



IAPD Report

PHILIPPUS THEUNIS VAN STADEN

CRD# 4489166

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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

PHILIPPUS THEUNIS VAN STADEN (CRD# 4489166)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GREEN VISTA CAPITAL, LLC	CRD# 293630	07/18/2018
IA	GREEN VISTA ASSET MANAGEMENT LLC	CRD# 296855	08/21/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **43** 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	THE STRATEGIC FINANCIAL ALLIANCE	126514	Winter Park, FL	09/23/2014 - 07/11/2018
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	126514	Winter Park, FL	08/12/2014 - 07/11/2018
IA	G. A. REPPLE & COMPANY	17486	CASSELBERRY, FL	07/20/2006 - 08/05/2014

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	18



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

Employment 1 of 2

Firm Name: **GREEN VISTA ASSET MANAGEMENT LLC**
Main Address: 222 N. PARK AVENUE
WINTER PARK, FL 32789
Firm ID#: 296855

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	09/11/2023
IA Florida	Investment Adviser Representative	Approved	08/21/2018
IA Louisiana	Investment Adviser Representative	Approved	06/12/2023
IA Pennsylvania	Investment Adviser Representative	Approved	04/22/2019
IA Texas	Investment Adviser Representative	Restricted Approval	04/19/2021

Branch Office Locations

GREEN VISTA ASSET MANAGEMENT LLC
222 N. PARK AVENUE
WINTER PARK, FL 32789

Employment 2 of 2

Firm Name: **GREEN VISTA CAPITAL, LLC**
Main Address: 222 N. PARK AVENUE
WINTER PARK, FL 32789
Firm ID#: 293630

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	07/18/2018
B FINRA	General Securities Representative	Approved	07/18/2018



Qualifications

Regulator	Registration	Status	Date
B FINRA	Compliance Officer	Approved	10/01/2018
B Alabama	Agent	Approved	07/30/2018
B Alaska	Agent	Approved	07/24/2018
B Arizona	Agent	Approved	07/31/2018
B Arkansas	Agent	Approved	08/06/2018
B California	Agent	Approved	07/31/2018
B Colorado	Agent	Approved	08/02/2018
B Connecticut	Agent	Approved	09/13/2018
B Delaware	Agent	Approved	08/27/2018
B District of Columbia	Agent	Approved	07/30/2018
B Florida	Agent	Approved	07/26/2018
B Georgia	Agent	Approved	07/24/2018
B Idaho	Agent	Approved	12/03/2020
B Illinois	Agent	Approved	08/13/2018
B Indiana	Agent	Approved	08/09/2018
B Iowa	Agent	Approved	06/19/2020
B Kansas	Agent	Approved	09/07/2018
B Kentucky	Agent	Approved	07/19/2018
B Louisiana	Agent	Approved	07/31/2018



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	07/05/2023
B Maryland	Agent	Approved	08/16/2018
B Massachusetts	Agent	Approved	08/09/2018
B Michigan	Agent	Approved	08/01/2018
B Minnesota	Agent	Approved	08/22/2019
B Missouri	Agent	Approved	08/01/2018
B Nebraska	Agent	Approved	12/07/2020
B Nevada	Agent	Approved	09/21/2018
B New Hampshire	Agent	Approved	10/31/2018
B New Jersey	Agent	Approved	08/09/2018
B New Mexico	Agent	Approved	08/20/2018
B New York	Agent	Approved	07/31/2018
B North Carolina	Agent	Approved	07/31/2018
B North Dakota	Agent	Approved	07/26/2018
B Oklahoma	Agent	Approved	07/31/2018
B Oregon	Agent	Approved	07/31/2018
B Pennsylvania	Agent	Approved	07/27/2018
B South Carolina	Agent	Approved	07/30/2018
B South Dakota	Agent	Approved	08/03/2020



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	08/14/2018
B Texas	Agent	Approved	08/15/2018
B Vermont	Agent	Approved	08/08/2018
B Virginia	Agent	Approved	07/25/2018
B Washington	Agent	Approved	07/31/2018
B Wisconsin	Agent	Approved	07/27/2018

Branch Office Locations

222 N. PARK AVENUE
WINTER PARK, FL 32789



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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	Compliance Officer Examination (S14)	Series 14	01/02/2023
	General Securities Principal Examination (S24)	Series 24	12/15/2004

