



IAPD Report

ALEXANDER GENE MONTANO

CRD# 1961932

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8



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

ALEXANDER GENE MONTANO (CRD# 1961932)

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 **01/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	10/07/2013
IA	ROTH CAPITAL PARTNERS, LLC	CRD# 15407	10/08/2013

QUALIFICATIONS

This representative is currently registered in **2** 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	C.K. COOPER & COMPANY, INC.	106578	IRVINE, CA	10/12/2007 - 09/06/2013
IA	PALADIN CAPITAL PARTNERS, INC.	115200	IRVINE, CA	08/16/2007 - 09/06/2013
B	C.K. COOPER & COMPANY, INC.	106578	IRVINE, CA	04/30/2001 - 08/30/2013

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	4



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 2 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ROTH CAPITAL PARTNERS, LLC**

Main Address: 888 SAN CLEMENTE DRIVE
NEWPORT BEACH, CA 92660

Firm ID#: 15407

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/07/2013
B	FINRA	General Securities Principal	Approved	10/07/2013
B	FINRA	General Securities Representative	Approved	10/07/2013
B	FINRA	Investment Banking Representative	Approved	10/07/2013
B	FINRA	Securities Trader	Approved	01/04/2016
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Operations Professional	Approved	10/01/2018
B	Nasdaq Stock Market	Financial and Operations Principal	Approved	10/07/2013
B	Nasdaq Stock Market	General Securities Principal	Approved	10/07/2013
B	Nasdaq Stock Market	General Securities Representative	Approved	10/07/2013
B	Nasdaq Stock Market	Securities Trader	Approved	01/04/2016
B	California	Agent	Approved	10/07/2013
IA	California	Investment Adviser Representative	Approved	10/08/2013



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	06/23/2015
B	New York	Agent	Approved	06/09/2015
B	Texas	Agent	Approved	06/08/2015

Branch Office Locations

ROTH CAPITAL PARTNERS, LLC
888 SAN CLEMENTE
SUITE 400
NEWPORT BEACH, CA 92660





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 2 principal/supervisory exams, 6 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	Financial and Operations Principal Examination (S27)	Series 27	01/02/2023
	General Securities Principal Examination (S24)	Series 24	01/02/2023

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Securities Trader Exam (S57TO)	Series 57TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Limited Representative-Equity Trader Exam (S55)	Series 55	09/07/2006
	General Securities Representative Examination (S7)	Series 7	08/19/1989

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	01/04/1991



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
IA	10/12/2007 - 09/06/2013	C.K. COOPER & COMPANY, INC.	CRD# 106578	IRVINE, CA
IA	08/16/2007 - 09/06/2013	PALADIN CAPITAL PARTNERS, INC.	CRD# 115200	IRVINE, CA
B	04/30/2001 - 08/30/2013	C.K. COOPER & COMPANY, INC.	CRD# 106578	IRVINE, CA
B	11/21/1996 - 01/04/1999	C.K. COOPER & COMPANY, INC.	CRD# 13653	IRVINE, CA
B	04/10/1995 - 12/03/1997	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SAN JUAN CAPISTRANO, CA
B	01/03/1995 - 04/10/1995	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA
B	08/29/1989 - 12/31/1994	MONTANO SECURITIES CORPORATION	CRD# 7887	ORANGE, CA
B	03/06/1992 - 08/25/1992	BARABAN SECURITIES, INC.	CRD# 7659	LOS ANGELES, CA

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
10/2013 - Present	ROTH CAPITAL PARTNERS, LLC	MANAGING DIRECTOR	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.

Name of Business: Roth Principal Investments, LLC

Investment Related: Yes

Business Address: 2340 Collins Avenue, Suite 402 Miami Beach, FL 33139

Nature of Business: Provide Equity Lines of Credit ("ELOC") to issuers/ELOC investors

Position /Title: Origination Officer

Start Date of Relationship: 12/15/2025

Approximate number of hours/month devoted to the business: 5

Approximate number of hours devoted to the business during securities trading hours: 5



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Duties: Identify companies that are candidates for an ELOC facility



