



IAPD Report

MATT BRANSTETTER

CRD# 2169050

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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

MATT BRANSTETTER (CRD# 2169050)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	11/15/2010
IA	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	11/27/2013

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
IA	BRAEVEST	134982	NOBLE, OK	07/13/2005 - 12/31/2017
IA	JONATHAN ROBERTS ADVISORY GROUP, INC.	112294	TAMPA, FL	03/21/2007 - 11/29/2010
B	J.W. COLE FINANCIAL, INC.	124583	NOBLE, OK	03/15/2007 - 11/29/2010

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: **CONCORDE ASSET MANAGEMENT, LLC**
Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108
Firm ID#: 140367

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	09/24/2025
IA	Arkansas	Investment Adviser Representative	Approved	11/09/2018
IA	Colorado	Investment Adviser Representative	Approved	06/16/2025
IA	Georgia	Investment Adviser Representative	Approved	06/01/2017
IA	Kansas	Investment Adviser Representative	Approved	08/17/2023
IA	Montana	Investment Adviser Representative	Approved	10/29/2025
IA	Oklahoma	Investment Adviser Representative	Approved	11/27/2013
IA	Texas	Investment Adviser Representative	Restricted Approval	07/09/2018
IA	Wisconsin	Investment Adviser Representative	Approved	09/25/2025

Branch Office Locations

CONCORDE ASSET MANAGEMENT, LLC
111 S. MAIN STREET
NOBLE, OK 73068

Employment 2 of 2

Firm Name: **CONCORDE INVESTMENT SERVICES, LLC**



Qualifications

Main Address: 3909 RESEARCH PARK DRIVE
SUITE 200
ANN ARBOR, MI 48108

Firm ID#: 151604

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	11/15/2010
B	FINRA	General Securities Principal	Approved	11/15/2010
B	FINRA	General Securities Representative	Approved	11/15/2010
B	FINRA	Invest. Co and Variable Contracts	Approved	11/15/2010
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/15/2010
B	Arkansas	Agent	Approved	01/10/2011
B	California	Agent	Approved	06/10/2024
B	Colorado	Agent	Approved	06/13/2025
B	Florida	Agent	Approved	03/24/2025
B	Georgia	Agent	Approved	01/04/2017
B	Kansas	Agent	Approved	08/17/2023
B	Missouri	Agent	Approved	01/27/2011
B	Montana	Agent	Approved	10/23/2025
B	New Mexico	Agent	Approved	03/27/2019
B	Oklahoma	Agent	Approved	11/15/2010
B	Texas	Agent	Approved	01/10/2011
B	Wisconsin	Agent	Approved	09/24/2025



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

111 S. MAIN STREET NOBLE, OK 73068	527 E Main St. Ste. A Norman, OK 73071
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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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	10/12/2000
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/20/1998

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/15/1999
	Direct Participation Programs Representative Examination (S22)	Series 22	03/25/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/14/1991

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/01/1992
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/15/1991

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	07/13/2005 - 12/31/2017	BRAEVEST	CRD# 134982	NOBLE, OK
IA	03/21/2007 - 11/29/2010	JONATHAN ROBERTS ADVISORY GROUP, INC.	CRD# 112294	TAMPA, FL
B	03/15/2007 - 11/29/2010	J.W. COLE FINANCIAL, INC.	CRD# 124583	NOBLE, OK
IA	02/03/2005 - 03/26/2007	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	NOBLE, OK
B	10/27/2000 - 03/22/2007	QUESTAR CAPITAL CORPORATION	CRD# 43100	NOBLE, OK
IA	03/07/2001 - 12/31/2005	QUESTAR CAPITAL CORPORATION	CRD# 43100	NOBLE, OK
B	02/25/1992 - 11/02/2000	FFP SECURITIES, INC.	CRD# 16337	CHESTERFIELD, MO
B	08/17/1991 - 01/22/1992	FIRST INVESTORS CORPORATION	CRD# 305	EDISON, NJ

