	01/03/2023
B	Maryland	Agent	Approved	01/03/2023
B	Massachusetts	Agent	Approved	01/03/2023
B	Michigan	Agent	Approved	01/03/2023
B	Minnesota	Agent	Approved	01/06/2023
B	Missouri	Agent	Approved	01/03/2023
B	Nevada	Agent	Approved	01/03/2023
B	New Hampshire	Agent	Approved	01/03/2023
B	New Jersey	Agent	Approved	01/03/2023
B	New Mexico	Agent	Approved	01/03/2023
B	North Carolina	Agent	Approved	03/20/2025
B	Oregon	Agent	Approved	01/06/2023
B	Pennsylvania	Agent	Approved	10/24/2023
B	South Carolina	Agent	Approved	08/08/2023
B	South Dakota	Agent	Approved	01/11/2023
B	Texas	Agent	Approved	01/03/2023
B	Utah	Agent	Approved	01/04/2023
B	Virginia	Agent	Approved	01/03/2023



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	10/23/2025

Branch Office Locations

MOMENTUM INDEPENDENT NETWORK INC.
717 N. HARWOOD STREET
SUITE 3400
DALLAS, TX 75201

MOMENTUM INDEPENDENT NETWORK INC.
7825
E. GELDING #103
SCOTTSDALE, AZ 85260



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination (S24)	Series 24	01/25/1988

General Industry/Product Exams

Exam	Category	Date
B Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	11/15/1986

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/14/2022
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/25/1986



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
B	01/28/2020 - 12/31/2022	NTB FINANCIAL CORPORATION	CRD# 7425	Scottsdale, AZ
B	02/21/2014 - 03/15/2019	PORT SECURITIES, INC.	CRD# 43936	NEWPORT BEACH, CA
B	09/27/1995 - 02/21/2014	BERRY-SHINO SECURITIES, INC.	CRD# 38098	SCOTTSDALE, AZ
B	10/19/1992 - 11/27/1995	PRESIDENTIAL BROKERAGE, INC.	CRD# 28784	AUSTIN, TX
B	02/08/1989 - 10/22/1992	ROCKY MOUNTAIN SECURITIES & INVESTMENTS, INC.	CRD# 8350	DENVER, CO
B	11/21/1986 - 02/01/1989	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
01/2023 - Present	Momentum Independent Network	Registered Rep	Y	Dallas, TX, United States
01/2020 - 01/2023	NTB Financial Corporation	Investment Representative	Y	Centennial, CO, United States
04/2019 - 12/2019	Unemployed	Unemployed	N	Scottsdale, AZ, United States
02/2014 - 03/2019	PORT SECURITIES, INC.	FINANCIAL ADVISOR	Y	NEWPORT BEACH, CA, 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] McDowell Shadows 3 HOA; Non-Investment Related, 85260 Scottsdale AZ, Home Owners Association, Vice President/Board Member, 2/6/2026 Start Date, 1 hrs/mo Non-Business Hrs, 0 hrs/mo Trading Hrs.



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
Customer Dispute	3

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	10/12/1995
Docket/Case Number:	C3A950050
Employing firm when activity occurred which led to the regulatory action:	PRESIDENTIAL BROKERAGE INC.
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	10/12/1995
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00
Other Sanctions Ordered:	
Sanction Details:	

**Regulator Statement**

ON OCTOBER 12, 1995, DISTRICT NO. 3 NOTIFIED RESPONDENT ROBERT L. BERRY THAT THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. C3A950050 WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$5,000 - (ARTICLE III, SECTIONS 1 AND 40 OF THE RULES OF FAIR PRACTICE - RESPONDENT BERRY WAS A DIRECTOR AND SHAREHOLDER OF A CORPORATION THAT HAD NOT YET ENGAGED IN BUSINESS AND WHICH CONDUCTED A PRIVATE PLACEMENT OF ITS OWN SECURITIES AND FAILED TO PROVIDE HIS MEMBER FIRM WRITTEN NOTICE DESCRIBING IN DETAIL THE PROPOSED OFFERING).

\$5,000.00 FULLY PAID AS OF 08/05/96, INVOICE #95-3A-690

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Censure

Other Sanction(s) Sought:

Date Initiated: 10/12/1995

Docket/Case Number: C3A950050

Employing firm when activity occurred which led to the regulatory action: PRESIDENTIAL BROKERAGE INC.