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	C. K. COOPER & COMPANY INC.
Allegations:	MISREPRESENTATION, BREACH OF FIDUCIARY DUTIES, SUCCESSOR IN INTEREST.
Product Type:	Promissory Note
Alleged Damages:	\$779,954.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-04295
Date Notice/Process Served:	01/24/2012
Arbitration Pending?	Yes
Broker Statement	THIS ARBITRATION IS WITHOUT MERIT FOR THE FOLLOWING REASONS: 1)[CUSTOMER], INDIVIDUALLY AND AS A TRUSTEE OF THE [CUSTOMER] LIVING TRUST U/A DTD 12/31/2006 HAVE NEVER BEEN CUSTOMERS OF [THIRD PARTY], [THIRD PARTY], ALEXANDER G. MONTANO NOR C.K. COOPER & COMPANY INC. 2)C. K. COOPER & COMPANY INC. HAS NEVER SOLD ANY FINANCIAL INTEREST IN OR PROMISSORY NOTES OF WESTMOORE SECURITIES, INC. OR ANY OF ITS AFFILIATES. 3)THE WESTMOORE EMPLOYEES NAMED IN THE ARBITRATION WERE EITHER TERMINATED PRIOR TO OR AFTER THE TRANSACTIONS IN QUESTION



WERE EXECUTED. 4)C. K. COOPER & COMPANY NEVER APPROVED, REVIEWED OR SUPERVISED ANY OF THE TRANSACTIONS IN QUESTION. 5)C. K. COOPER & COMPANY INC. AND WESTMOORE SECURITIES HAVE NEVER MERGED THEIR OPERATIONS. SUBSEQUENT TO THE RECEIPT OF THIS ARBITRATION NOTICE, C. K. COOPER'S COUNSEL HAD FILED A PETITION TO BE DISMISSED FROM THIS ARBITRATION DUE TO THE FACT THAT THE FIRM DOES NOT HAVE ANY LIABILITY OR RESPONSIBILITY IN THIS MATTER.

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: C. K. COOPER & COMPANY INC.

Allegations: MISREPRESENTATION, BREACH OF FIDUCIARY DUTIES, SUCCESSOR IN INTEREST

Product Type: Promissory Note

Alleged Damages: \$356,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-04450

Date Notice/Process Served: 12/26/2011

Arbitration Pending? Yes

Broker Statement THIS ARBITRATION IS WITHOUT MERIT FOR THE FOLLOWING REASONS: 1)[CUSTOMER], INDIVIDUALLY AND ON BEHALF OF THE [CUSTOMER] IRA, AND AS A SUCCESSOR TRUSTEE OF THE [THIRD PARTY] AND [CUSTOMER] REVOCABLE TRUST DATED AUGUST 1, 2005 HAVE NEVER BEEN CUSTOMERS OF [THIRD PARTY], [THIRD PARTY], ALEXANDER G. MONTANO NOR C.K. COOPER & COMPANY INC. 2)C. K. COOPER & COMPANY INC. HAS NEVER SOLD ANY FINANCIAL INTEREST IN OR PROMISSORY NOTES OF WESTMOORE SECURITIES, INC. OR ANY OF ITS AFFILIATES. 3)THE WESTMOORE EMPLOYEES NAMED IN THE ARBITRATION WERE EITHER TERMINATED PRIOR TO OR AFTER THE TRANSACTIONS IN QUESTION WERE EXECUTED. 4)C. K. COOPER & COMPANY NEVER APPROVED, REVIEWED OR SUPERVISED ANY OF THE TRANSACTIONS IN QUESTION. 5)C. K. COOPER & COMPANY INC. AND WESTMOORE SECURITIES HAVE NEVER MERGED THEIR OPERATIONS. SUBSEQUENT TO THE RECEIPT OF THIS ARBITRATION NOTICE, C. K. COOPER'S COUNSEL HAD FILED A PETITION TO BE DISMISSED FROM THIS ARBITRATION DUE TO THE FACT THAT THE FIRM DOES NOT HAVE ANY LIABILITY OR RESPONSIBILITY IN THIS MATTER.

Disclosure 3 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: C.K. Cooper & Company, Inc.



Allegations: Montano was named in a customer complaint that asserted the following causes of action: fraud; suitability; breach of fiduciary duty; negligence; breach of contract; breach of implied covenant of good faith and fair dealing; supervision; respondeat superior liability; fraud; fraudulent transfer; conspiracy; and disgorgement.