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
11/2013 - Present	CONCORDE ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	Ann Arbor, MI, United States
11/2010 - Present	CONCORDE INVESTMENT SERVICES	REGISTERED REPRESENTATIVE	Y	Ann Arbor, MI, United States
10/2000 - Present	BRAEVEST	REGISTERED INVESTMENT ADVISOR	Y	NOBLE, OK, United States
10/2000 - Present	BRANSTETTER INVESTMENT GROUP, INC.	OWNER	Y	ETOWAH, OK, 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- MOCELLA HOMEOWNERS ASSOCIATION, PO Box 674, NOBLE, OK., 73068. VICE PRESIDENT ADMINISTER HOMEOWNER DUES, 0 INCOME, 1-5 HOURS/MONTH DURING BUSINESS HOURS. 1-5 HRS/MO OUTSIDE BUSINESS HOURS.
- 2- PRIVATE TRACTOR WORK, PO BOX 250, NOBLE OK., 73068. OWNER/OPERATOR, MAINTAIN HOMEOWNER ASSOCIATION ROADS, 1-5 HOURS/MONTH DURING BUSINESS HOURS, 1-5 HRS/MO OUTSIDE BUSINESS HOURS.
- 3- INVESTMENT ADVISOR REPRESENTATIVE CONCORDE ASSET MANAGEMENT, 111 S. Main Street, Noble, OK. START DATE 11/2013. SALES AND SERVICE. 1-5 hr/mo outside business hours, 1-5 hrs/mo during business hours.
4. Concorde Insurance Agency; 111 S. Main Street, NOBLE, OK. Insurance Agent; provide insurance services to clients when appropriate. No client conflict.
5. BraVest Wealth Management. Investment related. Noble, OK. Start date 08/2021. Owner, Registered Rep, Investment Advisor Rep. DBA for securities related activities. Full time during trading hours.
6. Toastmasters. Non-Investment Related. Start Date 04/11/2016. Communication and leadership development. Member, attends weekly meetings. 11-20 hours/month outside of trading hours, 1-5 hours/month during 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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	J.W. COLE FINANCIAL, INC.
Allegations:	Claim is alleging suitability, fraud, negligence and breach of fiduciary duty, relating to investments made prior to representatives association with the firm.
Product Type:	Direct Investment-DPP & LP Interests Other: Real Estate Investment Trust (REIT)
Alleged Damages:	\$15,000.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages of \$15,000 plus fees.
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:	01/05/2022
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	11/29/2023



Settlement Amount:

Individual Contribution Amount:

Broker Statement

Based on the information provided by the client, the investment met suitability requirements of the investment and the broker-dealer at the time. The total IRA investment was \$6,000 and only half was placed in the disputed fund. The client returned the following year to make another \$6,000 IRA contribution and this was placed in an annuity to add to portfolio diversification. All three of these investments were sold as long term in nature. The client withdrew all three prior to maturation against the recommendation of the broker. Based on the performance of these assets, the client would have easily recovered more than the initial investment had they been left in place for the time period that was discussed at the time of sale. The attorney alleges that the broker preyed on an elderly woman. It should be noted that the adult daughter of the client attended every meeting and agreed with the recommendations.

Disclosure 2 of 2

Reporting Source:

Firm

Employing firm when activities occurred which led to the complaint:

FFP SECURITIES, INC.

Allegations:

MR. BRANSTETTER SOLD A VARIABLE ANNUITY TO THE CLIENT IN OCTOBER OF 1999, FUNDING THE ANNUITY WITH THE TRANSFER OF TWO ACCOUNTS. THE CLIENT ALLEGES ONE OF THE TRANSFERS WAS UNAUTHORIZED. THE CLIENT ALSO ALLEGES UNSUITABLE RECOMMENDATIONS WERE MADE BY THE REPRESENTATIVE.

Product Type:

Annuity(ies) - Variable

Alleged Damages:

\$48,000.00

Customer Complaint Information

Date Complaint Received:

08/01/2002

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

02/28/2003

Settlement Amount:

Individual Contribution Amount:

Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

FFP SECURITIES, INC.

Allegations:

NON-DISCLOSURE OF SALES CHARGES. THEY ALLEGE THAT WHEN AN INVESTMENT MADE ON 7/26/2000 TO PACIFIC LIFE FOR APPROXIMATELY \$48000.00 THAT IT WAS NOT DISCLOSED TO THEM THAT THERE WAS A SALES CHARGE ON THIS INVESTMENT. THERE IS NO MENTION OF COMPENSATORY DAMAGES IN THE COMPLAINT LETTER OR IN FOLLOW-UP CORRESPONDENCE.



Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 09/11/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 02/28/2003

Settlement Amount:

**Individual Contribution
Amount:**



End of Report

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