IAPD Report

STACEY LYNN LAVENDER

CRD# 4365033

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

STACEY LYNN LAVENDER (CRD# 4365033)

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 **06/25/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SEQUENCE FINANCIAL SPECIALISTS LLC	CRD# 132915	01/10/2019
B	G. A. REPPLE & COMPANY	CRD# 17486	04/23/2024
IA	G. A. REPPLE & COMPANY	CRD# 17486	08/26/2024
IA	KINGSWOOD WEALTH ADVISORS, LLC	CRD# 288792	02/03/2025
B	EXEMPLAR CAPITAL, LLC	CRD# 155786	02/11/2025
B	OPENCASH	CRD# 317007	01/30/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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	KINGSWOOD CAPITAL PARTNERS, LLC	288898	SAN DIEGO, CA	02/03/2025 - 04/30/2026
B	QUOIN CAPITAL LLC	136160	PHILADELPHIA, PA	02/26/2025 - 02/27/2026
B	ZENITH SECURITIES LLC	138135	NORWALK, CT	08/27/2025 - 02/13/2026

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.

Report Summary

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Criminal	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 **5** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 5

Firm Name: **OPENCASH**
Main Address: 521 W. LANCASTER AVE
FL 2
HAVERFORD, PA 19041
Firm ID#: 317007

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/30/2026
B	FINRA	General Securities Representative	Approved	01/30/2026
B	California	Agent	Approved	06/22/2026
B	Illinois	Agent	Approved	06/25/2026
B	Indiana	Agent	Approved	03/06/2026
B	South Dakota	Agent	Approved	06/23/2026

Branch Office Locations

Jurupa Valley, CA

521 W Lancaster Ave
Ste 2
Haverford, PA 19041

Employment 2 of 5

Firm Name: **EXEMPLAR CAPITAL, LLC**
Main Address: 265 FRANKLIN STREET
SUITE 1702
BOSTON, MA 02110
Firm ID#: 155786

Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	02/11/2025
B FINRA	General Securities Representative	Approved	02/11/2025
B FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	02/11/2025
B FINRA	Private Securities Offerings Principal	Approved	02/11/2025

Branch Office Locations

Jurupa Valley, CA

Employment 3 of 5

Firm Name: **KINGSWOOD WEALTH ADVISORS, LLC**

Main Address: 11440 W. BERNARDO COURT
SUITE 300
SAN DIEGO, CA 92127

Firm ID#: 288792

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	02/03/2025

Branch Office Locations

KINGSWOOD WEALTH ADVISORS, LLC
Jurupa Valley, CA

Employment 4 of 5

Firm Name: **G. A. REPPLE & COMPANY**

Main Address: 101 NORMANDY ROAD
CASSELBERRY, FL 32707

Firm ID#: 17486

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	04/23/2024
B FINRA	General Securities Representative	Approved	04/23/2024

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Municipal Securities Principal	Approved	08/23/2024
B	FINRA	Municipal Securities Representative	Approved	08/23/2024
IA	California	Investment Adviser Representative	Approved	08/26/2024
IA	Florida	Investment Adviser Representative	Approved	08/26/2024

Branch Office Locations

G. A. REPPLE & COMPANY
Jurupa Valley, CA

Employment 5 of 5

Firm Name: **SEQUENCE FINANCIAL SPECIALISTS LLC**

Main Address: 181 E. EVANS STREET
STE C1
FLORENCE, SC 29506

Firm ID#: 132915

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/10/2019
B	FINRA	General Securities Representative	Approved	01/10/2019

Branch Office Locations

Jurupa Valley, CA

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	09/19/2006
B	Registered Options Principal Examination (S4)	Series 4	07/10/2006
B	Municipal Securities Principal Examination (S53)	Series 53	03/24/2006
B	General Securities Principal Examination (S24)	Series 24	12/09/2005

General Industry/Product Exams

	Exam	Category	Date
B	Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/07/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/01/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/03/2025 - 04/30/2026	KINGSWOOD CAPITAL PARTNERS, LLC	CRD# 288898	SAN DIEGO, CA
B	02/26/2025 - 02/27/2026	QUOIN CAPITAL LLC	CRD# 136160	PHILADELPHIA, PA
B	08/27/2025 - 02/13/2026	ZENITH SECURITIES LLC	CRD# 138135	NORWALK, CT
B	02/15/2021 - 12/31/2025	DALMORE GROUP LLC	CRD# 136352	WOODMERE, NY
B	02/25/2025 - 09/24/2025	BOSONIC SECURITIES	CRD# 317012	SPEARFISH, SD
IA	12/21/2021 - 02/28/2025	LEVEL FOUR ADVISORY SERVICES	CRD# 134086	JURUPA VALLEY, CA
B	02/13/2018 - 02/28/2025	LEVEL FOUR FINANCIAL, LLC	CRD# 25700	Riverside, CA
B	05/30/2021 - 01/18/2023	FTX CAPITAL MARKETS LLC	CRD# 158816	New York, NY
B	07/14/2020 - 01/18/2023	CHERRY TRADING	CRD# 306249	West Hollywood, CA
B	11/06/2020 - 10/28/2022	PALM TREE SECURITIES LLC	CRD# 307831	Los Angeles, CA
B	01/14/2021 - 08/31/2022	SECURRENCY SECURITIES INC.	CRD# 309087	BEDFORD HILLS, NY
B	02/17/2021 - 08/09/2022	GREENTIGER SECURITIES LLC	CRD# 306011	Beverly Hills, CA
B	06/15/2020 - 12/31/2021	PETER ELISH INVESTMENTS SECURITIES	CRD# 24409	FORT WORTH, TX
IA	06/08/2018 - 12/21/2021	LEVEL FOUR FINANCIAL, LLC	CRD# 25700	Riverside, CA
IA	07/28/2021 - 11/17/2021	MYWALLST ADVISORY LLC	CRD# 311970	Los Angeles, CA