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	01/16/2003

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	02/14/2006

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	09/23/2014 - 07/11/2018	THE STRATEGIC FINANCIAL ALLIANCE	CRD# 126514	Winter Park, FL
B	08/12/2014 - 07/11/2018	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	Winter Park, FL
IA	07/20/2006 - 08/05/2014	G. A. REPPLE & COMPANY	CRD# 17486	CASSELBERRY, FL
B	01/17/2003 - 08/05/2014	G. A. REPPLE & COMPANY	CRD# 17486	CASSELBERRY, FL

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
08/2022 - Present	RIVIERA DEVELOPMENT FUND, LLC	MEMBER	Y	WINTER PARK, FL, United States
05/2022 - Present	QUATROTECH DEVELOPMENTS, LLC	LLC MEMBER	N	MINNEOLA, FL, United States
02/2022 - Present	FLORIDA-GEORGIA PROPERTY GROUP, LLC	LLC MEMBER	N	WINTER PARK, FL, United States
01/2022 - Present	VAN STADEN FAMILY, LLC	OWNER	Y	CLEARWATER, FL, United States
12/2021 - Present	RSA DEVELOPMENTS, LLC	LLC MEMBER	N	WINTER PARK, FL, United States
02/2021 - Present	OUR CHILLPILL LLC	MANAGING MEMBER	N	NEW SMYRNA BEACH, FL, United States
09/2020 - Present	TRUVISION DEVELOPMENT FUND, LLC	MANAGING MEMBER	Y	WINTER PARK, FL, United States
09/2020 - Present	VISION 63 LLC	MANAGING MEMBER	Y	WINTER PARK, FL, United States
06/2019 - Present	TNR FUND MANAGER, LLC	AUTHORIZED OWNER	Y	WINTER PARK, FL, United States
06/2019 - Present	TRUE NORTH DEVELOPMENT FUND, LLC	AUTHORIZED OWNER	Y	WINTER PARK, FL, United States
06/2019 - Present	TRUE NORTH DEVELOPMENT FUND, LLC	AUTHORIZED OWNER	Y	WINTER PARK, FL, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2018 - Present	MOMENTUM INDEMNITY, INC.	SHAREHOLDER AND SECRETARY	N	WILMINGTON, DE, United States
11/2018 - Present	NORTHSTAR VERO PROPERTIES LLC	MANAGING MEMBER	N	VERO BEACH, FL, United States
11/2018 - Present	PPMG ENTERPRISES LLC	MANAGING MEMBER	N	VERO BEACH, FL, United States
10/2018 - Present	SPECIALIZED ACCOUNTING PROFESSIONALS LLC	OWNER	N	VERO BEACH, FL, United States
07/2018 - Present	GREEN VISTA ASSET MANAGEMENT LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	WINTER PARK, FL, United States
06/2018 - Present	GREEN VISTA CAPITAL, LLC	CHIEF EXECUTIVE OFFICER AND CHIEF COMPLIANCE OFFICER	Y	WINTER PARK, FL, United States
06/2017 - Present	GROWTHPOINT ADVISORS, LLC	OWNER	N	WINTER PARK, FL, United States
08/2016 - Present	TRUE NORTH RESOURCES, LLC	PARTNER	Y	VERO BEACH, FL, United States
03/2015 - Present	FIXED INSURANCE	FIXED INSURANCE - AGENT	N	WINTER PARK, FL, United States
08/2014 - 07/2018	THE STRATEGIC FINANCIAL ALLIANCE, INC.	REG REP/REG INVESTMENT ADVISER REP	Y	ATLANTA, GA, 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) GROWTHPOINT ADVISORS, LLC - NON INVESTMENT RELATED - 222 N. PARK AVE, WINTER PARK, FL 32789 - DBA FOR MARKETING FINANCIAL SERVICES BUSINESS - OWNER - 06/2017 - 12 HOURS/MONTH (TRADING & NON-TRADING HOURS) - SALES & ADVISORY SERVICES.
- 2) FIXED INSURANCE - NON INVESTMENT RELATED - 222 N. PARK AVE, WINTER PARK, FL 32789 - FIXED INSURANCE - AGENT - 03/2015 - 10 HOURS/MONTH, 5 DURING TRADING - SELL FIXED INSURANCE PRODUCTS.
- 3) TRUE NORTH RESOURCES, LLC - INVESTMENT RELATED - 228 N. PARK AVENUE, SUITE K, VERO BEACH, FL 32960 - CONSULTING WITH COMPANIES TO BRING POTENTIAL PROGRAMS TO THE BROKER/DEALER - PARTNER - LLC ESTABLISHED 8.2016 - 4 HOURS/MONTH, DURING TRADING - CONSULTING.
- 4) GREEN VISTA ASSET MANAGEMENT, LLC - INVESTMENT RELATED, INVESTMENT ADVISORY FIRM - 222 N. PARK AVE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

WINTER PARK, FL 32789 - INVESTMENT ADVISER REPRESENTATIVE- 07/2018 - 60 HOURS/MONTH, 60 DURING TRADING - ADVISORY SERVICES.

