IAPD Report

BRIAN RICHARD RALEIGH

CRD# 2870307

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

BRIAN RICHARD RALEIGH (CRD# 2870307)

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 **02/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RALEIGH CAPITAL MANAGEMENT INC.	CRD# 149538	06/15/2012

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	EQIS CAPITAL MANAGEMENT	126052	Carry, NC	05/25/2017 - 04/01/2020
IA	FORMULA FOLIO INVESTMENTS	153467	Cary, NC	04/19/2017 - 03/31/2020
IA	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	132070	CARY, NC	07/30/2012 - 10/11/2017

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

Employment 1 of 1

Firm Name: **RALEIGH CAPITAL MANAGEMENT INC.**

Main Address: 117 EDINBURGH SOUTH DRIVE
SUITE 110
CARY, NC 27511

Firm ID#: 149538

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	06/15/2012

Branch Office Locations

RALEIGH CAPITAL MANAGEMENT INC.
117 EDINBURGH SOUTH DRIVE
SUITE 110
CARY, NC 27511

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	12/29/2008

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	05/25/2017 - 04/01/2020	EQIS CAPITAL MANAGEMENT	CRD# 126052	Carry, NC
IA	04/19/2017 - 03/31/2020	FORMULA FOLIO INVESTMENTS	CRD# 153467	Cary, NC
IA	07/30/2012 - 10/11/2017	GLOBAL FINANCIAL PRIVATE CAPITAL, LLC	CRD# 132070	CARY, NC
IA	01/05/2009 - 02/12/2009	FINANCIAL WEST GROUP	CRD# 16668	RALEIGH, NC

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
09/2015 - Present	RALEIGH CAPITAL MANAGEMENT INC.	OWNER/PRESIDENT/ INVESTMENT ADVISOR REPRESENTATIVE	Y	CARY, NC, United States
09/2015 - Present	RALEIGH WEALTH SOLUTIONS INC.	OWNER/PRESIDENT/ INSURANCE AGENT	Y	CARY, NC, 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.Jeddy 117 LLC; Non-investment related; 117 Edinburgh South Drive, Suite 110, Cary, NC 27511; Commercial real estate / renta income; Owner / landlord of building; Owner; Start date: 9/2024; 1 hour per month (1 hour per month during trading hours)

2.Raleigh Wealth Solutions Inc.; Investment related; 117 Edinburgh South Drive, Suite 110, Cary, NC 27511; Offers annuity, life, and Medicare insurance products to clients; Offers annuity, life, and Medicare insurance products to clients and services current insurance contracts; Owner / insurance agent; Start date: 3/1999; 60 hours per month (60 hours per month during trading hours)

3.Rosey Hazel, LLC; Non-investment related; 409 Garret Lane, Sylva, NC 28779; Residential real estate / rental income; Co-owner / landlord of property; Co-owner; Start date: 1/2012; 1 hour per month (1 hour per month during trading hours)

4.Raleigh Double Cousins Properties, LLC; Non-investment related; 972 E Main St, Sylva, NC 28779; Commercial real estate /

Registration & Employment History

OTHER BUSINESS ACTIVITIES

rental income; Silent partner; Part owner; Start date: 12/2015; 1 hour per month (1 hour per month during trading hours)

5.Personally owned rental property, no business name; Non-investment related; 427 Sunfish Lane, Sneads Ferry, NC 28460; Residential real estate / rental income (personally owned); Co-owner / landlord of property; Co-owner; Start date: 6/2023; 1 hour per month (1 hour per month during trading hours)

6.New Regime BD Team LLC; Investment related; 117 Edinburgh South Drive, Suite 110, Cary, NC 27511; Entity for pass through of business expenses and administration of brokerage referral related business; Entity for pass through of business expenses and administration of brokerage referral related business; Owner; Start date: 11/2021; 40 hours per month (40 hours per month during trading hours)

7.Mufasa Insurance Company, Inc., an Incorporated Cell; Investment related; 176 Mine Lake Court, Suite 100, Raleigh, NC 27615; Self-insurance company; Owner of the self-insurance company; Owner; Start date: 11/2024; 1 hour per month (1 hour per month during trading hours)

