



## IAPD Report

# ANTHONY JERRY KULHANEK

CRD# 1977093

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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

### ANTHONY JERRY KULHANEK (CRD# 1977093)

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 **11/21/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	REALTA EQUITIES, INC.	CRD# 23769	07/02/2023
<b>IA</b>	REALTA INVESTMENT ADVISORS, INC	CRD# 134952	01/17/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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>IA</b>	CRESCENT ADVISOR GROUP, INC.	115974	Highland Village, TX	01/25/2024 - 01/02/2025
<b>IA</b>	COASTAL INVESTMENT ADVISORS	134952	Highland Village, TX	11/16/2023 - 12/21/2023
<b>B</b>	TITAN SECURITIES	131392	PLANO, TX	09/04/2012 - 06/30/2023

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

### Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**  
Main Address: 1201 N. ORANGE STREET  
SUITE 729  
WILMINGTON, DE 19801  
Firm ID#: 23769

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	07/02/2023
	FINRA	General Securities Representative	Approved	07/02/2023
	FINRA	Invest. Co and Variable Contracts	Approved	07/02/2023
	FINRA	Investment Co./Variable Contracts Prin	Approved	07/02/2023
	Alabama	Agent	Approved	07/02/2023
	Arizona	Agent	Approved	11/30/2023
	Arkansas	Agent	Approved	07/02/2023
	California	Agent	Approved	07/02/2023
	Colorado	Agent	Approved	07/06/2023
	Florida	Agent	Approved	07/02/2023
	Kansas	Agent	Approved	07/02/2023
	Missouri	Agent	Approved	07/02/2023
	New Jersey	Agent	Approved	11/21/2025



## Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	11/30/2023
B	South Carolina	Agent	Approved	07/02/2023
B	South Dakota	Agent	Approved	07/25/2023
B	Texas	Agent	Approved	07/05/2023

## Branch Office Locations

**COASTAL EQUITIES, INC.**  
Lantana, TX

## Employment 2 of 2

Firm Name: **REALTA INVESTMENT ADVISORS, INC**  
Main Address: 1201 N. ORANGE STREET  
SUITE 729  
WILMINGTON, DE 19801  
Firm ID#: 134952

	Regulator	Registration	Status	Date
IA	Texas	Investment Adviser Representative	Approved	01/17/2025

## Branch Office Locations

**REALTA INVESTMENT ADVISORS, INC**  
Lantana, TX



## 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, 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	12/14/2001
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/14/1990

#### 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	08/28/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/16/1989

#### State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/2023
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/25/1989



### 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	01/25/2024 - 01/02/2025	CRESCENT ADVISOR GROUP, INC.	CRD# 115974	Highland Village, TX
IA	11/16/2023 - 12/21/2023	COASTAL INVESTMENT ADVISORS	CRD# 134952	Highland Village, TX
B	09/04/2012 - 06/30/2023	TITAN SECURITIES	CRD# 131392	PLANO, TX
B	06/11/1999 - 08/07/2012	BENNETT ROSS, INC.	CRD# 42850	FORT WORTH, TX
B	03/03/1999 - 06/14/1999	FIRST FINANCIAL UNITED INVESTMENTS LTD., L.L.P.	CRD# 41528	KINGWOOD, TX
B	08/21/1997 - 03/12/1999	RETIREMENT INVESTMENT GROUP	CRD# 7421	HOUSTON, TX
B	11/20/1989 - 08/05/1997	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

### 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
01/2025 - Present	REALTA INVESTMENT ADVISORS, INC.	IAR	Y	WILMINGTON, DE, United States
06/2023 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
03/2024 - 12/2024	Crescent Advisors Group, Inc.	RIA	Y	Plano, TX, United States
11/2023 - 12/2023	COASTAL INVESTMENT ADVISORS, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	WILMINGTON, DE, United States
09/2012 - 06/2023	TITAN SECURITIES	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, 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.

(1) Kulhanek Investment Specialty Services DBA; located at 1609 Trinidad Way Lantana, TX 76226; Created to protect assets from litigation or lawsuits; President/Director; 40 hours per week during normal trading hours. (2). Realta Investment Advisors Inc.; Investment related; start: 01/2025; 1201 N. Orange Street #729, Wilmington, DE 19801; Investment Advisor Representative; Investment Advisory Services; Compensation in the form of fees; 5-10+ hours/week during normal 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

### 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Bennett Ross
<b>Allegations:</b>	This was a 1031 exchange that took place in 2006
<b>Product Type:</b>	Other: TIC 1031 exchange
<b>Alleged Damages:</b>	\$225,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	This was the clients initial investment amount
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	

#### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	16-02905
<b>Date Notice/Process Served:</b>	05/28/2015
<b>Arbitration Pending?</b>	No



**Disposition:** Settled

**Disposition Date:** 03/21/2019

**Monetary Compensation Amount:** \$8,500.00

**Individual Contribution Amount:** \$8,500.00

**Broker Statement**

This is Mr. Kulhanek's, the Rep, one and only customer complaint/arbitration case (Claim #15-00852, & refiled as Claim #16-02905) during his financial services career spanning 30+ years. Mr. Kulhanek refuted all claims and allegations and defended them as best he could, which were made by the Claimant under the circumstances. The claimant was an experienced, Accredited Investor who was provided with all related information and materials supplied by the Investment Sponsor and had previously been reviewed by the SEC, NASD/FINRA prior to receipt by the client. (Upon further review, the Client/Claimant and Mr. Kulhanek, Rep., also had a prior investment relationship with the same Investment Sponsor, which was successful and made prior to the investment in question.)