5) SPECIALIZED ACCOUNTING PROFESSIONALS LLC- NON INVESTMENT RELATED, ACCOUNTING AND BOOKKEEPING SERVICES - LOCATED AT 2150 15TH AVENUE, VERO BEACH, FL 32960 - OWNER, GENERAL OVERSIGHT ONLY - 1 HOUR/MONTH - START - 10/01/2018.

6) NORTHSTAR VERO PROPERTIES LLC- NON INVESTMENT RELATED, PERSONAL REAL ESTATE HOLDING COMPANY - LOCATED AT 2150 15TH AVENUE, VERO BEACH, FL 32960 - MANAGING MEMBER - NO TIME DEVOTED - START 11/2018

7) PPMG ENTERPRISES LLC- NON INVESTMENT RELATED, PERSONAL REAL ESTATE HOLDING COMPANY - LOCATED AT 2150 15TH AVENUE, VERO BEACH, FL 32960 - MANAGING MEMBER - NO TIME DEVOTED - START 11/2018

8) TNR FUND MANAGER, LLC - INVESTMENT RELATED, 228 N. PARK AVENUE, SUITE K, WINTER PARK, FL 32789 - REAL ESTATE DEVELOPMENT - AUTHORIZED OWNER - 4 HOURS/MONTH - START 06/2019.

9) TRUE NORTH DEVELOPMENT FUND, LLC - INVESTMENT RELATED, 228 N. PARK AVENUE, SUITE K, WINTER PARK, FL 32789 - REAL ESTATE DEVELOPMENT - AUTHORIZED OWNER = 4 HOURS/MONTH - START 06/2019.

10) TRUVISION DEVELOPMENT FUND, LLC - INVESTMENT RELATED - INVESTMENT NOTE PROGRAM - LOCATED AT 228 N. PARK AVENUE, SUITE K, WINTER PARK, FL 32789 - MANAGING MEMBER - 5 HOURS/MONTH - START - 9/2020.

11) VISION 63 LLC - INVESTMENT RELATED - INVESTMENT PARTNER IN TRUVISION - LOCATED AT 228 N. PARK AVENUE, SUITE K, WINTER PARK, FL 32789 - MANAGING MEMBER - 5 HOURS/MONTH - START 09/2020.

12) OUR CHILLPILL LLC - NON INVESTMENT RELATED, PERSONAL REAL ESTATE - NEW SMYRNA BEACH, FLORIDA - MANAGING MEMBER - 1 HOUR/MONTH - START 02/2021

13) VAN STADEN FAMILY, LLC - FAMILY PLANNING - CLEARWATER, FLORIDA - HALF HOUR/MONTH - START 01/2022

14) MOMENTUM INDEMNITY, INC. - NON INVESTMENT RELATED - INSURANCE RELATED - SHAREHOLDER AND SECRETARY - 1925 LOVERING AVE, WILMINGTON, DELAWARE 19806 - ONE HOUR/MONTH - START 12/2018

15) FLORIDA-GEORGIA PROPERTY GROUP, LLC - NON INVESTMENT RELATED - CREATED TO PURCHASE AND DEVELOP LAND - LLC MEMBER - LOCATED AT 228 N. PARK AVE, SUITE K, WINTER PARK, FL 32789 - 0 HOURS DEDICATED PER MONTH - START 02/2022

16) RSA DEVELOPMENTS, LLC - NON INVESTMENT RELATED - CREATED TO PURCHASE AND DEVELOP LAND - LLC MEMBER- LOCATED AT 228 N. PARK AVE, SUITE K, WINTER PARK, FL 32789 - 0 HOURS/MONTH - START 12/2021

17) QUATROTECH DEVELOPMENTS, LLC - NON-INVESTMENT RELATED - CREATED TO PURCHASE AND DEVELOP LAND - LLC MEMBER - LOCATED AT 2016 LULA ROAD, MINNEOLA, FL 34715 - 1 HOUR/MONTH - START 05/2022

18) RIVIERA DEVELOPMENT FUND, LLC - INVESTMENT RELATED, 228 N. PARK AVENUE, SUITE K, WINTER PARK, FL 32789 - REAL ESTATE DEVELOPMENT - MEMBER - 1QUARTER - START 08/2022



