



IAPD Report

JEFFREY PRESS

CRD# 2269745

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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

JEFFREY PRESS (CRD# 2269745)

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 **09/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ARLINGTON CAPITAL SERVICES, LLC	CRD# 304588	09/15/2020
B	ATOMIC BROKERAGE LLC	CRD# 315263	02/13/2023
B	IFAST SECURITIES US CORPORATION	CRD# 327903	07/22/2024
B	MCDONNAUGH SECURITIES LLC	CRD# 290233	12/03/2025
B	ALPHALEDGER MARKETS, INC.	CRD# 300262	04/22/2026
IA	FAITHWARD ADVISORS, LLC	CRD# 116978	06/05/2026
B	NEST INVESTMENTS BD LLC	CRD# 294417	06/09/2026
B	ALTRUIST FINANCIAL LLC	CRD# 299274	09/21/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	CRAFT CAPITAL MANAGEMENT LLC	171350	GARDEN CITY, NY	08/27/2025 - 07/29/2026
B	STOCKPILE INVESTMENTS, INC.	156170	SAN FRANCISCO, CA	03/28/2025 - 07/07/2026
B	OSAIC WEALTH, INC.	23131	SCOTTSDALE, AZ	11/20/2025 - 01/15/2026

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.



Report Summary

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

Employment 1 of 8

Firm Name: **ALTRUIST FINANCIAL LLC**
Main Address: 300 S. PEARL EXPRESSWAY SUITE 250
DALLAS, TX 75201
Firm ID#: 299274

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	09/21/2026
	FINRA	General Securities Representative	Approved	09/21/2026
	FINRA	General Securities Sales Supervisor	Approved	09/21/2026
	FINRA	Investment Banking Principal	Approved	09/21/2026
	FINRA	Investment Banking Representative	Approved	09/21/2026
	FINRA	Municipal Securities Principal	Approved	09/21/2026
	FINRA	Municipal Securities Representative	Approved	09/21/2026
	FINRA	Operations Professional	Approved	09/21/2026
	FINRA	Registered Options Principal	Approved	09/21/2026
	FINRA	Securities Trader	Approved	09/21/2026
	FINRA	Securities Trader Principal	Approved	09/21/2026

Branch Office Locations

Portland, OR

Employment 2 of 8



Qualifications

Firm Name: **NEST INVESTMENTS BD LLC**
Main Address: 20 ASH STREET
SUITE 300
CONSHOHOCKEN, PA 19428
Firm ID#: 294417

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/09/2026
B	FINRA	General Securities Representative	Approved	06/09/2026
B	FINRA	General Securities Sales Supervisor	Approved	06/09/2026
B	FINRA	Municipal Securities Principal	Approved	06/09/2026
B	FINRA	Municipal Securities Representative	Approved	06/09/2026
B	FINRA	Operations Professional	Approved	06/09/2026
B	FINRA	Securities Trader	Approved	06/09/2026

Branch Office Locations

Portland, OR

Employment 3 of 8

Firm Name: **FAITHWARD ADVISORS, LLC**
Main Address: 275 HESS BOULEVARD
SUITE 100
LANCASTER, PA 17601
Firm ID#: 116978

	Regulator	Registration	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	06/05/2026

Branch Office Locations

FAITHWARD ADVISORS, LLC
Portland, OR



Qualifications

Employment 4 of 8

Firm Name: **ALPHALEDGER MARKETS, INC.**
Main Address: 19362 POWDER HILL PLACE
SUITE 104
POULSBO, WA 98370
Firm ID#: 300262

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/22/2026
B	FINRA	General Securities Representative	Approved	04/22/2026
B	FINRA	Municipal Securities Principal	Approved	04/22/2026
B	FINRA	Municipal Securities Representative	Approved	04/22/2026
B	Oregon	Agent	Approved	06/01/2026
B	Washington	Agent	Approved	06/01/2026

Branch Office Locations

19362 POWDER HILL PLACE
SUITE 104
POULSBO, WA 98370

Employment 5 of 8

Firm Name: **MCDONNAUGH SECURITIES LLC**
Main Address: 2425 GRAND AVE.
BALDWIN, NY 11510
Firm ID#: 290233