Mr. Kulhanek's recommendations were believed to be suitable in consideration of the client's investment objectives, Client/Claimant's request for this type of product, and previous experience in real estate and other investments the client held at the time, and once again prior to the investment in question.

Mr. Kulhanek had no influence and/or participation in the Operations or Management of the Claimant's investment in question (through the Sponsor) during the 10 years held and should not be held responsible for the major economic downturn and impact experienced throughout the U.S., especially in Florida (the location of the investment in question) during the 2007-2011 U.S. Recession which occurred between the Original Investment (2005) and the subsequent 10-12 years when the Original Arbitration Case was filed (2015), and then refiled (2017), once it was separated, from the unrelated Claimant's allegations.

Mr. Kulhanek reluctantly agreed to an \$8,500.00 settlement rather than continuing to defend the case which had no archived records from his former Broker/Dealer that could be used to aid his defense. The Client/Claimant's records/files were retained by Mr. Kulhanek's prior firm, Bennett Ross, Inc., which Closed in 2012. Claimant's records are not known to still exist as it was well past the 6 Year Records Retention Period, upon the filing of the original claim in 2015. These unforeseen circumstances had left Mr. Kulhanek with no documentation to aid his defense. From a Client's Investment in 2005 to a Settlement in 2019, 14 years after the investment, with potentially more to lose than to gain, Mr. Kulhanek very reluctantly agreed to a settlement, rather than continue to legally defend against these unfair allegations. Mr. Kulhanek was represented by counsel and vehemently refuted all of the allegations.

## Disclosure 2 of 2

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** BENNETT ROSS

**Allegations:** THIS WAS A 1031 EXCHANGE THAT TOOK PLACE IN 2006.

**Product Type:** Real Estate Security  
Other: TIC / 1031 EXCHANGE



**Alleged Damages:** \$225,000.00

**Alleged Damages Amount Explanation (if amount not exact):** CLIENTS INITIAL INVESTMENT AMOUNT

### Arbitration Information

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

**Docket/Case #:** [15-00852](#)

**Date Notice/Process Served:** 05/28/2015

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 03/21/2019

**Monetary Compensation Amount:** \$8,500.00

**Individual Contribution Amount:** \$8,500.00

### Broker Statement

This is Mr. Kulhanek's, the Rep, one and only customer complaint/arbitration case (Claim #15-00852, & refiled as Claim #16-02905) during his financial services career spanning 30+ years. Mr. Kulhanek refuted all claims and allegations and defended them as best he could, which were made by the Claimant under the circumstances. The claimant was an experienced, Accredited Investor who was provided with all related information and materials supplied by the Investment Sponsor and had previously been reviewed by the SEC, NASD/FINRA prior to receipt by the client. (Upon further review, the Client/Claimant and Mr. Kulhanek, Rep., also had a prior investment relationship with the same Investment Sponsor, which was successful and made prior to the investment in question.)

Mr. Kulhanek's recommendations were believed to be suitable in consideration of the client's investment objectives, Client/Claimant's request for this type of product, and previous experience in real estate and other investments the client held at the time, and once again prior to the investment in question.

Mr. Kulhanek had no influence and/or participation in the Operations or Management of the Claimant's investment in question (through the Sponsor) during the 10 years held and should not be held responsible for the major economic downturn and impact experienced throughout the U.S., especially in Florida (the location of the investment in question) during the 2007-2011 U.S. Recession which occurred between the Original Investment (2005) and the subsequent 10-12 years when the Original Arbitration Case was filed (2015), and then refiled (2017), once it was separated, from the unrelated Claimant's allegations.

Mr. Kulhanek reluctantly agreed to an \$8,500.00 settlement rather than continuing to defend the case which had no archived records from his former Broker/Dealer that could be used to aid his defense. The Client/Claimant's records/files were retained by Mr. Kulhanek's prior firm, Bennett Ross, Inc., which Closed in 2012. Claimant's records are not known to still exist as it was well past the 6 Year Records Retention Period, upon the filing of the original claim in 2015. These unforeseen circumstances had left Mr. Kulhanek with no documentation to aid his defense. From a Client's Investment in 2005 to a Settlement in 2019, 14 years



after the investment, with potentially more to lose than to gain, Mr. Kulhanek very reluctantly agreed to a settlement, rather than continue to legally defend against these unfair allegations. Mr. Kulhanek was represented by counsel and vehemently refuted all of the allegations.



## End of Report

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