



IAPD Report

SCOTT JAMES COLANGELO

CRD# 2699803

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

SCOTT JAMES COLANGELO (CRD# 2699803)

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
IA	PRIME CAPITAL FINANCIAL	CRD# 288712	06/27/2017
B	PRIVATE CLIENT SERVICES, LLC	CRD# 120222	04/25/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	FIDUCIARY INVESTMENT TRUSTS, LLC	296964	OVERLAND PARK, KS	07/20/2018 - 03/20/2023
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	OVERLAND PARK, KS	07/16/2010 - 04/27/2018
IA	LAWING FINANCIAL INC	117178	OVERLAND PARK, KS	05/04/2005 - 10/13/2017

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

Employment 1 of 2

Firm Name: **PRIVATE CLIENT SERVICES, LLC**
Main Address: 2225 LEXINGTON ROAD
LOUISVILLE, KY 40206
Firm ID#: 120222

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/25/2018
B	California	Agent	Approved	01/03/2022
B	Connecticut	Agent	Approved	10/16/2019
B	Illinois	Agent	Approved	04/03/2019
B	Kansas	Agent	Approved	04/25/2018
B	Mississippi	Agent	Approved	05/13/2019
B	Missouri	Agent	Approved	04/30/2018
B	Nebraska	Agent	Approved	09/28/2021
B	Nevada	Agent	Approved	03/20/2019
B	New Hampshire	Agent	Approved	04/25/2018
B	New Mexico	Agent	Approved	04/25/2018
B	Ohio	Agent	Approved	03/15/2019
B	Pennsylvania	Agent	Approved	02/24/2020



Qualifications

Regulator	Registration	Status	Date
B South Dakota	Agent	Approved	09/19/2019
B Texas	Agent	Approved	04/25/2018
B Wyoming	Agent	Approved	12/16/2019

Branch Office Locations

PRIVATE CLIENT SERVICES, LLC

6201 College Blvd - Suite 150
Overland Park, KS 66211

Employment 2 of 2

Firm Name: **PRIME CAPITAL FINANCIAL**
 Main Address: 6201 COLLEGE BLVD.
 SUITE #150
 OVERLAND PARK, KS 66211
 Firm ID#: 288712

Regulator	Registration	Status	Date
IA Kansas	Investment Adviser Representative	Approved	06/27/2017
IA Texas	Investment Adviser Representative	Restricted Approval	08/11/2017

Branch Office Locations

PRIME CAPITAL FINANCIAL

6201 COLLEGE BLVD.
SUITE #150
OVERLAND PARK, KS 66211



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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General Securities Representative Examination (S7)	Series 7	01/25/1996
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	03/20/2000
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Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1996
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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	07/20/2018 - 03/20/2023	FIDUCIARY INVESTMENT TRUSTS, LLC	CRD# 296964	OVERLAND PARK, KS
B	07/16/2010 - 04/27/2018	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	OVERLAND PARK, KS
IA	05/04/2005 - 10/13/2017	LAWING FINANCIAL INC	CRD# 117178	OVERLAND PARK, KS
B	02/17/1999 - 07/16/2010	THE O.N. EQUITY SALES COMPANY	CRD# 2936	OVERLAND PARK, KS
IA	01/02/2004 - 12/31/2006	MASON JAMES ASSET MANAGEMENT, INC.	CRD# 118329	OVERLAND PARK, KS
B	01/09/1998 - 02/19/1999	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ST. LOUIS, MO
B	02/01/1996 - 01/12/1998	EDWARD D. JONES & CO., L.P.	CRD# 250	ST. LOUIS, MO