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/03/2025
B	FINRA	General Securities Representative	Approved	12/03/2025
B	FINRA	General Securities Sales Supervisor	Approved	12/03/2025



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Investment Banking Principal	Approved	12/03/2025
B	FINRA	Investment Banking Representative	Approved	12/03/2025
B	FINRA	Municipal Securities Principal	Approved	12/03/2025
B	FINRA	Municipal Securities Representative	Approved	12/03/2025
B	FINRA	Operations Professional	Approved	12/03/2025
B	FINRA	Registered Options Principal	Approved	12/03/2025
B	FINRA	Securities Trader	Approved	12/03/2025
B	FINRA	Securities Trader Principal	Approved	12/03/2025

Branch Office Locations

portland, OR

Employment 6 of 8

Firm Name: **IFAST SECURITIES US CORPORATION**

Main Address: 201 MISSION STREET
SUITE 640
SAN FRANCISCO, CA 94105

Firm ID#: 327903

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/22/2024
B	FINRA	General Securities Representative	Approved	07/22/2024
B	FINRA	General Securities Sales Supervisor	Approved	07/22/2024
B	FINRA	Municipal Securities Principal	Approved	07/22/2024
B	FINRA	Municipal Securities Representative	Approved	07/22/2024



Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Operations Professional	Approved	07/22/2024
B	FINRA	Registered Options Principal	Approved	07/22/2024

Branch Office Locations

Portland, OR

Employment 7 of 8

Firm Name: **ATOMIC BROKERAGE LLC**
Main Address: 107 GREENWICH STREET
21ST FLOOR
NEW YORK, NY 10006
Firm ID#: 315263

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	02/13/2023
B	FINRA	General Securities Representative	Approved	02/13/2023
B	FINRA	General Securities Sales Supervisor	Approved	02/13/2023
B	FINRA	Investment Banking Representative	Approved	02/13/2023
B	FINRA	Municipal Securities Principal	Approved	02/13/2023
B	FINRA	Municipal Securities Representative	Approved	02/13/2023
B	FINRA	Operations Professional	Approved	02/13/2023
B	FINRA	Registered Options Principal	Approved	02/13/2023
B	FINRA	Securities Trader	Approved	02/13/2023
B	FINRA	Securities Trader Principal	Approved	02/13/2023
B	Georgia	Agent	Approved	04/23/2024



Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	03/28/2024
B	South Dakota	Agent	Approved	02/27/2024
B	Virgin Islands	Agent	Approved	05/09/2024

Branch Office Locations

Portland, OR

Employment 8 of 8

Firm Name: **ARLINGTON CAPITAL SERVICES, LLC**
Main Address: 2000 MORRIS AVENUE
SUITE 1100
BIRMINGHAM, AL 35203
Firm ID#: 304588

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/15/2020
B	FINRA	General Securities Representative	Approved	09/15/2020
B	FINRA	General Securities Sales Supervisor	Approved	09/15/2020
B	FINRA	Investment Banking Representative	Approved	09/15/2020
B	FINRA	Municipal Securities Principal	Approved	09/15/2020
B	FINRA	Municipal Securities Representative	Approved	09/15/2020
B	FINRA	Operations Professional	Approved	09/15/2020
B	FINRA	Registered Options Principal	Approved	09/15/2020
B	FINRA	Securities Trader	Approved	09/15/2020



Qualifications

Regulator	Registration	Status	Date
B FINRA	Securities Trader Principal	Approved	09/15/2020
B Alabama	Agent	Approved	09/18/2020

Branch Office Locations

Portland, OR

2000 Morris Avenue
Suite 1100
Birmingham, AL 35203



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

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
	Municipal Securities Principal Examination (S53)	Series 53	04/03/2006
	General Securities Principal Examination (S24)	Series 24	05/31/2000
	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	05/23/1998
	Registered Options Principal Examination (S4)	Series 4	01/31/1998

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Investment Banking Registered Representative Examination (S79)	Series 79	12/19/2018
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Securities Trader Exam (S57)	Series 57	07/10/2018
	General Securities Representative Examination (S7)	Series 7	12/01/1992