8.Raleigh Tax Solutions LLC; Non-investment related; 117 Edinburgh South Drive, Suite 110, Cary, NC 27511; Educating financial advisors; Educating financial advisors on events, referrals, sales, strategies, etc.; Owner / teacher; Start date: 2/2025; 5 hours per month (5 hours per month during trading hours)

9.Inception Financial Solar LLC; Not Investment related; 117 Edinburgh S. Dr., #110, Cary, NC 27511; Nature of other business: Development and sale of commercial and residential battery storage systems and solar power systems; Position: Referring Sales Agent; Start Date: July 30, 2025; 1 hour per month (0 hours per month during trading hours). Duties: Referral of potential solar customers.

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
Termination	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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Raleigh Capital Management, Inc.
Allegations:	Client alleged negligence, professional negligence, violations of law, unsuitable recommendations, negligent supervision, breach of contract, breach of fiduciary duty, and breach of securities industry law and rules related to two (2) non-traded real estate investment trusts purchased by the client on or about June 2016.
Product Type:	Real Estate Security
Alleged Damages:	$30,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	20-02661
Date Notice/Process Served:	11/03/2020
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/21/2020
Monetary Compensation Amount:	$10,000.00

Individual Contribution Amount:	$5,000.00
Broker Statement	Mr. Raleigh vigorously denies all allegations in the underlying matter and settled the customer's claims in view of the costs and risks associated with proceeding to a hearing on the merits. Mr. Raleigh welcomes questions regarding this matter from current and prospective clients.

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	MUTUAL OF OMAHA INVESTOR SERVICES, INC.
Termination Type:	Permitted to Resign
Termination Date:	02/15/2005
Allegations:	VIOLATING INTERNAL POLICIES AND PROCEDURES RELATED TO UNAPPROVED ADVERTISING, SEMINARS AND WEBSITE.
Product Type:	No Product
Broker Statement	MR. RALEIGH RESIGNED FROM MUTUAL OF OMAHA INVESTOR SERVICES ("MOIS") ON OR ABOUT FEBRUARY 15, 2005 WHILE UNDER INTERNAL INVESTIGATION BY THE FIRM REGARDING ALLEGATIONS THAT HE HAD PUT ON AN UNAPPROVED SEMINAR REGARDING INDEXED UNIVERSAL LIFE INSURANCE PRODUCTS ("IULS"). MR. RALEIGH HAD SUBMITTED THE CONTENT OF THE SEMINAR FOR MOIS'S PRIOR APPROVAL SEVERAL MONTHS IN ADVANCE AND RECEIVED LITTLE OR NO RESPONSE FROM THE MOIS COMPLIANCE OFFICE. AT THE TIME OF SUBMISSION, MR. RALEIGH BELIEVED THAT AN IDENTICAL OR MATERIALLY SIMILAR PRESENTATION HAD BEEN APPROVED BY SEVERAL OF MOIS'S COMPETITORS. MR. RALEIGH FURTHER BELIEVES THAT MOIS REFUSED OR INTENTIONALLY DELAYED ITS APPROVAL OF HIS PROPOSED SEMINAR MATERIALS BECAUSE AT THE TIME, MOIS DID NOT OFFER IULS AND THE SEMINAR WOULD RESULT IN LOSS OF BUSINESS TO ITS COMPETITORS. IT IS MR. RALEIGH'S UNDERSTANDING THAT LESS THAN TWO YEARS FOLLOWING HIS RESIGNATION FROM MOIS, THE FIRM APPROVED THE SEMINAR HE WISHED TO PRESENT, AFTER MOIS BEGAN SELLING IULS AND STOOD TO PROFIT FROM SUCH SEMINARS. MR. RALEIGH HAD BEEN ASSOCIATED WITH MOIS FOR APPROXIMATELY TEN YEARS AT THE TIME OF HIS RESIGNATION AND HAD NO PRIOR DISCIPLINARY ISSUES AT MOIS WHATSOEVER.

End of Report

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