



## IAPD Report

# ALAN DEAN BUSH MR.

CRD# 36885

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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

### ALAN DEAN BUSH MR. (CRD# 36885)

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 **04/25/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GULFCREST CAPITAL	CRD# 314412	05/12/2023

### 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	KBK CAPITAL MANAGEMENT, LLC	288662	DELRAY BEACH, FL	01/12/2018 - 12/22/2021
B	MANAGED ACCOUNT SERVICES, LLC	133803	BOCA RATON, FL	05/07/2010 - 03/23/2018
IA	INDEPENDENT PORTFOLIO CONSULTANTS, INC.	120420	BOCA RATON, FL	11/04/2002 - 09/21/2017

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
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **GULFCREST CAPITAL**  
Main Address: 433 PLAZA REAL SUITE 275  
BOCA RATON, FL 33432  
Firm ID#: 314412

Regulator	Registration	Status	Date
<b>IA</b> Florida	Investment Adviser Representative	Approved	05/12/2023

#### Branch Office Locations

**GULFCREST CAPITAL**  
433 PLAZA REAL SUITE 275  
BOCA RATON, FL 33432







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



#### Principal/Supervisory Exams

Exam	Category	Date
 NYSE Branch Manager Examination (S12)	Series 12	12/19/1981
 Registered Options Principal Examination (S4)	Series 4	11/16/1979
 Financial Principal Examination (F04)	F04	12/08/1973
 General Securities Principal Examination (S00)	Series 00	12/08/1973

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	03/23/2018
 NYSE Allied Member Examination (S41)	Series 41	12/19/1981
 Registered Representative Examination (S1)	Series 1	09/16/1972

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	03/10/1994
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/16/1986



## 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	01/12/2018 - 12/22/2021	KBK CAPITAL MANAGEMENT, LLC	CRD# 288662	DELRAY BEACH, FL
B	05/07/2010 - 03/23/2018	MANAGED ACCOUNT SERVICES, LLC	CRD# 133803	BOCA RATON, FL
IA	11/04/2002 - 09/21/2017	INDEPENDENT PORTFOLIO CONSULTANTS, INC.	CRD# 120420	BOCA RATON, FL
B	03/22/2006 - 05/12/2010	JESUP & LAMONT SECURITIES CORP	CRD# 39056	BOCA RATON, FL
B	07/21/1993 - 03/06/2006	ADVEST, INC.	CRD# 10	HARTFORD, CT
IA	03/19/2003 - 01/14/2004	ADVEST, INC.	CRD# 10	BOCA RATON, FL
B	10/03/1988 - 07/16/1993	DOMINICK & DOMINICK, INCORPORATED	CRD# 7344	OLD GREENWICH, CT
B	11/20/1987 - 10/03/1988	DOMINICK & DOMINICK, INCORPORATED	CRD# 223	
B	02/04/1974 - 09/25/1986	ALAN BUSH BROKERAGE CO	CRD# 6631	
B	09/19/1972 - 01/15/1974	HESS INVESTMENT CO.	CRD# 407	

### 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
01/2023 - Present	Gulfcrest Capital Management LLC	Will be an Investment Adviser Representative when registration is complete.	Y	Boca Raton, FL, United States
12/2021 - Present	BlueShores Management Consulting	25% Partner	N	BOCA RATON, FL, United States
01/2018 - 12/2021	KBK Capital Management LLC	Director of Consulting Division	Y	Delray Beach, FL, United States
03/2013 - 03/2018	Managed Account Services (B/D 133803)	Registered Representative	Y	Malvern, PA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2013 - 09/2017	Independent Portfolio Consultants, Inc.	PRESIDENT	Y	BOCA RATON, FL, 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.

BlueShores Management Consulting; not investment related; 433 Plaza Real, Suite 275; Boca Raton, FL 33432; Management consulting services to small/medium sized businesses; Consultant; 25% Partner; 12/2021; 10 hours per month; 0.5 hour during securities trading hours; provide management consulting services.



## 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
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 1

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/22/1977

**Docket/Case Number:** AWC-52

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/22/1977

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:**



**Sanction Details:**

**Regulator Statement** 12-22-77 FILED #AWC-52 DIST. #7: 12-22-77 CENSURED FINED \$3,000  
J & S 12-22-77 FINAL FINES & COSTS 1-28-78 FC#6966 PD J&S

.....

**Reporting Source:** Firm  
**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/22/1977

**Docket/Case Number:** AWC-52

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/22/1977

**Sanctions Ordered:** Censure  
Monetary/Fine \$3,000.00

**Other Sanctions Ordered:**

**Sanction Details:**

**Firm Statement** BUSH CONSENTED TO AN  
NASD CENSURE AND FINE IN CONNECTION WITH NASD COMPLAINT  
NO. AWC-52, IN 1977, INVOLVING VARIOUS BOOKKEEPING VIOLATIONS.

.....