Product Type: No Product

Other Product Type(s):

Allegations: ALLEGED THAT I "PARTICIPATED" IN AN OFFERING OF SECURITIES OF BERRY-SHINO SECURITIES, INC. ("B-SSI") AND THAT I "RECEIVED SELLING COMPENSATION" THEREFORE WITHOUT GIVING PRIOR WRITTEN NOTICE TO PRESIDENTIAL BROKERAGE, INC OF THE DETAILS OF THIS OFFERING. NO DAMAGES CLAIMED

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/12/1995

Sanctions Ordered: Censure
Monetary/Fine \$5,000.00

Other Sanctions Ordered:

Sanction Details: CENSURE AND \$5,000 FINE. PAID 12/95

Broker Statement MY ONLY CONNECTION WITH THIS OFFERING WAS AS A SHAREHOLDER OF B-SSI. I DID NOT SOLICIT ANY PURCHASERS AND DID NOT RECEIVE ANY COMMISSION ON ACCOUNT OF THESE SALES. I GAVE PRESIDENTIAL BROKERAGE, INC. PRIOR WRITTEN NOTICE OF MY AFFILIATION WITH B-SSI AND ITS PLAN TO BECOME AN NASD MEMBER,WHICH WAS ACCOMPLISHED ON 02-95. THE STAFF OF NASD DISTRICT 3 SAID THAT THIS WAS A TECHNICAL VIOLATION AND RECOMMENDED THE MINIMUM SANCTION, WHICH WAS APPROVED BY DISTRICT 3 DBBC



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: BERRY-SHINO SECURITIES, INC.

Allegations: UNSUITABILITY, NEGLIGENCE, MISREPRESENTATION AND FRAUD, FAILURE TO DIVERSIFY, UNAUTHORIZED TRADING, UNAUTHORIZED USE OF MARGIN, CHURNING, BREACH OF FIDUCIARY DUTIES, VIOLATION OF FEDERAL SECURITIES LAWS, VIOLATION OF NASD RULES OF FAIR PRACTICE, BREACH OF CONTRACT, ELDER ABUSE, AND FAILURE TO SUPERVISE DURING THE PERIOD JUNE 2000 TO OCT 2001.

Product Type: Equity - OTC

Alleged Damages: \$77,938.00

Customer Complaint Information

Date Complaint Received: 02/08/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 02/08/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR 01-07130

Date Notice/Process Served: 02/08/2002

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/15/2004

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement REGISTRANT WAS ONLY NAMED BECAUSE OF HIS OWNERSHIP POSITION IN THE FIRM AND HAD NO SUPERVISORY RESPONSIBILITY OVER THE ACCOUNT. TO AVOID THE COST OF ARBITRATION THE CASE WAS SETTLED WITHOUT FINDING OF FAULT ON ANY PARTY.

**Disclosure 2 of 3**

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BERRY-SHINO SECURITIES, INC.

Allegations: FAILURE TO SUPERVISE, SUITABILITY, NEGLIGENCE. DATES JUNE 1997 TO SEPT 1998.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): OPTIONS

Alleged Damages: \$85,807.00

Customer Complaint Information

Date Complaint Received: 07/23/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/16/2001

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARB NO. 99-02875

Date Notice/Process Served: 07/19/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/16/2001

Monetary Compensation Amount: \$43,000.00

Individual Contribution Amount: \$0.00

Broker Statement IN ORDER TO AVOID FURTHER LITIGATION AND TRAVEL EXPENSES, WITHOUT ANY ADMISSION OF WRONGDOING BY BERRY-SHINO SECURITIES, INC OR BIRCHTREE FINANCIAL SERVICES INC. AND WITH EACH PARTY BEARING THEIR OWN COSTS AND ATTORNEY'S FEES THE CLAIMANTS WITHDREW AND DISCONTINUED THEIR STATEMENT OF CLAIM AND DISMISS WITH PREJUDICE ALL CLAIM AGAINST RESPONDENTS.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRESIDENTIAL BROKERAGE

Allegations: UNSUITABLE INVESTMENTS, MAKING FALSE AND MISLEADING STATEMENTS SURROUNDING THE PURCHASE AND SALES OF SECURITIES,



EMPLOYED DEVICES, SCHEMES AND ARTIFICES TO DEFRAUD CLAIMANT BY MEANS OF UNTRUE STATEMENTS OF MATERIAL FACT OR OMISSIONS, OVERCONCENTRATION, LACK OF DUE DILIGENCE ON RECOMMENDATIONS, BREACH OF FIDUCIARY DUTY. DATES OF ALLEGED ACTIVITY JULY 1992 TO FEB 1995.

Product Type: Equity - OTC

Alleged Damages: \$94,000.00

Customer Complaint Information

Date Complaint Received: 01/26/1999

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/26/1999

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD ARBITRATION NO. 98-04905

Date Notice/Process Served: 01/26/1999

Arbitration Pending? No

Disposition: Settled

Disposition Date: 11/26/2001

Monetary Compensation Amount: \$9,999.00

Individual Contribution Amount: \$9,999.00

Broker Statement IN ORDER TO AVOID THE COST OF ARBITRATION THE PARTIES SETTLED WITHOUT ADMITTING ANY GUILT OR RESPONSIBILITY.



End of Report

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