



IAPD Report

ULDERICO CONTE

CRD# 2163160

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 7
Disclosure Information	8

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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

ULDERICO CONTE (CRD# 2163160)

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 **01/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CM CAPITAL PARTNERS	CRD# 291720	01/25/2018
B	SPENCER-WINSTON SECURITIES CORPORATION	CRD# 8300	01/06/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	CIM SECURITIES, LLC	120852	Wall Township, NJ	09/26/2022 - 01/06/2026
B	BA SECURITIES, LLC	153489	W. CONSHOHOCKEN, PA	07/21/2022 - 09/01/2022
B	AEON CAPITAL INC	164004	NEW YORK, NY	02/20/2018 - 07/22/2022

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
Judgment/Lien	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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **SPENCER-WINSTON SECURITIES CORPORATION**
Main Address: 45 WEST 47TH STREET SUITE 402
NEW YORK, NY 10036-2825
Firm ID#: 8300

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	01/06/2026
B FINRA	General Securities Representative	Approved	01/06/2026
B FINRA	Investment Banking Representative	Approved	01/06/2026
B New Jersey	Agent	Approved	02/10/2026
B New York	Agent	Approved	01/06/2026

Branch Office Locations

45 WEST 47TH STREET SUITE 402
NEW YORK, NY 10036-2825

Employment 2 of 2

Firm Name: **CM CAPITAL PARTNERS**
Main Address: 6 HORSESHOE DRIVE
MILLSTONE TOWNSHIP, NJ 08535
Firm ID#: 291720

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	12/23/2019
IA Louisiana	Investment Adviser Representative	Approved	02/20/2018



Qualifications

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	08/16/2019
IA New Jersey	Investment Adviser Representative	Approved	01/25/2018
IA New York	Investment Adviser Representative	Approved	08/03/2021

Branch Office Locations

CM CAPITAL PARTNERS
6 HORSESHOE DRIVE
MILLSTONE TOWNSHIP, NJ 08535




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
 General Securities Principal Examination (S24)	Series 24	06/18/2018

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Banking Registered Representative Examination (S79)	Series 79	01/09/2018
 Limited Representative-Equity Trader Exam (S55)	Series 55	03/08/2001
 General Securities Representative Examination (S7)	Series 7	11/22/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/18/2017
 Uniform Securities Agent State Law Examination (S63)	Series 63	12/07/2016

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	09/26/2022 - 01/06/2026	CIM SECURITIES, LLC	CRD# 120852	Wall Township, NJ
B	07/21/2022 - 09/01/2022	BA SECURITIES, LLC	CRD# 153489	W. CONSHOHOCKEN, F
B	02/20/2018 - 07/22/2022	AEON CAPITAL INC	CRD# 164004	NEW YORK, NY
IA	08/25/2017 - 02/01/2018	GARDEN STATE INVESTMENT ADVISORY SERVICES, LLC	CRD# 133088	RED BANK, NJ
B	10/14/2016 - 02/01/2018	GARDEN STATE SECURITIES, INC.	CRD# 10083	HENDERSON, NV
B	05/04/2005 - 11/22/2011	PIN FINANCIAL, LLC	CRD# 132876	NEW YORK, NY
B	10/25/2004 - 05/25/2005	GARDEN STATE SECURITIES, INC.	CRD# 10083	RED BANK, NJ
B	06/30/2003 - 10/15/2004	TRADITION ASIEL SECURITIES INC.	CRD# 28269	NEW YORK, NY
B	10/25/2002 - 02/07/2003	ANDOVER BROKERAGE, L.L.C.	CRD# 33848	MONTEBELLO, NY
B	01/16/2001 - 09/26/2002	STONE HARBOR FINANCIAL SERVICES, LLC	CRD# 102320	FREEHOLD, NJ
B	12/16/1999 - 12/21/2000	PAULSON INVESTMENT COMPANY, INC.	CRD# 5670	PORTLAND, OR
B	03/18/1997 - 12/16/1999	ALEXANDER, WESCOTT, & CO., INC.	CRD# 35935	UTICA, NY
B	05/20/1996 - 01/22/1997	H.J. MEYERS & CO., INC.	CRD# 15609	ROCHESTER, NY
B	08/17/1995 - 05/24/1996	OPPENHEIMER & CO., INC.	CRD# 630	NEW YORK, NY
B	11/12/1993 - 08/22/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	11/25/1991 - 07/15/1992	HIBBARD BROWN & CO., INC.	CRD# 18246	NEW YORK, 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
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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
01/2026 - Present	Spencer Winston Securities Corp	RR- Supervise	Y	New York, NY, United States
01/2018 - Present	CM Capital Partners	Managing Member & CCO	Y	Millstone Township, NJ, United States
09/2022 - 01/2026	CIM Securities, LLC	Investment Banker/Registered Rep	Y	Wall Township, NJ, United States
01/2018 - 07/2022	AEON Capital	Investment Banker	Y	MIDDLETOWN, NJ, United States
01/2018 - 11/2019	AEON Funds	Associate	Y	Middletown, NJ, United States
10/2014 - 09/2019	Crescita Holdings	CEO	N	henderson, NV, United States
08/2017 - 01/2018	Garden State Investment Advisory Services, Inc.	Investment Adviser Representative	Y	Belmar, NJ, United States
08/2017 - 01/2018	Garden State Securities, Inc.	Registered Representative	Y	Belmar, NJ, United States
03/2016 - 01/2018	Arc Group, Inc.	Corp Development	N	Jacksonville, FL, 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.

CM CAPITAL PARTNERS, LLC
 6 HORSESHOE DRIVE
 MILLSTONE TOWNSHIP, NJ 08535
 OWNER & PRESIDENT/REGISTERED INVESTMENT ADVISOR

Spencer Winston Securities Corp
 RR - Supervisor 1- 26
 EFFECTIVE: 12/13/2017
 10 HOURS PER MONTH/0 HOURS PER MONTH DURING MARKET HOURS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

CONTE INVESTMENTS INTERNATIONAL, LLC
6 HORSESHOE DRIVE
MILLSTONE TOWNSHIP, NJ 08535
OWNER & MEMBER/HOLDING COMPANY /INVESTMENTS IN PUBLIC COMPANIES &
PRIVATE COMPANIES
EFFECTIVE: 09/20/2017
1 HOUR PER MONTH/0 HOURS PER MONTH DURING MARKET HOURS

Family Office of America - Dir of Acquisitions

Board Of Directors for Family Office of America (Publicly Traded Company Symbol: FOFA); Investment related: 6898 South University Blvd, Centennial, CO 80122. United States; No day-to-day Duties with Company. Only Board of Director duties; 2023-03-15; Hours per month devoted to business during trading hours: 5; Hours per month devoted to business outside trading hours: 2; Percentage of total yearly compensation expected to be derived from the business: 0;



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
Judgment/Lien	1

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Wells Fargo
Judgment/Lien Amount:	\$241,842.33
Judgment/Lien Type:	Civil
Date Filed with Court:	10/23/2006
Date Individual Learned:	11/01/2019
Type of Court:	State Court
Name of Court:	New Jersey Superior Court
Location of Court:	Essex, New Jersey
Docket/Case #:	DJ-00273804-2006
Judgment/Lien Outstanding?	Yes
Broker Statement	This is a 2006 matter. Debt was cancelled in 2008. I received a 1099(c) as a result. There should be no outstanding judgement. I will contact the appropriate persons to remove this matter from my credit report.



End of Report

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