



IAPD Report

DAVID CARL HOCK

CRD# 2246268

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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

DAVID CARL HOCK (CRD# 2246268)

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 **02/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	11/17/2008
IA	ARETE WEALTH ADVISORS, LLC	CRD# 145488	06/07/2010

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
IA	CENTER STREET ADVISORS, INC.	169329	Lake Oswego, OR	02/17/2022 - 11/16/2023
B	CENTER STREET SECURITIES, INC.	26898	NASHVILLE, TN	10/11/2021 - 11/14/2023
IA	ARETE WEALTH ADVISORS, LLC	145488	CHICAGO, IL	11/17/2008 - 12/15/2009

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



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: **ARETE WEALTH MANAGEMENT, LLC**
Main Address: 1115 W FULTON MARKET
3RD FLOOR
CHICAGO, IL 60607
Firm ID#: 44856

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	11/17/2008
B	FINRA	General Securities Principal	Approved	11/17/2008
B	FINRA	General Securities Representative	Approved	11/17/2008
B	FINRA	Registered Options Principal	Approved	11/17/2008
B	FINRA	Investment Banking Representative	Approved	05/03/2010
B	FINRA	Investment Banking Principal	Approved	10/01/2018
B	FINRA	Operations Professional	Approved	10/01/2018
B	California	Agent	Approved	11/18/2008
B	Colorado	Agent	Approved	06/08/2010
B	Illinois	Agent	Approved	04/27/2018
B	Oregon	Agent	Approved	12/11/2008
B	Wyoming	Agent	Approved	01/04/2010

Branch Office Locations



Qualifications



Lake Oswego, OR

Employment 2 of 2

Firm Name: **ARETE WEALTH ADVISORS, LLC**

Main Address: 1115 W FULTON MARKET
3RD FLOOR
CHICAGO, IL 60607

Firm ID#: 145488

Regulator	Registration	Status	Date
 Illinois	Investment Adviser Representative	Approved	04/27/2018
 Oregon	Investment Adviser Representative	Approved	06/07/2010

Branch Office Locations

ARETE WEALTH ADVISORS, LLC

Lake Oswego, OR






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



Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	08/11/1999
 Financial and Operations Principal Examination (S27)	Series 27	08/14/1996
 General Securities Principal Examination (S24)	Series 24	04/19/1993

General Industry/Product Exams

Exam	Category	Date
 Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/24/1993

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	07/26/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/11/1993



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	02/17/2022 - 11/16/2023	CENTER STREET ADVISORS, INC.	CRD# 169329	Lake Oswego, OR
B	10/11/2021 - 11/14/2023	CENTER STREET SECURITIES, INC.	CRD# 26898	NASHVILLE, TN
IA	11/17/2008 - 12/15/2009	ARETE WEALTH ADVISORS, LLC	CRD# 145488	CHICAGO, IL
IA	10/23/2001 - 09/15/2008	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	ENGLEWOOD, CO
B	02/07/2001 - 09/15/2008	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	ENGLEWOOD, CO
B	10/17/2000 - 02/06/2001	NEIDIGER, TUCKER, BRUNER, INC.	CRD# 7425	HIGHLANDS RANCH, CO
B	05/15/1996 - 10/18/2000	UNITED SECURITIES ALLIANCE, INC.	CRD# 36487	GREENWOOD VILLAGE
B	11/21/1995 - 12/31/1997	VSR FINANCIAL SERVICES, INC.	CRD# 14503	OVERLAND PARK, KS
B	02/09/1995 - 10/31/1995	FIRST ASSOCIATED SECURITIES GROUP, INC.	CRD# 20597	CHICO, CA
B	07/10/1993 - 02/13/1995	CONSOLIDATED INVESTMENT SERVICES, INC.	CRD# 7929	LITTLETON, CO
B	03/26/1993 - 11/11/1994	CAPWEST SECURITIES, INC.	CRD# 30002	GREELEY, CO

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
10/2021 - Present	CENTER STREET ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	NASHVILLE, TN, United States
10/2021 - Present	CENTER STREET SECURITIES, INC.	CHIEF FINANCIAL OFFICER / FINOP	Y	NASHVILLE, TN, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2008 - Present	ARETE WEALTH ADVISORS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHICAGO, IL, United States
10/2008 - Present	ARETE WEALTH MANAGEMENT LLC	CHIEF OPERATING OFFICER	Y	Chicago, IL, 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) REGISTERED INVESTMENT ADVISORY REPRESENTATIVE WITH ARETE WEALTH ADVISORS WHICH IS AN AFFILIATED COMPANY OF THE BROKER DEALER.
- 2) MEMBER OF GREEN LLC. GREEN IS A PRIVATE EQUITY SPONSOR THAT MANAGES ISSUING ENTITIES THAT INVEST IN PUBLIC PRIVATE PARTNERSHIPS. CURRENTLY THERE IS NO COMPENSATION.
- 3) MANAGING MEMBER OF ARETE WEALTH INC., A FINANCIAL SERVICES HOLDING COMPANY.
- 4) MANAGER OF ARETE GROWTH PARTNERS LLC, AN INVESTMENT HOLDING COMPANY.
- 5) ARETE SHIELD INSURANCE AGENCY: 1475 SCOTT AVE 3RD FLOOR, CHICAGO IL 60607; INSURANCE SALES; OWNER; NOT INVESTMENT RELATED; START DATE = 07/2020.
- 6) MANAGER OF AREH II, LLC, A REAL ESTATE HOLDING COMPANY.