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NASD DISTRICT BUSINESS CONDUCT  
COMMITTEE-DISTRICT 7

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 12/22/1977

**Docket/Case Number:** AWC-52

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**



<b>Allegations:</b>	VARIOUS BOOKKEEPING VIOLATIONS
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	12/22/1977
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$3,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	SETTLED WITH A LETTER OF ADMISSION, WAIVER AND CONSENT. A PENALTY OF CONSENT. A PENALTY OF CENSURE AND A FINE OF \$3000.00 WAS LEVIED AGAINST WILLIAM HOOD, (THE FIRM'S PRESIDENT) AND ALAN BUSH, (THE FINANCIAL PRINCIPAL) JOINTLY AND SEVERALLY.
<b>Broker Statement</b>	Not Provided



## 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:**

**Allegations:** PLAINTIFFS ALLEGE THAT DEFENDANTS VIOLATED SECTION 10 OF THE EXCHANGE ACT OF 1934, SECTIONS 5, 12 AND 12(2) OF THE SECURITIES ACT OF 1933 AND COMMITTED COMMON LAW FRAUD, DECEIT AND NEGLIGENCE AGAINST THEM. THE COMPLAINT SEEKS AN UNSPECIFIED AMOUNT OF DAMAGES.

**Product Type:**

**Alleged Damages:**

## Customer Complaint Information

**Date Complaint Received:**

**Complaint Pending?** No

**Status:** Litigation

**Status Date:**

**Settlement Amount:**

**Individual Contribution Amount:**

## Civil Litigation Information

**Court Details:** U.S. DISTRICT; SOUTHERN DISTRICT OF FL; 85-8018-CIV-PAINE

**Date Notice/Process Served:** 01/10/1985

**Litigation Pending?** No

**Disposition:** Monetary Judgment to Customer

**Disposition Date:** 09/29/1992

**Monetary Compensation Amount:** \$220,000.60

**Individual Contribution Amount:**

**Broker Statement** SETTLEMENT--\$176,894.92 WAS AWARDED TO PLAINTIFFS' COUNSEL FOR ATTORNEY'S FEES, \$43,105.68 WAS AWARDED TO PLAINTIFFS' COUNSEL FOR REIMBURSEMENT OF EXPENSES. "ORDERED, ADJUDGED AND DECREED THAT THE SETTLEMENT AGREEMENT AND SETTLEMENT ARE NOT AN ADMISSION BY ANY OF THE DEFENDANTS, NOR IS THIS FINAL ORDER AND JUDGEMENT AN EXPRESS OR IMPLIED



FINDING OF THE VALIDITY OF ANY CLAIMS IN THE LITIGATION OR OF ANY WRONG DOING BY ANY DEFENDANT. FURTHERMORE, NEITHER THE SETTLEMENT AGREEMENT NOR THE SETTLEMENT ARE A CONCESSION BY ANY DEFENDANT AND NEITHER SHALL BE USED AS AN ADMISSION OF ANY FAULT OR OMISSIONS BY ANY PERSON. ON SEPTEMBER 29, 1992 THE COURT APPROVED THE SETTLEMENT, PERMANENTLY DISMISSING THE ACTION ON THE MERITS AND WITH PREJUDICE AS TO ALL DEFENDANTS. AS REQUESTED BY SRR, THE COMPLAINT IN OCCURRENCE 1 HAS BEEN COMBINED WITH THE COMPLAINT IN OCCURRENCE 2. THIS POSTING IS BEING FILED TO OCCURRENCE 2.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 2

**Reporting Source:** Individual

**Judgment/Lien Holder:** American Express National Bank

**Judgment/Lien Amount:** \$36,903.57

**Judgment/Lien Type:** Civil

**Date Filed with Court:** 04/03/2023

**Date Individual Learned:** 04/07/2023

**Type of Court:** State Court

**Name of Court:** Fifteenth Judicial Circuit in and for Palm Beach, FL

**Location of Court:** West Palm Beach, FL

**Docket/Case #:** 50-2022-CA-012715-XXXX-MB

**Judgment/Lien Outstanding?** Yes

**Broker Statement** I carried a credit card for a family-owned retail store. When the epidemic outbreak hit, customers stopped shopping. I was unable to make the required paydowns carried on the card. I hope to negotiate a resolution with American Express National Bank.

### Disclosure 2 of 2

**Reporting Source:** Individual

**Judgment/Lien Holder:** Bank of America

**Judgment/Lien Amount:** \$40,825.11

**Judgment/Lien Type:** Civil

**Date Filed with Court:** 03/15/2022

**Date Individual Learned:** 03/20/2022

**Type of Court:** State Court

**Name of Court:** Fifteenth Judicial Circuit in and for Palm Beach County, Florida

**Location of Court:** West Palm Beach, FL

**Docket/Case #:** 502021CA011476XXXXMB

**Judgment/Lien Outstanding?** Yes

**Broker Statement** I carried a credit card for a family-owned retail store. When the epidemic outbreak hit, customers stopped shopping. I was unable to make the required paydowns on time for the inventory purchases carried on the card. I hope to negotiate a resolution with Bank of America.



## End of Report

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