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	18

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 18

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	GREEN VISTA CAPITAL, LLC
Allegations:	CLAIMANT ALLEGES VIOLATION OF SECTION 10(b) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULE 10B-5; FRAUDULENT MISREPRESENTATION / FRAUDULENT INDUCEMENT; PRIVATE SECURITIES TRANSACTIONS WITHOUT PROPER NOTICE/APPROVAL SUPERVISORY LIABILITY; CONTROL PERSON LIABILITY UNDER SECTION 20(A) OF THE SECURITIES EXCHANGE ACT OF 1934; FAILURE TO SUPERVISE UNDER FINRA RULE 3110; VIOLATION OF CALIFORNIA CORPORATIONS CODE § 25401; VIOLATION OF WYOMING STATUTES ANNOTATED § 17-4-501; UNJUST ENRICHMENT / DISGORGEMENT;
Product Type:	Other: ITC
Alleged Damages:	\$3,450,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-01908
Date Notice/Process Served:	09/17/2025
Arbitration Pending?	Yes



Disclosure 2 of 18

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: Claimant alleges reasonable basis unsuitability; breach of fiduciary duty; negligence/gross negligence/negligence per se; negligent misrepresentation; intentional misrepresentation/omission; aiding and abetting a fraud; negligent hiring, retention, supervision; breach of contract; equitable rescission, and declaration judgment.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimant request an award of compensatory damages in an amount no less than \$1 million, plus interests, adverse tax consequences, costs, benefit of the bargain damages, forum fees, rescission, and declaratory relief.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 25-00086

Date Notice/Process Served: 01/15/2025

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; EQUITABLE RESCISSION; DECLARATORY JUDGEMENT

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 25-00086

Date Notice/Process Served: 01/22/2025

Arbitration Pending? Yes

Disclosure 3 of 18



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC AND STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENCE; NEGLIGENT SUPERVISION; FRAUD; DECLARATORY JUDGMENT; VIOLATION OF SECTIONS 10(b) OF THE SECURITIES EXCHANGE ACT, AND RULE 10b-5 OF THE SECURITIES AND EXCHANGE COMMISSION.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$5,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01969

Date Notice/Process Served: 09/13/2024

Arbitration Pending? Yes

Disclosure 4 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANT ALLEGES REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$350,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01786

Date Notice/Process Served: 08/22/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/30/2026

Monetary Compensation Amount: \$115,000.00

Individual Contribution: \$0.00



Individual Contribution Amount: \$0.00

Disclosure 5 of 18

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENT SUPERVISION; MISREPRESENTATION; FRAUD

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01608

Date Notice/Process Served: 07/29/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/09/2026

Monetary Compensation Amount: \$135,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 18

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC and STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANT ALLEGES REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-01728



Date Notice/Process Served: 08/12/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 03/09/2026

Monetary Compensation Amount: \$275,000.00

Individual Contribution Amount: \$0.00

Broker Statement
Settlement amount was \$235,000. Payment of \$40,000 was made by the Firm in March 2026. If pending issues related to the deductions taken for conservation easement investments with the IRS are not resolved on or before August 21, 2026, for a better monetary outcome than the "docketed" settlement offer of a 1:1 deduction for principal invested, plus a 10% fine then Respondent shall also pay or cause to be paid to Claimant the remaining sum of \$235,000. If a better monetary outcome is achieved with the IRS on or before August 21, 2026, then the \$235,000 shall not become due and payable, and the Parties will renegotiate any additional settlement, if any, related to any remaining damages or agree to litigate over what is remaining if no settlement can be reached on the remaining damages, if any

Disclosure 7 of 18

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANT ALLEGES REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION; DECLARATORY JUDGEMENT.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$5,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00951

Date Notice/Process Served: 05/02/2024

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC and STRATEGIC FINANCIAL ALLIANCE, INC.



Allegations: CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENT SUPERVISION; FRAUD; DECLARATORY JUDGEMENT; VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; VIOLATION OF SECTIONS 10(b) OF THE SECURITIES EXCHANGE ACT, AND RULE 10b-5 OF THE SECURITIES AND EXCHANGE COMMISSION.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$5,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00951

Date Notice/Process Served: 05/07/2024

Arbitration Pending? Yes

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANTS ALLEDGE BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENT SUPERVISION; FRAUD; DECLARATORY JUDGEMENT; VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; VIOLATION OF SECTIONS 10(b) OF THE SECURITIES EXCHANGE ACT, AND RULE 10b-5 OF THE SECURITIES AND EXCHANGE COMMISSION.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$1,000,000.00

Alleged Damages Amount Explanation (if amount not exact): Claimants allege damages to be between \$500,000 and \$1,000,000.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00950

