User Guidance

www.adviserinfo.sec.gov

IAPD Report

JOHN DOUGLAS FEAST

CRD# 3042110

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

JOHN DOUGLAS FEAST (CRD# 3042110)

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 **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONCURRENT INVESTMENT ADVISORS, LLC	CRD# 323135	05/15/2026
B	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	05/20/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	WELLS FARGO ADVISORS	19616	MARLTON, NJ	11/27/2013 - 05/25/2026
B	WELLS FARGO CLEARING SERVICES, LLC	19616	MARLTON, NJ	11/27/2013 - 05/25/2026
B	JANNEY MONTGOMERY SCOTT LLC	463	MARLTON, NJ	10/09/2008 - 12/02/2013

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	4

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

Employment 1 of 2

Firm Name: **PURSHE KAPLAN STERLING INVESTMENTS**

Main Address: 80 STATE STREET
ALBANY, NY 12207

Firm ID#: 35747

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/20/2026
B	FINRA	General Securities Sales Supervisor	Approved	05/20/2026
B	Alaska	Agent	Approved	05/25/2026
B	Arizona	Agent	Approved	05/25/2026
B	Colorado	Agent	Approved	05/20/2026
B	Delaware	Agent	Approved	05/20/2026
B	District of Columbia	Agent	Approved	05/25/2026
B	Florida	Agent	Approved	05/20/2026
B	Georgia	Agent	Approved	05/20/2026
B	Illinois	Agent	Approved	05/20/2026
B	Kansas	Agent	Approved	05/25/2026
B	Louisiana	Agent	Approved	05/25/2026
B	Maryland	Agent	Approved	05/20/2026

Qualifications

	Regulator	Registration	Status	Date
B	Massachusetts	Agent	Approved	05/25/2026
B	Michigan	Agent	Approved	05/25/2026
B	Minnesota	Agent	Approved	05/25/2026
B	Mississippi	Agent	Approved	05/20/2026
B	New Jersey	Agent	Approved	05/20/2026
B	North Carolina	Agent	Approved	05/25/2026
B	Ohio	Agent	Approved	05/27/2026
B	Pennsylvania	Agent	Approved	05/25/2026
B	South Carolina	Agent	Approved	05/25/2026
B	Tennessee	Agent	Approved	05/20/2026
B	Virginia	Agent	Approved	05/20/2026
B	Washington	Agent	Approved	05/20/2026
B	West Virginia	Agent	Approved	05/28/2026

Branch Office Locations

80 STATE STREET
ALBANY, NY 12207

1741 Ocoee Apopka Road
Apopka, FL 32703

Employment 2 of 2

Firm Name: **CONCURRENT INVESTMENT ADVISORS, LLC**

Main Address: 100 S. ASHLEY DRIVE
SUITE 830
TAMPA, FL 33602

Firm ID#: 323135

Qualifications

	Regulator	Registration	Status	Date
IA	New Jersey	Investment Adviser Representative	Approved	05/15/2026

Branch Office Locations

CONCURRENT INVESTMENT ADVISORS, LLC
5 Greentree Center
Suite 201
Marlton, NJ 08053

CONCURRENT INVESTMENT ADVISORS, LLC
1741 Ocoee Apopka Road
Office 152
Apopka, FL 32703

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	07/26/2002
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	07/26/2002

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	05/12/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/23/1998
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/21/1998

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	11/27/2013 - 05/25/2026	WELLS FARGO ADVISORS	CRD# 19616	MARLTON, NJ
B	11/27/2013 - 05/25/2026	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	MARLTON, NJ
B	10/09/2008 - 12/02/2013	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	MARLTON, NJ
IA	10/09/2008 - 12/02/2013	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	MARLTON, NJ
IA	06/07/2005 - 10/13/2008	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	VOORHEES, NJ
B	03/15/2002 - 10/13/2008	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	VOORHEES, NJ
B	10/01/1999 - 03/18/2002	FIRST UNION SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	05/14/1998 - 10/01/1999	FIRST UNION CAPITAL MARKETS CORP.	CRD# 6124	CHARLOTTE, 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
05/2026 - Present	Concurrent Investment Advisors, LLC	Investment Adviser Representative	Y	Marlton, NJ, United States
05/2026 - Present	Purshe Kaplan Sterling Investments	Registered Representative	Y	Albany, NY, United States
11/2013 - 05/2026	Wells Fargo Advisors	Managing Director / Investments	Y	Marlton, NJ, United States
11/2013 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	MARLTON, NJ, 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) Concurrent Investment Advisors d/b/a Game Plan Wealth Strategies, LLC. Investment-related. At registered location. RIA.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

Financial Advisor Managing Partner. Start date: 05/2026. 160 hrs/month; all during trading hours. Provide advice to clients.