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	05/13/2020 - 06/01/2021	BW NETWORK SECURITIES, LLC	CRD# 300634	REDDINGTON SHORES
B	01/03/2020 - 08/28/2020	HB SECURITIES, LLC	CRD# 140356	Beverly Hills, CA
B	05/22/2019 - 04/03/2020	IFP SECURITIES, LLC	CRD# 297287	TAMPA, FL
B	12/05/2018 - 12/31/2019	NMS CAPITAL ADVISORS, LLC.	CRD# 140356	Los Angeles, CA
B	12/11/2014 - 05/30/2018	NMS CAPITAL ADVISORS, LLC.	CRD# 140356	BEVERLY HILLS, CA
IA	12/17/2014 - 05/24/2018	NMS CAPITAL ASSET MANAGEMENT, INC.	CRD# 149678	BEVERLY HILLS, CA
B	01/13/2018 - 04/02/2018	THIRD PARTY TRADE LLC	CRD# 144076	OAKLAND, CA
B	12/09/2014 - 10/06/2015	NMS CAPITAL SECURITIES, LLC	CRD# 107401	BEVERLY HILLS, CA
IA	12/10/2012 - 03/05/2014	HARBOR FINANCIAL SERVICES, LLC	CRD# 25700	MOBILE, AL
B	12/07/2012 - 03/05/2014	HARBOR FINANCIAL SERVICES, LLC	CRD# 25700	MOBILE, AL
B	08/20/2012 - 11/15/2012	GENTRY SECURITIES LLC	CRD# 155142	NEW YORK, NY
B	06/21/2012 - 08/22/2012	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	GULFPORT, MS
IA	06/20/2012 - 08/22/2012	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	GULFPORT, MS
IA	10/06/2005 - 11/21/2011	HARBOR FINANCIAL SERVICES, LLC	CRD# 25700	MOBILE, AL
B	09/29/2005 - 11/21/2011	HARBOR FINANCIAL SERVICES, LLC	CRD# 25700	MOBILE, AL
IA	03/23/2005 - 10/04/2005	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	NEWBURGH, IN