Product Type: Promissory Note
Other: unregistered offerings of unspecified stock and membership units

Alleged Damages: \$495,315.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-05679](#)

Date Notice/Process Served: 12/17/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 04/03/2013

Disposition Detail: Respondent Montano is jointly and severally liable for and shall pay to Claimants compensatory damages in the amount of \$495,315.00, plus interest, is jointly and severally liable for and shall pay to Claimants attorneys' fees in the amount of \$191,954.00, and is liable for and shall pay to Claimants \$375.00 as reimbursement for the non-refundable portion of the initial claim filing fee previously paid by Claimants to FINRA.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: C.K. COOPER & COMPANY INC.

Allegations: MISREPRESENTATION, BREACH OF FIDUCIARY DUTIES - SUCCESOR IN INTEREST.

Product Type: Promissory Note

Alleged Damages: \$562,897.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [10-05679](#)

Date Notice/Process Served: 02/11/2011

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/03/2013

Monetary Compensation Amount: \$821,000.00

Individual Contribution Amount: \$821,000.00

Broker Statement THIS ARBITRATION IS WITHOUT MERIT FOR THE FOLLOWING REASONS: 1.



[CUSTOMER], [CUSTOMER], [CUSTOMER], [CUSTOMER] FAMILY TRUST AND [CUSTOMER] HAVE NEVER BEEN CUSTOMERS OF [THIRD PARTY], [THIRD PARTY], ALEXANDER MONTANO NOR CK COOPER. 2. CK COOPER HAS NEVER SOLD ANY FINANCIAL INTEREST IN OR PROMISSORY NOTES OF WESTMOORE SECURITIES, INC. OR ANY OF ITS AFFILIATES. WE REQUESTED TO BE DISMISSED. IT WAS DENIED

Disclosure 4 of 4

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MONTANO SECURITIES CORP

Allegations: MISREPRESENTATION; OMISSION OF FACTS; BREACH OF FIDUCIARY DUTY;

Product Type: Other

Other Product Type(s): UNSPECIFIED TYPE OF SECURITIES

Alleged Damages: \$112,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #95-04735](#)

Date Notice/Process Served: 10/05/1995

Arbitration Pending? No

Disposition: Award

Disposition Date: 08/22/1997

Disposition Detail: RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANTS COMPENSATORY DAMAGES IN THE SUM OF \$112,500, PLUS INTEREST AND \$12,500 IN PUNITIVE DAMAGES.

.....

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MONTANO SECURITIES CORP

Allegations: ALLEGED SALE OF UNSUITABLE AND UNMARKETABLE SECURITIES TO PUBLIC CUSTOMERS.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$504,745.00

Alleged Damages Amount Explanation (if amount not exact): \$112,500 COMPENSATORY DAMAGES; \$17,245 INTEREST; \$37,500 ATTORNEYS FEES, \$337,500 PUNITIVE DAMAGES, TOTAL OF \$504,745.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)



Status Date: 01/05/1999

Settlement Amount: \$325,000.00

Individual Contribution Amount: \$60,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): NASD

Docket/Case #: [95-04735](#)

Date Notice/Process Served: 10/12/1995

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 08/11/1997

Monetary Compensation Amount: \$325,000.00

Individual Contribution Amount: \$60,000.00

Broker Statement

AWARD, JOINTLY AND SEVERALLY \$112,000.00 IN COMPENSATORY DAMAGES AND \$37,500.00 IN ATTORNEY'S FEES, AND \$12,500.00 IN PUNATIVE DAMAGES. I WAS NAMED IN THIS MATTER AND GIVEN THAT I WAS A DIRECTOR OF THAT COMPANY. HOWEVER, A SETTLEMENT WAS REACHED TOTALING \$60,000.00 OF WHICH \$35,000 WAS PAID UPON ENTERING INTO THE SETTLEMENT AGREEMENT, AND \$25,000 WAS PAYABLE SIX MONTHS LATER.

THE CLAIMANTS WERE BOTH SHAREHOLDERS AND STUDENTS OF MONTANO SECURITIES CORPORATINO (MSC). MSC CREATED A SYSTEM WHERE INDIVIDUALS WERE TRAINED TO BE STOCKBROKERS. MSC OFFERED CLASSES THROUGH WHICH AN INDIVIDUAL COULD TAKE THE SERIES 7 EXAM. IT WAS ALLEGED THAT MSC USED THEIR CLASSES AND TRADING FLOORS AS VEHICLES TO OFFER AND SELL SHARES OF MSC AT INFLATED PRICES.

DIRECTOR OF THAT COMPANY, I WAS FOUND LIABLE.



End of Report

This page is intentionally left blank.