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/02/2018
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/04/1992

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
B	08/27/2025 - 07/29/2026	CRAFT CAPITAL MANAGEMENT LLC	CRD# 171350	GARDEN CITY, NY
B	03/28/2025 - 07/07/2026	STOCKPILE INVESTMENTS, INC.	CRD# 156170	SAN FRANCISCO, CA
B	11/20/2025 - 01/15/2026	OSAIC WEALTH, INC.	CRD# 23131	SCOTTSDALE, AZ
B	02/14/2022 - 10/13/2025	FGC SECURITIES, LLC	CRD# 158399	NEW YORK, NY
B	05/13/2025 - 07/09/2025	TAPP ENGINE SECURITIES	CRD# 314806	QUINCY, MA
B	10/06/2021 - 06/05/2025	ICM CAPITAL MARKETS, LLC	CRD# 312157	NEW YORK, NY
B	02/11/2022 - 12/23/2024	OPTIONS AI FINANCIAL LLC	CRD# 298008	NEW YORK, NY
B	12/06/2022 - 08/02/2024	ELEQUIN SECURITIES LLC	CRD# 311650	NEW YORK, NY
B	04/28/2022 - 05/03/2024	ENTRUSTODY FINANCIAL, LLC	CRD# 313565	Wauwatosa, WI
B	08/01/2023 - 02/27/2024	STOCKPILE INVESTMENTS, INC.	CRD# 156170	SAN FRANCISCO, CA
B	02/24/2021 - 11/03/2023	BENCHMARK INVESTMENTS, LLC	CRD# 103792	New York, NY
B	07/14/2023 - 11/01/2023	ST GLOBAL MARKETS USA LLC	CRD# 324143	NEW MILFORD, CT
B	12/02/2022 - 08/10/2023	CODE ADVISORS LLC	CRD# 153192	SAN FRANCISCO, CA
IA	02/28/2020 - 02/28/2023	SYSTEMS FINANCIAL	CRD# 284744	CANBY, OR
B	09/16/2020 - 01/18/2023	CHERRY TRADING	CRD# 306249	WEST HOLLYWOOD, CA



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	03/07/2022 - 01/17/2023	FORCEFIELD CAPITAL, LLC	CRD# 316049	EUGENE, OR
B	01/13/2021 - 01/19/2022	JOSEPH GUNNAR & CO. LLC	CRD# 24795	UNIONDALE, NY
B	03/07/2018 - 07/23/2019	BUMPED FINANCIAL LLC	CRD# 288227	ALPHARETTA, GA
IA	03/05/2018 - 03/09/2018	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MINNEAPOLIS, MN
B	08/16/2016 - 03/09/2018	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	MINNEAPOLIS, MN
B	01/17/2013 - 11/10/2015	STANCORP EQUITIES, INC.	CRD# 19517	PORTLAND, OR
B	10/13/2010 - 01/18/2012	EURO PACIFIC CAPITAL, INC.	CRD# 8361	NEW YORK, NY
B	12/06/2005 - 12/10/2008	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	01/08/2004 - 10/12/2005	E*TRADE SECURITIES LLC	CRD# 29106	JERSEY CITY, NJ
B	02/26/2003 - 01/13/2004	METLIFE SECURITIES INC.	CRD# 14251	SPRINGFIELD, MA
B	02/26/2003 - 01/13/2004	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	NEW YORK, NY
B	08/10/2000 - 05/22/2002	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	05/06/1997 - 08/09/2000	THE DREYFUS SERVICE CORPORATION	CRD# 231	NEW YORK, NY
B	08/07/1996 - 04/22/1997	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	06/20/1996 - 07/29/1996	WALL STREET ACCESS	CRD# 10012	NEW YORK, NY
B	03/22/1995 - 06/10/1996	MURIEL SIEBERT & CO., INC.	CRD# 5376	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
B	01/18/1994 - 02/09/1994	GREYSTONE ASSOCIATES LTD.	CRD# 31804	NEW YORK, NY
B	12/04/1992 - 11/11/1993	ROBERT TODD FINANCIAL CORP.	CRD# 7423	NEW YORK, NY