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

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: FINRA

Sanction(s) Sought:

Date Initiated: 10/15/2008

Docket/Case Number: 2007007407201

Employing firm when activity occurred which led to the regulatory action: PRIVATE CONSULTING GROUP, INC.

Product Type:

Allegations: NASD RULES 2110, 3010(B) - A MEMBER FIRM, ACTING UNDER THE DIRECTION AND CONTROL OF HOCK AND ANOTHER INDIVIDUAL, RECEIVED INVESTOR FUNDS IN CONNECTION WITH A CONTINGENCY OFFERING OF GENERAL PARTNERSHIP UNITS AND FAILED TO TRANSMIT THE FUNDS TO A BANK ESCROW ACCOUNT PENDING SATISFACTION OF THE CONTINGENCY. THE FUNDS WERE FORWARDED TO THE ISSUER WHICH PLACED THE FUNDS IN A SEGREGATED, NON-ESCROW BANK ACCOUNT IN ITS OWN NAME. THE FIRM, ACTING UNDER THE DIRECTION AND CONTROL OF HOCK AND ANOTHER INDIVIDUAL, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN PROCEDURES REASONABLY DESIGNED TO ENSURE COMPLIANCE WITH SEC RULE 15C2-4.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/15/2008

Sanctions Ordered: Censure
Civil and Administrative Penalty(ies)/Fine(s)

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, HOCK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED \$20,000, JOINTLY AND SEVERALLY. FINE PAID ON 11/04/2008.

Reporting Source: Firm

Regulatory Action Initiated By: FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 10/15/2008

Docket/Case Number: NO. 2007007407201 AWC

Employing firm when activity occurred which led to the regulatory action: PRIVATE CONSULTING GROUP, INC.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: ACTING THROUGH KEYS AND HOCK, PCGI PARTICIPATED IN A CONTINGENT OFFERING OF GENERAL PARTNERSHIP UNITS WITHOUT ESTABLISHING AN ESCROW ACCOUNT TO HOLD INVESTOR FUNDS UNTIL THE CONTINGENCY WAS MET. IN ADDITION, PCGI, ACTING THROUGH KEYS AND HOCK, FAILED TO ESTABLISH, MAINTAIN AND ENFORCE WRITTEN PROCEDURES REASONABLY DESIGNED TO ENSURE COMPLIANCE WITH SEC AND FINRA RULES PERTAINING TO CONTINGENCY OFFERINGS AND ESCROW ACCOUNTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/15/2008

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, FIRM AND CONTROL AFFILIATE CONSENTED TO A CENSURE AND FINE OF \$20,000, JOINT AND SEVERAL BETWEEN ROBERT L. KEYS, DAVID C. HOCK, AND THE PRIVATE CONSULTING GROUP, INC. THE FINE IS PENDING PAYMENT VERSUS INVOICING FROM FINRA.



Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalt(ies) /Fine(s)

Other Sanction(s) Sought:

Date Initiated: 10/15/2008

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: PRIVATE CONSULTING GROUP, INC.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Other Product Type(s):

Allegations: ACTING THROUGH KEYS AND HOCK PCGI PARTICIPATED IN A CONTINGENT OFFERING OF GENERAL PARTNERSHIP UNITS WITHOUT ESTABLISHING AN ESCROW ACCOUNT TO HOLD INVESTOR FUNDS UNTIL THE CONTINGENCY WAS MET. IN ADDITION PCGI, ACTING THROUGH KEYS AND HOCK FAILED TO ESTABLISH, MAINTIAN AND ENFORCE WRITTEN PROCEDURES RESONABLY DESIGNED TO ENSURE COMPLIANCE WITH SEC AND FINRA RULES PERTAINING TO CONTINGENCY OFFERINGS AND ESCROW ACCOUNTS.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 10/15/2008

Sanctions Ordered: Censure
Monetary/Fine \$20,000.00

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGED VIOLATIONS, THE FIRM AND CONTROL AFFILLIATE CONSENTED TO A CENSURE AND FINE OF \$20,000 JOINT AND SEVERAL BETWEEN ROBERT L. KEYS AND DAVID C. HOCK, AND THE PRIVATE CONSULTING GROUP, INC.



End of Report

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