



IAPD Report

CURT ROBERT STAUFFER

CRD# 2615431

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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

CURT ROBERT STAUFFER (CRD# 2615431)

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 **08/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CS PLANNING CORP	CRD# 149937	08/26/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 COASTAL INVESTMENT ADVISORS	134952	LANCASTER, PA	12/09/2011 - 09/23/2020
IA EHD ADVISORY SERVICES, INC.	127155	LANCASTER, PA	01/01/2008 - 12/07/2011

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	8



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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CS PLANNING CORP**

Main Address: 3395 SW GARDEN VIEW AVE
PORTLAND, OR 97225

Firm ID#: 149937

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	08/26/2020

Branch Office Locations

CS PLANNING CORP
1853 William Penn Way
Suite 9
Lancaster, PA 17601



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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/20/2007

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	12/09/2011 - 09/23/2020	COASTAL INVESTMENT ADVISORS	CRD# 134952	LANCASTER, PA
IA	01/01/2008 - 12/07/2011	EHD ADVISORY SERVICES, INC.	CRD# 127155	LANCASTER, PA

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
08/2020 - Present	CS Planning Corp.	Investment Adviser Representative	Y	Portland, OR, United States
01/2012 - Present	Seven Summits Capital, LLC	Managing Member	Y	Lancaster, PA, United States
11/2011 - 08/2020	COASTAL INVESTMENT ADVISORS	RIA AGENT	Y	WILMINGTON, DE, 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.

No information reported.



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	8

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 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors Inc. nka Realtta Investment Advisors, Inc. and CS Planning Corp.
Allegations:	Plaintiff alleged breach of fiduciary duty, negligence, breach of contract, suitability, fraud against defendants Coastal Investment Advisors, CS Planning Corp and Curt Stauffer
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$683,709.84
Alleged Damages Amount Explanation (if amount not exact):	Plaintiff also prays for punitive damages, attorneys' fees, costs and interest

Civil Litigation Information

Type of Court:	State Court
Name of Court:	The Court of Common Pleas of Lancaster County
Location of Court:	Lancaster County, Pennsylvania
Docket/Case #:	CI-25-03465
Date Notice/Process Served:	07/29/2025
Litigation Pending?	Yes
Broker Statement	Mr. Stauffer disputes the allegations and claims set forth in Claimant's Complaint and intends to mount a vigorous defense against them.



Disclosure 2 of 8

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CS Planning Corp.
Allegations:	Claimant alleges that Respondent managed Claimant's account by using unsuitable and risky investments causing losses.
Product Type:	Equity-OTC Money Market Fund
Alleged Damages:	\$212,072.10
Alleged Damages Amount Explanation (if amount not exact):	Plus disgorgement, attorney fees and costs, treble damages, and interest.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NAM - National Arbitration and Mediation
Docket/Case #:	280041
Date Notice/Process Served:	08/07/2024
Arbitration Pending?	No
Disposition:	Other: Claimant prevailed on his breach of contract claim against Respondents; Respondents prevailed on the remaining 5 claims
Disposition Date:	07/12/2025
Broker Statement	Claimant's account was managed with a long-term horizon using suitable and appropriate investments during the period of 2022, one of the worst years for all markets. Claimant terminated Respondent in January 2023. Since then, the market has experienced record gains. Claimant filed claims seeking recovery of losses to his account incurred in 2022.

The Arbitrator's Award dated July 12, 2025 DENIED Claimant's allegations of unsuitable and risky investments causing losses, Breach of Fiduciary Duty, Negligence/Negligent Misrepresentation, Negligent Supervision (CSP), Breach of Implied Covenant of Good Faith and Fair Dealing, Violation of the PA Unfair Trade Practices and Consumer Protection Law (claim withdrawn), and Recission, but granted Claimant's claim of breach of contract without specifying what portion of the contract was breached.

Disclosure 3 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Financial Advisor is the subject of a claim filed against Coastal Equities, Inc., an affiliate of Coastal Investment Advisors, Inc., alleging damages for the value of a security recommended to the client by the Financial Advisor. Claimant alleges breach of fiduciary duty, that the advisor made unsuitable recommendations in the



portfolio, negligent misrepresentation and omission, and principal/agent theories of liability against the firm for the acts of its IAR agent.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$45,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-02492

Filing date of arbitration/CFTC reparation or civil litigation: 10/01/2021

Customer Complaint Information

Date Complaint Received: 10/01/2021

Complaint Pending? No

Status: Settled

Status Date: 03/02/2022

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Coastal Investment Advisors, Inc.

Allegations: Financial Advisor is the subject of a claim filed against Coastal Equities, Inc., an affiliate of Coastal Investment Advisors, Inc., alleging damages for the value of a security recommended to the client by the Financial Advisor. Claimant alleges breach of fiduciary duty, that the advisor made unsuitable recommendations in the portfolio, negligent misrepresentation and omission, and principal/agent theories of liability against the firm for the acts of its IAR agent.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$45,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-02492



Filing date of arbitration/CFTC reparation or civil litigation: 10/01/2021

Customer Complaint Information

Date Complaint Received: 10/01/2021

Complaint Pending? No

Status: Settled

Status Date: 03/02/2022

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.

Disclosure 4 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Coastal Investment Advisors, Inc.

Allegations: Claimant filed arbitration against the firm's affiliated broker-dealer. Claimant alleges that the firm and its associated persons, including Mr. Stauffer, failed to perform adequate due diligence on a product recommended to her by Mr. Stauffer and another associated person. Claimant also alleges that the firm's affiliate is vicariously liable for the acts of its agents.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-01880

Filing date of arbitration/CFTC reparation or civil litigation: 07/23/2021

Customer Complaint Information

Date Complaint Received: 07/27/2021

Complaint Pending? No

Status: Settled

Status Date: 12/10/2021

Settlement Amount: \$8,750.00



Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Coastal Investment Advisors, Inc.