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
09/2026 - Present	Yoshi Brokerage, LLC	Chief Executive Officer	Y	Portland, OR, United States
08/2026 - Present	Altruist Financial LLC	Registered Principal	Y	Culver City, CA, United States
06/2026 - Present	Nest Investments BD LLC	Municipal Principal	Y	CONSHOHOCKEN, PA, United States
04/2026 - Present	Alphaledger Markets, Inc.	Compliance and Supervision	Y	Poulsbo, WA, United States
12/2022 - Present	Atomic Brokerage LLC	Compliance	Y	New York, NY, United States
08/2020 - Present	Compliance Risk Concepts	Sr. Regulatory Compliance Professional	N	Portland, OR, United States
08/2025 - 08/2026	Craft Capital Management LLC	MSRB Principal	Y	Garden City, NY, United States
10/2025 - 01/2026	OSAIC WEALTH, INC.	Registered Assistant	Y	Portland, OR, United States
02/2022 - 09/2025	FGC Securities, LLC	Registered Representative	Y	New York, NY, United States
12/2020 - 06/2025	ICM CAPITAL MARKETS, LLC	Chief Compliance Officer	Y	New York, NY, United States
02/2022 - 11/2024	Options AI Financial LLC	Registered Representative	Y	New York, NY, United States
11/2022 - 08/2024	Elequin Securities LLC	Registered Principal	Y	New York, NY, United States
03/2022 - 05/2024	Entrustody Financial, LLC	Chief Compliance Officer	Y	Newton, MA, United States
07/2023 - 02/2024	Stockpile Investments, Inc.	Compliance Consultant	Y	SAN FRANCISCO, CA, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2023 - 10/2023	ST Global Markets USA LLC	Chief Compliance Officer	Y	New York, NY, United States
02/2021 - 10/2023	Benchmark Investments, Inc	Compliance consultant	Y	new york, NY, United States
12/2022 - 09/2023	Code Advisors LLC	Chief Compliance Officer	Y	San Francisco, CA, United States
02/2020 - 04/2023	ESYFI, LLC	Consultant	N	Portland, OR, United States
09/2020 - 01/2023	Cherry Trading	Chief Compliance Officer	Y	West Hollywood, CA, United States
12/2021 - 06/2022	BRIARCLIFFE CREDIT PARTNERS, LLC	Designated Principal	Y	New York, NY, United States
01/2021 - 12/2021	JOSEPH GUNNAR & CO., LLC	CONTRACT COMPLIANCE CONSULTANT	Y	NEW YORK, NY, United States
10/2019 - 08/2020	Templar Shield, Inc.	Managing Director	N	San Diego, CA, United States
07/2019 - 10/2019	SELF EMPLOYED	SOLE PROPRIETOR	N	Portland, OR, United States
03/2018 - 06/2019	Bumped Financial LLC	President and CCO	Y	Portland, OR, United States
08/2016 - 03/2018	Thrivent Financial	Senior Field Risk Manager	Y	Appleton, WI, United States
08/2016 - 03/2018	Thrivent Investment Management Inc	Senior Field Risk Manager	Y	Minneapolis, MN, 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) Greater Portland Compliance Association, non inv-rel, P.O. Box 8072, Portland, OR 97207, non-profit providing support for compliance professionals, Board Member, 7/1/2014, 0 Hrs during trading hrs, 2 Total Hrs p/m, coordinating, creating & delivering education rel to the securities industry
- 2) J. Mitchel Photography, non inv-rel, 7130 SW 5th Ave. Portland, OR 97219, Photography, Owner, 1/1/04, 0 Hrs during trading hrs, 1 Total Hrs p/m, General business activities and photographer
- 3) Jeffrey Press, non inv-rel, 7130 SW 5th Ave, Portland, OR 97219, Compliance Consulting Bus, Owner/Consultant, 01/01/2016, 2 hrs/mo., 0 hrs/mo. during sec trading hrs, compliance consulting activities.
- 4) Compliance Risk Concepts, non inv-rel, 7130 SW 5th Ave. Portland, OR 97219, Compliance Consulting, Director, 8/2020, 160 Hrs during trading hrs, 160 Total Hrs p/m, CCO, Supervisory Principal & Compliance Program Support
- 5) Arlington Capital Services, LLC, inv-rel, 2000 Morris Ave., STE 1100, Birmingham, AL 35203, BD, Compliance