2) Fixed Insurance. Investment-related. At registered location. Fixed / Traditional Insurance. Agent. Start date: 05/2026. 4 hrs/month all during trading hours. Sales of fixed / traditional insurance products.

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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC AND RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	CLAIMANT, AS EXECUTOR AND BENEFICIARY, ALLEGES THAT BETWEEN FEBRUARY 2009 AND DECEMBER 2013, CLIENT'S ACCOUNT WAS INVESTED IN UNSUITABLE SECURITIES. CLAIMANT ALSO ALLEGES THAT FORMER TRUSTEE MADE IMPROPER WITHDRAWALS FROM THE ACCOUNT.
Product Type:	Mutual Fund
Alleged Damages:	$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-00292
Filing date of arbitration/CFTC reparation or civil litigation:	01/31/2014

Customer Complaint Information

Date Complaint Received:	03/04/2014

Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for respondents/defendants)
Status Date:	06/20/2016
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES,INC
Allegations:	NEGLIGENCE, FAILURE TO SUPERVISE, UNSUITABILITY, REGULATORY VIOLATIONS OF FINRA RULES 2010, 2020 & 2330, BREACH OF CONTRACT, BREACH OF FIDUCIARY DUTY, VIOLATIONS OF THE NEW JERSEY UNIFORM SECURITIES LAW, CONVERSION, RESPONDEAT SUPERIOR.
Product Type:	No Product
Alleged Damages:	$1,000,000.00
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 #:	14-00292
Filing date of arbitration/CFTC reparation or civil litigation:	01/31/2014

Customer Complaint Information

Date Complaint Received:	03/03/2014
Complaint Pending?	No
Status:	Denied
Status Date:	06/20/2016
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC & JANNEY MONTGOMERY SCOTT LLC
Allegations:	ALLEGATION FROM RAYMOND JAMES FINANCIAL SERVICES, INC: NEGLIGENCE, FAILURE TO SUPERVISE, UNSUITABILITY, REGULATORY VIOLATIONS OF FINRA RULES 2010, 2020 & 2330, BREACH OF CONTRACT,

	BREACH OF FIDUCIARY DUTY, VIOLATIONS OF THE NEW JERSEY UNIFORM SECURITIES LAW, CONVERSION, RESPONDEAT SUPERIOR., ALLEGATION FROM JANNEY MONTGOMERY SCOTT LLC: CLAIMANT, AS EXECUTOR AND BENEFICIARY, ALLEGES THAT BETWEEN FEBRUARY 2009 AND DECEMBER 2013, CLIENT'S ACCOUNT WAS INVESTED IN UNSUITABLE SECURITIES. CLAIMANT ALSO ALLEGES THAT FORMER TRUSTEE MADE IMPROPER WITHDRAWALS FROM THE ACCOUNT.
Product Type:	Mutual Fund Other: RAYMOND JAMES FINANCIAL SERVICES, INC: "NO PRODUCT", JANNEY MONTGOMERY SCOTT LLC: "MUTUAL FUND"
Alleged Damages:	$1,000,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	14-00292
Filing date of arbitration/CFTC reparation or civil litigation:	01/31/2014

Customer Complaint Information

Date Complaint Received:	03/03/2014
Complaint Pending?	No
Status:	Denied
Status Date:	06/20/2016
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	I DO NOT AGREE WITH THE STATEMENTS IN THE COMPLIANT. WHEN THE FINANCIAL DATA IS PRESENTED IT WILL BE OBVIOUS THAT I ADVISED MY CLIENT PRUDENTLY.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC
Allegations:	CLIENT ALLEGES FA DID NOT PUT THEM IN A SUITABLE INVESTMENT CAUSING THEM TO INCUR $12,000 LOSS FROM PROFITABLE MUTUAL FUNDS WHICH WERE SOLD TO INVEST IN ANNUITY'S. THE INVESTMENT OF THE ANNUITY HAS MADE THEM ILLIQUID AND NOW TO GET OUT OF THIS PRODUCT THEY ARE INCURRING FEES. THEY WANT TO BE REIMBURSED FOR ALL FEES AND HAVE THEIR ORIGINAL INVESTMENT RETURNED TO THEM.

