



## IAPD Report

### GENE ALVIN BREHM

CRD# 2815437

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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

### GENE ALVIN BREHM (CRD# 2815437)

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 **04/28/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SAXONY SECURITIES, INC.	CRD# 115547	02/05/2018
<b>IA</b>	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	01/02/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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>IA</b>	SAXONY CAPITAL MANAGEMENT, LLC	122692	SAN ANTONIO, TX	02/21/2018 - 12/31/2024
<b>IA</b>	1ST GLOBAL ADVISORS INC	111133	SAN ANTONIO, TX	08/16/2011 - 02/05/2018
<b>B</b>	1ST GLOBAL CAPITAL CORP.	30349	SAN ANTONIO, TX	08/16/2011 - 02/05/2018

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

#### Employment 1 of 2

Firm Name: **SAXONY CAPITAL MANAGEMENT, LLC**  
Main Address: 11152 S TOWNE SQUARE  
SAINT LOUIS, MO 63123  
Firm ID#: 122692

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/02/2025

#### Branch Office Locations

##### **SAXONY CAPITAL MANAGEMENT, LLC**

7809 Broadway  
San Antonio, TX 78209

#### Employment 2 of 2

Firm Name: **SAXONY SECURITIES, INC.**  
Main Address: 11152 S TOWNE SQUARE  
ST. LOUIS, MO 63123  
Firm ID#: 115547

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	02/05/2018
B FINRA	Invest. Co and Variable Contracts	Approved	02/05/2018
B Alabama	Agent	Approved	02/05/2018
B Arizona	Agent	Approved	02/05/2018
B Arkansas	Agent	Approved	02/05/2018
B California	Agent	Approved	02/05/2018



## Qualifications

Regulator	Registration	Status	Date
B Colorado	Agent	Approved	02/05/2018
B Connecticut	Agent	Approved	07/19/2023
B Florida	Agent	Approved	02/05/2018
B Georgia	Agent	Approved	02/05/2018
B Louisiana	Agent	Approved	02/05/2018
B Massachusetts	Agent	Approved	03/21/2023
B Nevada	Agent	Approved	02/05/2018
B New York	Agent	Approved	02/05/2018
B North Carolina	Agent	Approved	02/05/2018
B Oklahoma	Agent	Approved	02/05/2018
B Texas	Agent	Approved	02/05/2018
B Washington	Agent	Approved	02/05/2018

## Branch Office Locations

**SAXONY SECURITIES, INC.**  
7809 Broadway St  
San Antonio, TX 78209



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

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	10/07/2003
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/20/1996

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/19/2003
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1996

### 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	02/21/2018 - 12/31/2024	SAXONY CAPITAL MANAGEMENT, LLC	CRD# 122692	SAN ANTONIO, TX
IA	08/16/2011 - 02/05/2018	1ST GLOBAL ADVISORS INC	CRD# 111133	SAN ANTONIO, TX
B	08/16/2011 - 02/05/2018	1ST GLOBAL CAPITAL CORP.	CRD# 30349	SAN ANTONIO, TX
IA	01/20/2006 - 08/24/2011	H.D. VEST ADVISORY SERVICES, INC	CRD# 104556	SAN ANTONIO, TX
B	08/28/2000 - 08/24/2011	H.D. VEST INVESTMENT SERVICES	CRD# 13686	SAN ANTONIO, TX
B	12/17/1996 - 09/06/2000	THE CHAMPION GROUP, INC.	CRD# 23418	SHAVANO PARK, TX
B	11/21/1996 - 01/09/1997	C. J. M. PLANNING CORP.	CRD# 5698	POMPTON LAKES, NJ

### EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - Present	Saxony Securities	Registered Representative	Y	St. Louis, MO, United States
12/1980 - Present	BREHM HAVEL & CO., LLP	PRESIDENT	N	SAN ANTONIO, TX, United States
08/2011 - 02/2018	1ST GLOBAL ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
08/2011 - 02/2018	1ST GLOBAL CAPITAL CORP	FINANCIAL ADVISOR	Y	SAN ANTONIO, TX, 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 KOBE ENTERPRISES LTD; REGISTERED AGENT, MEMBER; COMMISION COLLECTION; NON-INVESTMENT RELATED; 0



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

HRS\TRADING; STARTED: 10/5/10; SAN ANTOIO, TX; COMPANY COLLECTS COMMISSIONS ON THE SALES OF CHINA IMPORTED PRODUCTS

2 GILDART MANAGEMENT COMPANY, LLC; MANAGER; RENTAL REAL ESTATE; NI RELATED; 0 HRS\TRADING; STARTED: 01/01/2000; SA TX; GILDART MNGMT COMPANY LLC IS THE GEN PARTNER OF GILDART INVESTMENT COMPANY LTD. COMPANY INVESTS IN COMMERCIAL PROPERTIES IN SA AND LEASES THEM TO LOCAL BUSINESSES

3 303 W SUNSET LLC; PARTNER; OIL WELL; NI RELATED; 0 HRS/TRADING; STARTED: 9/1/10; SA TX; PERSONAL INVESTMENT

4 7809 BROADWAY LTD; PARTNER; RENTAL REAL ESTATE; NI RELATED; 0 HRS/TRADING; STARTED: 8/1/2000; SA TX; MANAGE RENTAL PROPERTIES

5 BREHM FAMILY PROPERTIES; OWNER; RENTAL REAL ESTATE; NI RELATED; 1 HR/NONTRADING; STARTED: 08/01/2000; SA TX; MANAGE RENTAL PROPERTIES