Allegations: Claimant filed arbitration against the firm's affiliated broker-dealer. Claimant alleges that the firm and its associated persons, including Mr. Stauffer, failed to perform adequate due diligence on a product recommended to her by Mr. Stauffer and another associated person. Claimant also alleges that the firm's affiliate is vicariously liable for the acts of its agents.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-01880

Filing date of arbitration/CFTC reparation or civil litigation: 07/23/2021

Customer Complaint Information

Date Complaint Received: 07/27/2021

Complaint Pending? No

Status: Settled

Status Date: 12/10/2021

Settlement Amount: \$8,750.00

Individual Contribution Amount: \$0.00

Broker Statement Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Coastal Investment Advisors, Inc.

Allegations: Mr. Stauffer is the subject of the arbitration claim filed against the firm's affiliated broker-dealer alleging that it is responsible under principal/agent theory for Mr. Stauffer's acts in the nature of: breach of fiduciary duty, breach of contract, and negligence.



Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-02749
Filing date of arbitration/CFTC reparation or civil litigation:	08/24/2020

Customer Complaint Information

Date Complaint Received:	09/01/2020
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2021
Settlement Amount:	\$19,699.48
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Customer filed an arbitration claim against the firm's affiliated broker-dealer alleging that it is responsible under principal/agent theory for advisor's alleged acts in the nature of: Breach of fiduciary duty, breach of contract, and negligence.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$50,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-02749
Filing date of arbitration/CFTC reparation or civil litigation:	08/24/2020

Customer Complaint Information



Date Complaint Received:	09/01/2020
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2021
Settlement Amount:	\$19,699.48
Individual Contribution Amount:	\$0.00
Broker Statement	Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.

Disclosure 6 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Financial Advisor is the subject of a claim filed against Coastal Equities, Inc., an affiliate of Coastal Investment Advisors, Inc., alleging damages for the value of certain securities recommended to the client by the Financial Advisor and for damages under a well-managed portfolio theory. Claimant alleges breach of fiduciary duty, that the advisor made unsuitable recommendations in the portfolio, material misrepresentations, and principal/agent theories of liability against the firm for the acts of its IAR agent.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03362
Filing date of arbitration/CFTC reparation or civil litigation:	09/25/2020

Customer Complaint Information

Date Complaint Received:	09/29/2020
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2021
Settlement Amount:	\$59,503.46
Individual Contribution Amount:	\$0.00



Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Customer filed an arbitration claim against Coastal Equities, Inc., an affiliate of Coastal Investment Advisors, Inc., alleging damages for the value of certain securities allegedly recommended to the client by the advisor and for damages under a well-managed portfolio theory. Claimant alleged breach of fiduciary duty, unsuitable recommendations in the portfolio, material misrepresentations, and principal/agent theories of liability against the firm for acts of its agent.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$250,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-03362
Filing date of arbitration/CFTC reparation or civil litigation:	09/25/2020

Customer Complaint Information

Date Complaint Received:	09/29/2020
Complaint Pending?	No
Status:	Settled
Status Date:	05/03/2021
Settlement Amount:	\$59,503.46
Individual Contribution Amount:	\$0.00
Broker Statement	Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.

Disclosure 7 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Claimant alleges that in 2016, unsuitable investment recommendations were made to him in his advisory account.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$225,000.00
Is this an oral complaint?	No



Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 20-03111
Filing date of arbitration/CFTC reparation or civil litigation: 09/10/2020

Customer Complaint Information

Date Complaint Received: 09/10/2020
Complaint Pending? No
Status: Settled
Status Date: 05/03/2021
Settlement Amount: \$44,855.56
Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Coastal Investment Advisors, Inc.
Allegations: Customer alleged that in 2016 unsuitable investment recommendations were made to him in his advisory account.
Product Type: Direct Investment-DPP & LP Interests
Alleged Damages: \$225,000.00
Is this an oral complaint? No
Is this a written complaint? No
Is this an arbitration/CFTC reparation or civil litigation? Yes
Arbitration/Reparation forum or court name and location: FINRA
Docket/Case #: 20-03111
Filing date of arbitration/CFTC reparation or civil litigation: 09/10/2020

Customer Complaint Information

Date Complaint Received: 09/10/2020
Complaint Pending? No
Status: Settled
Status Date: 05/03/2021



Settlement Amount:	\$44,855.56
Individual Contribution Amount:	\$0.00
Broker Statement	Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.

Disclosure 8 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Claimant alleges that unsuitable investment recommendations were made to her in her advisory account.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm cannot, in good faith, determine that the damages from the alleged conduct would be less than \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01520
Filing date of arbitration/CFTC reparation or civil litigation:	05/13/2020

Customer Complaint Information

Date Complaint Received:	05/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	10/09/2020
Settlement Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Coastal Investment Advisors, Inc.
Allegations:	Claimant alleges that unsuitable investment recommendations were made to her in her advisory account.



Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The firm cannot, in good faith, determine that the damages would be less than \$5,000.00.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01520
Filing date of arbitration/CFTC reparation or civil litigation:	05/13/2020

Customer Complaint Information

Date Complaint Received:	05/15/2020
Complaint Pending?	No
Status:	Settled
Status Date:	10/09/2020
Settlement Amount:	\$15,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	FINRA arbitration incorrectly names Curt Stauffer in the body of the document as a Registered Representative of the Respondent (Coastal Equities). Mr. Stauffer attests that he was not a respondent/defendant in this arbitration, nor was he a party to the settlement and financial agreement.



End of Report

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