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/04/2005 - 10/04/2005	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	03/04/2005 - 10/04/2005	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	04/07/2004 - 05/20/2004	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	10/24/2003 - 04/02/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	05/15/2001 - 11/12/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
02/2026 - Present	Kingswood Wealth Management	CCO	Y	Miami, FL, United States
01/2026 - Present	OPENCASH SECURITIES, LLC	CHIEF COMPLIANCE OFFICER, BSA OFFICER	Y	HAVERFORD, PA, United States
02/2025 - Present	Exemplar Capital, LLC	CCO	Y	Boston, MA, United States
02/2025 - Present	KINGSWOOD WEALTH ADVISORS, LLC	Compliance consultant	Y	San Diego, CA, United States
02/2025 - Present	Kingswood Capital Partners, LLC	Compliance consultant/analyst	Y	San Diego, CA, United States
04/2024 - Present	G. A. REPPLE & COMPANY	Compliance consultant	Y	CASSELBERRY, FL, United States
05/2021 - Present	Compliers Consulting Services	Partner	N	Jurupa Valley, CA, United States
01/2019 - Present	Sequence Financial Specialists LLC	Chief Compliance Officer	Y	Florence, SC, United States
01/2018 - Present	SLLM-Inc./CCS	CEO	Y	Los Angeles, CA, United States
02/2025 - 02/2026	QUOIN CAPITAL LLC	Compliance consultant	Y	Wayne, PA, United States
02/2021 - 12/2025	Dalmore	Director of Compliance	Y	New York, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2025 - 11/2025	Bosonic Securities	Compliance consultant	Y	San Rafeal, CA, United States
12/2021 - 01/2025	LEVEL FOUR ADVISORY SERVICES	Mass Transfer	Y	DALLAS, TX, United States
02/2018 - 01/2025	Level Four Financial, LLC	Chief Compliance Officer	Y	Dallas, TX, United States
05/2021 - 01/2023	FTX Capital	Options Principal for CMA	Y	Los Angeles, CA, United States
11/2019 - 01/2023	Cherry Trading LLC	Registered Principal	Y	Los Angeles, CA, United States
06/2020 - 10/2022	Palm Tree	Chief Compliance Officer	Y	Los Angeles, CA, United States
04/2020 - 09/2022	Securrency Securities, Inc.	Operations Professional	Y	New York, NY, United States
01/2020 - 08/2022	GreenTiger Securities LLC	Registered Principal	Y	San Francisco, CA, United States
05/2021 - 11/2021	My Wall Street	Compliance Officer RIA	Y	Los Angeles, CA, United States
06/2020 - 11/2021	Peter Elish Investments Securities	Registered Principal	Y	Plano, TX, United States
05/2020 - 05/2021	BW Network Securities LLC	Registered Principal	Y	New York, NY, United States
09/2020 - 03/2021	Benchmark	NRF	Y	New York, NY, United States
12/2014 - 02/2021	NMS CAPITAL ADVISORS, LLC DBA HB SECURITIES LLC	NRF	Y	BEVERLY HILLS, CA, United States
03/2020 - 06/2020	AngelList Securities, LLC	Registered Principal	Y	Brooklyn, NY, United States
05/2018 - 04/2020	IFP Securities LLC	Registered Principal	Y	Tampa, FL, United States
12/2014 - 05/2018	NMS CAPITAL ASSET MANAGEMENT, INC	CHIEF COMPLIANCE OFFICER	Y	BEVERLY HILLS, CA, United States
01/2018 - 03/2018	Third Party Trade LLC	Registered Options Principal	Y	Portland, OR, 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.

SEE EMPLOYMENT HISTORY FOR DETAIL OF FIRMS UNDER CONSULTING FIRMS
COMPLIERS CONSULTING SERVICES aka CCS, NON-INVESTMENT RELATED, 4987 FIREBIRD CT, JURUPA VALLEY, CA 92509, COMPLIANCE CONSULTING, MANAGING PARTNER, 26% OWNERSHIP, START DATE MAY 2021, 10 HOURS PER MONTH, 0 DURING TRADING, INVESTMENTS COMPLIANCE CONSULTING SERVICES

STACEY LYNN LAVENDER-MAYES INC aka SLLM INC, dba RRMP. NON-INVESTMENT RELATED, 4987 FIREBIRD CT JURUPA VALLEY CA 92509, INDEPENDENT COMPLIANCE CONSULTANT, REGULATOR AND COMPLIANCE CONSULTING, START 05/2017, 5-10 HOURS PER MONTH, 0 DURING TRADING HOURS, CONSULT ON REGULATORY & COMPLIANCE ISSUES COMPLIANCE CONSULTING SERVICES

FINRA Dispute Resolution Services, Arbitrator, Start Date: 7/2016, 4987 Firebird Ct. Jurupa Valley, CA 92509, Securities Industry Arbitration / Dispute Resolution, Serve as an arbitrator on securities dispute resolution panels administered by FINRA Dispute Resolution Services. Responsibilities include reviewing case materials, participating in pre-hearing conferences and arbitration hearings, deliberating with panel members, and issuing arbitration awards in disputes involving investors, broker-dealers, and associated persons. Activity is limited to service as an independent arbitrator for FINRA dispute resolution proceedings. The activity does not involve securities sales, advisory services, or solicitation of firm clients., 0 hours at present, 0 during trading (Occasional / As Assigned (generally outside normal business hours). Not Investment Related

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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	MAGISTRATE COURT; CHATHAM COUNTY, GA; CASE #N97G509 AND #N97B393
Charge Date:	01/13/1998
Charge Details:	2 COUNTS OF WORTHLESS CHECKS MISDEMEANOR GUILTY
Felony?	No
Current Status:	Final
Status Date:	06/01/1999
Disposition Details:	A. DISMISSED B. 6/1/99 C. FINED E. 1/13/98 F. $795.55 G. 6/1/99
Broker Statement	UPON MOVING FROM EUROPE AND DUTY STATION IN GEORGIA, MY ACCOUNTS WERE TRANSFERRED TO A NEW BANK. THE NOTICE I RECEIVED WAS ACTED UPON PROMPTLY AND I WENT INTO THE COURTHOUSE TO HAVE THE CASE TAKEN CARE OF. SINCE I DID NOT HAVE THE MONEY TO PAY THE FINES UPFRONT AND DID NOT HAVE A RECORD OF THE CASE, I DECIDED TO PLEAD GUILTY AND PAY THE FINES OVER A PAYMENT PERIOD. THIS IS THE ONLY REASON THAT THEY HAVE A RECORD OF THE EVENT.

End of Report

This page is intentionally left blank.