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
04/2018 - Present	PRIVATE CLIENT SERVICES	REGISTERED REP	Y	OVERLAND PARK, KS, United States
06/2017 - Present	Prime Capital Investment Advisors, LLC	Investment Adviser Representative	Y	Overland Park, KS, United States
05/2017 - Present	Prime Capital Investment Advisors, LLC	Chairman	Y	Overland Park, KS, United States
07/2010 - 04/2018	CAMBRIDGE INVESTMENT RESEARCH, INC	REG REP	Y	FAIRFIELD, IA, United States
05/2005 - 10/2017	LAWING FINANCIAL INC.	IA REP	Y	OVERLAND PARK, KS, United States
02/1999 - 10/2017	Lawing Financial, Inc.	Insurance Agent	N	Overland Park, KS, 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) PRIME CAPITAL INVESTMENT ADVISORS. INVESTMENT RELATED 6201 COLLEGE BLVD, STE 150, OVERLAND PARK, KS 66211. REGISTERED INVESTMENT ADVISOR. IAR-SALE AND SERVICE OF FEE BASED ASSET MANAGEMENT. 100 HOURS/MO; 80 DURING TRADING HOURS.
- 2) PRIME CAPITAL HOLDINGS, LP HAS CHANGED IT'S NAME TO CHHSZ HOLDINGS, LLC. DUE TO A CHANGE IN OWNERSHIP. THE ABOVE REFERENCED CHANGE HAS BEEN MADE EFFECTIVE 10/01/19. 6201 COLLEGE BLVD, SUITE 150, OVERLAND PARK, KS 66211. OWNER/OFFICER/MEMBER/CHAIRMAN. 5 HOURS/MO; 5 DURING TRADING HOURS. PROVIDES PROFESSIONAL INVESTMENT ADVISORY SERVICES AS AN IAR OF PCIA.
- 3) PCRM, LLC DOING BUSINESS AS PRIME CAPITAL RISK MANAGEMENT, INVESTMENT-RELATED. 6201 COLLEGE BLVD SUITE 150, OVERLAND PARK, KS 66211, FIXED-INSURANCE PRODUCTS, INSURANCE AGENT, 02/2021, 10 HRS/MO; 10 HOURS DURING TRADING, SALE AND SERVICE OF FIXED-INSURANCE PRODUCTS, INCLUDING THROUGH NON-AFFILIATED INSURANCE MARKETING ORGANIZATIONS (IMOS).
- 4) CHHSZ HOLDINGS, LLC. 6201 COLLEGE BLVD, SUITE 150, OVERLAND PARK, KS 66211. CHHSZ HOLDINGS LLC IS A LIMITED LIABILITY COMPANY "LLC" FORMED IN OCTOBER 2019 UNDER THE LAWS OF THE STATE OF DELAWARE. CHHSZ HOLDINGS LLC IS THE SOLE OWNER OF PRIME CAPITAL INVESTMENT ADVISORS, LLC (PCIA) A FEDERALLY REGISTERED INVESTMENT ADVISOR. MEMBER PROVIDES PROFESSIONAL (INVESTMENT ADVISORY SERVICES AS AN IAR OF PCIA. <1 HR/MO; <1 DURING TRADING HRS.
- 5) LIQUID MOBILE IV. 11775 W 112TH ST, OVERLAND PARK, KS 66210. MOBILE I.V. HYDRATION SERVICES. FOUNDER/MANAGING PARTNER. 10-20 HRS/MO; 10-20 DURING TRADING HRS.
- 6) THEMATIC/THE B.A.D. INVESTMENT CO. ETF. N/A- PASSIVE INVESTOR. 2-4 HRS/MO; 2-4 DURING TRADING HRS.
- 7) 40 LOVE AZ LLC, NON-INVESTMENT RELATED, 7117 EAST 6TH AVENUE, SCOTTSDALE, AZ, 85251, RESTAURANT OWNERSHIP, MEMBER, 11/01/2024, 6-8 HOURS PER MONTH, 2-4 HOURS PER MONTH DURING TRADING, DUTIES INCLUDE INVESTOR RELATIONS AND OVERSIGHT OF RESTAURANT BUILDOUT.
- 8) SJE Enterprises, LLC; not investment-related; LLC reviews business opportunities, including Las Vegas Basketball Co.; start date 04/2025; number of hours per month; 10; number of hours per month during trading hours: 0.
- 9) Las Vegas Basketball Co; not investment-related; entity to pursue and raise funds for a National Basketball Association expansion franchise; head of business and finance; start date 04/2025; number of hours per month: 10; number of hours per month during trading hours: 0.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
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:	THE O.N. EQUITY SALES COMPANY
Allegations:	CLIENT ALLEGES UNSUITABLE SALE OF VA IN AUGUST 2000
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$240,000.00

Customer Complaint Information

Date Complaint Received:	04/28/2004
Complaint Pending?	No
Status:	Litigation
Status Date:	06/25/2004
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Civil Litigation Information

Court Details:	UNITED STATES DISTRICT COURT FOR THE DISTRICT OF KANSAS/ CASE NUMBER- 04-2294-GTV
Date Notice/Process Served:	06/25/2004
Litigation Pending?	No
Disposition:	Settled



Disposition Date: 04/26/2005
Monetary Compensation Amount: \$125,000.00
Individual Contribution Amount: \$0.00
Broker Statement I WAS DISMISSED WITH PREJUDICE FROM THE CASE.

Disclosure 2 of 2

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: ALLEGATIONS OF UNSUITABILITY IN THE PURCHASE OF A HARTFORD VARIABLE ANNUITY AND A HARTFORD MUTUAL FUND. AMOUNT CLAIMED IS \$99,000 PLUS COSTS.

Product Type: Annuity(ies) - Variable
Alleged Damages: \$99,000.00

Customer Complaint Information

Date Complaint Received: 04/03/2000
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/03/2000
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 00-01405
Date Notice/Process Served: 04/03/2000
Arbitration Pending? No
Disposition: Settled
Disposition Date: 03/08/2001
Monetary Compensation Amount: \$7,000.00
Individual Contribution Amount: \$2,500.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: EDWARD JONES

Allegations: THEY FILED A COMPLAINT AGAINST EDWARD JONES & HAVE ADDED ME TO



THE COMPLAINT. THEY CLAIM THAT WE INCORRECTLY ADVISED THEM ABOUT A 72T WITHDRAWAL. THIS SUPPOSEDLY HAPPENED ON 11/1997.

Product Type: Other

Other Product Type(s): IRA WITHDRAWAL (HARTFORD FUNDS)

Alleged Damages: \$90,000.00

Customer Complaint Information

Date Complaint Received: 04/03/2000

Complaint Pending? No

Status: Settled

Status Date: 03/08/2001

Settlement Amount: \$7,000.00

Individual Contribution Amount: \$2,500.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: #00-01405

Date Notice/Process Served: 05/10/2000

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/03/2000

Monetary Compensation Amount: \$7,000.00

Individual Contribution Amount: \$2,500.00



End of Report

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