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Professional, 9/2020, 10 Hrs during trading hrs, 10 Total Hrs p/m, General Business Mgmt, Maintain & execute the compliance program

6) AlphaLedger Markets, Inc., Inv-rel, 19362 Powder Hill Pl, Poulsbo, WA 98370, Outsourced Supervisory Principal, 10 Total hrs p/m, 10 hrs during trading hrs, Supervisory Principal and general compliance support

7) Atomic Brokerage LLC, non inv-rel, 107 Greenwich ST, NY, NY 10006, BD, Outsourced Supervisory Principal, 4/26, 5 Total Hrs p/m, 5 Hrs during trading hrs, Municipal securities supervisory activities and general compliance support

8) IFAST Securities US Corporation, inv-rel, 75 E Santa Clara St., San Jose, CA 07162, BD, Compliance Professional, 4/24, 15 Total Hrs p/m, 15 Hrs during trading hrs, Maintain & execute the compliance program

9) Every Securities, LLC, inv-rel, 2261 #4305 Market Street, San Francisco, CA 94114, RIA, Compliance Professional, 12/2024, 5 Total Hrs p/m, 5 Hrs during trading hrs, Maintain & execute the compliance program

10) Yoshi Brokerage, LLC; Investment Related; Portland OR, BD, Chief Executive Officer, 09/2026; 10 hours/ month; Chief Executive Officer

11) McDonnagh Securities LLC, Inv-rel, 2425 Grand Ave., Baldwin, NY 11510, 12/25, Outsourced Supervisory Principal, 10 Total hrs p/m, 10 hrs during trading hrs, Supervisory Principal and general compliance support

12) Wahed Invest LLC, Inv-rel, 27 E28th St, 8th Fl, NY, NY 10016, 4/26, Outsourced RIA CCO, 30 total hrs p/m, 30 hrs during trading hrs, Maintain & execute the compliance program

13) Nest Investments BD LLC, investment related, Conshohocken, PA, BD, Outsourced Municipal Securities Principal, 6/2026, 1-2 hrs/month, Municipal securities supervisory activities

14) Altruist Financial LLC, Investment Related, 3030 La Cienega Blvd, Culver City, CA 90232, Registered Principal, 8/2026, 10 hrs/month, 10 hrs/month, Options Marketing Review



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:	Washington
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Date Initiated:	05/06/2025
Docket/Case Number:	S-23-3686-24-CO01
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	TWM Wealth Management Corp.
Product Type:	No Product
Allegations:	Jeffrey Press was a control person / CCO of investment adviser in violation of the Washington Securities Act.
Current Status:	Final
Resolution:	Consent
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:	05/06/2025



Sanctions Ordered: Cease and Desist
Other: Fines \$2500.00

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,500.00

Portion Levied against individual: \$2,500.00

Payment Plan: No

Is Payment Plan Current:

Date Paid by individual: 05/01/2025

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: Washington Department of Financial Institutions

Sanction(s) Sought: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 05/06/2025

Docket/Case Number: S-23-3686-24-CO0

Employing firm when activity occurred which led to the regulatory action: TWM Wealth Management

Product Type: No Product

Allegations: transacting business as an investment adviser in Washington while not registered or exempt from registration.

Current Status: Final

Resolution: Consent

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: 05/06/2025

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

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$2,500.00



Portion Levied against individual: \$2,500.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 05/06/2025

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

The Securities Division of the Washington Department of Financial Institutions, TWM Wealth Management ("TWM"), Louis Charles Taylor, and Press entered into a Consent Order. The Securities Division alleged that TWM, Taylor, and Press transacted business as an investment adviser/investment adviser representatives in Washington while not registered or exempt from registration in Washington as required by RCW 21.20.040(3). Press agreed to cease and desist from violating RCW 21.20.040(3) and paid a fine of \$2,500.



End of Report

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