6 BREHM FARMS LLC; OWNER; CATTLE RANCH; NI RELATED; 110 HRS/NONTRADING; STARTED: 6/1/02; SA TX; CATTLE RANCH

7 COLOSSAL CATTLE CO; PARTNER; CATTLE TRADING; NI RELATED; 10 HRS/DURING NONTRADING; STARTED: 1/1/97; SA, TX; CATTLE TRADING

8 GENE A BREHM & CO LLP; PRESIDENT; BUSINESS MNGMT CONSULTING; NI RELATED; 5 HRS/NONTRADING; STARTED: 9/1/92; SA TX; BUSINESS MNGMT CONSULTING

9 GILDART INVESTMENTS; TREASURER; REAL ESTATE MNGMT; NI RELATED; 5 HRS/NONTRADING; STARTED: 9/1/2000; SA TX; REAL ESTATE

10 SILICON SPACE TECHNOLOGY; INVESTOR; COMPUTER PARTS; NI RELATED; 2 HRS/ NONTRADING; STARTED: 2/1/07; AUSTIN TX; COMPUTER PARTS

11 H20 TOTE; PRESIDENT; RETAIL SHOE STORE; NI RELATED; 2 HRS/NONTRADING; STARTED: 3/1/06; SA TX; RETAIL SHOES

12 414 PIONEER RD, LLC; MEMBER AND MANAGER; REAL ESTATE; NI RELATED; 0 HRS/TRADING; STARTED: 8/8/11; SEGUIN TX; COMMERCIAL REAL ESTATE HOLDING COMPANY

13 GENUINE GENETICS, LLC; MEMBER, MANAGER; CATTLE SERVICES; NI RELATED; 0 HRS/TRADING; STARTED: 2/8/13; SEGUIN TX; CATTLE SERVICES

14 FIRE STATION NO 6 LLC; MANAGER; RESTAURANT CHAIN; NI RELATED; 2 HRS/NONTRADING; STARTED: 3/20/15; SA TX 78209; MAKE FUNDS AVAILABLE AS CPA

15 FIRE STATION NO 2611 LLC; MEMBER MANAGER; RESTAURANT CHAIN; NI RELATED; 2 HRS/NONTRADING; STARTED: 1/25/17; MAKE FUNDS AVAILABLE AS CPA

16 FIRE STATION NO 2810 LLC; MEMBER MANAGER; RESTAURANT CHAIN; NI RELATED; 5 HRS/NONTRADING, 1 HR/TRADING; STARTED: 1/1/15; BROADWAY, SA TX 78209; PROVIDE CAPITAL AND FINANCIAL OVERSIGHT

17 VARIOUS INS COMPANIES; INVESTMENT RELATED; 7809 BROADWAY, SA, TX 78209; NON VAR INS SALES; INS AGENT; BEGAN 8/12; 1-2 HRS/MO; INS POLICY SALES

18 Valdiviezo Farm Services LLC., NI related, 6015 Broadway SA, TX 78209, Business Manager; Mngmnt Services, Officer, 2/1/19, 4 hrs/mo during non-trading hours, duties: paying bills & keep in compliance with payroll/income tax req's

19 Cool Breeze Pavillion, LLC; NI related; 8990 Hildebrandt Dr. SA, TX 7822; Event Venue; Owner; started 6/30/20; 0 hrs/trading per mo; Owns LLCs but daughter will oversee day-to-day operations. Advisor will have no active role in operations

20 Kreew LLC; NIR;9480 Hildebrandt Rd SA, TX 78222; rental property; member manager; 9/30/20; 1 hr/mo; 0 hrs/trading; property owner

21 KREEW Land & Cattle Company LLC; NI;7809 Broadway SA, TX; farm; manager; 3/31/21; 1/2 hrs/mo; 9/mo; all financial duties with owning 48 acres rural farmland

22 Brehm Havel and Company LLP, (being acquired by ABIP) NIR;7809 Broadway, SA TX 78209; Tax Prep/Accounting; Managing Partner; 1/1/92; 240hrs/mo;150 hrs/mo; tax prep and accounting services

23 KREEW INVESTMENT LLC, Real Estate investment company; NIR; 7809 Broadway, SA, TX 78209; Real estate investment co created to hold proceeds of a tax-free exchange and reinvest in qualified property; manager; 5/11/2021;1 hr/mo & during trading hrs; Participate in sale of real estate, reinvestment, and other real estate. 24. DL Kreew, LTD, NIR, 8990 Hildebrandt Rd, San Antonio, TX 78222, Real Estate Investments, Managing Partner, 6/30/22, 2hrs/month, 0 hrs during trading, Negotiating leases and paying the operating expenses



## 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	1

### 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 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	H.D. VEST INVESTMENT SERVICES
<b>Allegations:</b>	CLIENT ALLEGED SHE WAS NOT AWARE OF WHAT A MARGIN ACCOUNT WAS AND CONTINUED TO BORROW AGAINST HER ACCOUNT WHICH LED TO A NEGATIVE CASH BALANCE.
<b>Product Type:</b>	No Product
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	THE CLIENT DID NOT ALLEGE A SPECIFIC DAMAGES AMOUNT, BUT THE FIRM MADE A GOOD FAITH DETERMINATION THAT THE ALLEGED DAMAGES WOULD BE GREATER THAN \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	10/22/2010
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	02/24/2011



**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

UPON CONCLUSION OF THE FIRM'S INVESTIGATION, NO WRONG DOING  
WAS FOUND ON THE PART OF THE REPRESENTATIVE.



## End of Report

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