Product Type:	Annuity(ies) - Variable
Other Product Type(s):	MUTUAL FUNDS
Alleged Damages:	$12,000.00

Customer Complaint Information

Date Complaint Received:	10/25/2006
Complaint Pending?	No
Status:	Denied
Status Date:	11/02/2006
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES, INC.
Allegations:	NEW JERSEY CLIENT ALLEGES EQUITY PURCHASES MADE IN HIS ACCOUNT BY HIS FINANCIAL ADVISOR WERE UNAUTHORIZED. NO SPECIFIC PURCHASES HAVE BEEN IDENTIFIED AS UNAUTHORIZED HOWEVER. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE GREATER THAN $5,000.
Product Type:	Equity - OTC
Alleged Damages:	$75,309.44

Customer Complaint Information

Date Complaint Received:	05/05/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2003
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	CLAIM DENIED BY FIRM ON JUNE 25, 2003. UPON INVESTIGATION THE FINANCIAL ADVISOR AFFIRMS THAT HE HAD THE CLIENT'S AUTHORIZATION FOR EACH TRADE. ALSO, THE TRADES COMPLAINED OF WERE DOCUMENTED BY CONTEMPORANEOUS BROKER NOTES, CONFIRMATIONS AND STATEMENTS. REGARDING SUITABILITY, THE EQUITY TRADES WERE SUITABLE GIVEN THE CLIENTS STATED INVESTMENT OBJECTIVE OF GROWTH AND TOTAL NET WORTH.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	WACHOVIA SECURITIES
Allegations:	NEW JERSEY CLIENT ALLEGES EQUITY PURCHASES MADE IN HIS ACCOUNT BY HIS FINANCIAL ADVISOR WERE UNAUTHORIZED. NO SPECIFIC PURCHASES HAVE BEEN IDENTIFIED AS UNAUTHORIZED HOWEVER. DAMAGES ARE UNSPECIFIED BUT BELIEVED TO BE GREATER THAN $5,000.
Product Type:	Equity - OTC
Alleged Damages:	$75,309.44

Customer Complaint Information

Date Complaint Received:	05/05/2003
Complaint Pending?	No
Status:	Denied
Status Date:	06/25/2003
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE ALLEGATIONS ARE FALSE BROUGHT BY PAID CLIENT. I WILL ENCLOSE THREE NOT PAGES OF A COUPLE OF PHONE CONVERSATIONS WITH CLIENTS GETTIN APPROVED FOR TRADES. IN OCTOBER 1999 CLIENT WAS INSTRUCTED TO PUT MONEY INTO PACIFIC LIFE. SHE ONLY WANTED TO PUT $30,000. CLIENTS WOULD CLAL MY HOUSE WHEN I HAD [REDACTED] SURGERY TO DO TRADES.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FIRST UNION SECURITIES INC.
Allegations:	CLIENT COMPLAINS THAT FA DID NOT PLACE STOP LOSS AND STOP LIMIT ORDERS AND ALSO DID NOT KEEP AGREEMENT NOT TO LET ACCOUNT FALL BELOW SPECIFIED PARAMETERS.
Product Type:	Equity - OTC
Alleged Damages:	$5,000.00

Customer Complaint Information

Date Complaint Received:	10/05/2001
Complaint Pending?	No
Status:	Denied
Status Date:	10/16/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT DID NOT PLACE STOP ORDERS OR STOP LIMIT ORDERS. ANY

ORDERS CLIENT GAVE WERE FOLLOWED AS INSTRUCTED. CLIENT NEVER SET LOSS PARAMATERS AND, INDEED, IN VOLATILE MARKET, NO SUCH PARAMATERS COULD HAVE BEEN SET. CLAIM DENIED.

End of Report

This page is intentionally left blank.