Date Notice/Process Served: 05/02/2024

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC and STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENT SUPERVISION; FRAUD; DECLARATORY JUDGEMENT;



VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; VIOLATION OF SECTIONS 10(b) OF THE SECURITIES EXCHANGE ACT, AND RULE 10b-5 OF THE SECURITIES AND EXCHANGE COMMISSION.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS
Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00950

Date Notice/Process Served: 05/07/2024

Arbitration Pending? Yes

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY; NEGLIGENCE; NEGLIGENT SUPERVISION; FRAUD; DECLARATORY JUDGEMENT; VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; VIOLATION OF THE OREGON SECURITIES LAW; VIOLATION OF SECTIONS 10(b) OF THE SECURITIES EXCHANGE ACT, AND RULE 10b-5 OF THE SECURITIES AND EXCHANGE COMMISSION.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS
Alleged Damages: \$5,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00682

Date Notice/Process Served: 04/02/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/09/2026

Monetary Compensation Amount: \$250,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE VIOLATIONS OF FEDERAL SECURITIES LAWS; VIOLATIONS OF THE NEW JERSEY UNIFORM SECURITIES LAW; BREACH OF CONTRACT; COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; NEGLIGENCE AND GROSS NEGLIGENCE.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$235,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00731

Date Notice/Process Served: 04/04/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 08/15/2025

Monetary Compensation Amount: \$135,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANTS ALLEGE VIOLATION OF COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; NEGLIGENT FAILURE TO SUPERVISE; NEGLIGENCE; BREACH OF CONTRACT; CONSPIRACY.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$2,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00753

Date Notice/Process Served: 04/16/2024

Arbitration Pending? Yes

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE VIOLATION OF COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; NEGLIGENT FAILURE TO SUPERVISE; NEGLIGENCE; BREACH OF CONTRACT; CONSPIRACY.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$2,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00753

Date Notice/Process Served: 04/10/2024

Arbitration Pending? Yes

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANT ALLEGES REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION; DECLARATORY JUDGEMENT.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00587

Date Notice/Process Served: 03/18/2024

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANT ALLEGES REASONABLE BASIS UNSUITABILITY; BREACH OF



FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION; DECLARATORY JUDGEMENT.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00587

Date Notice/Process Served: 03/19/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/23/2026

Monetary Compensation Amount: \$78,000.00

Individual Contribution Amount: \$0.00

Disclosure 13 of 18

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE UNSUITABILITY, REASONABLE BASIS UNSUITABILITY AND VIOLATION OF BEST INTEREST; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; EQUITABLE RESCISSION; DECLARATORY JUDGEMENT.

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS AND NOTES

Alleged Damages: \$650,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 24-00055

Date Notice/Process Served: 01/08/2024

Arbitration Pending? No

Disposition: Settled



Disposition Date: 08/06/2025
Monetary Compensation Amount: \$195,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC
Allegations: CLAIMANTS ALLEGE BREACH OF FIDUCIARY DUTY; VIOLATION OF FINRA RULES , BREACH OF CONTRACT AND NEGLIGENCE; AND NEGLIGENT SUPERVISION.
Product Type: Other: PROVATE PLACEMENT
Alleged Damages: \$1,000,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 2303155
Date Notice/Process Served: 10/27/2023
Arbitration Pending? No
Disposition: Settled
Disposition Date: 12/24/2024
Monetary Compensation Amount: \$137,500.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC
Allegations: CLAIMANTS ALLEGE REASONABLE BASIS UNSUITABILITY; BREACH OF FIDUCIARY DUTY; NEGLIGENCE/GROSS NEGLIGENCE/NEGLIGENCE PER SE; NEGLIGENT MISREPRESENTATION; INTENTIONAL MISREPRESENTATION/OMISSION; AIDING AND ABETTING A FRAUD; NEGLIGENT HIRING, RETENTION, SUPERVISION; BREACH OF CONTRACT; VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; AIDING AND ABETTING VIOLATION OF THE FLORIDA SECURITIES AND INVESTOR PROTECTION ACT; EQUITABLE RESCISSION
Product Type: Other: CONSERVATION EASEMENT INVESTMENTS
Alleged Damages: \$700,000.00

**Arbitration Information**

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 23-00936

Date Notice/Process Served: 05/02/2023

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/05/2024

Monetary Compensation Amount: \$175,000.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC

Allegations: CLAIMANTS ALLEGE UNSUITABLE RECOMMENDATION, BREACH OF FIDUCIARY DUTIES, GROSS NEGLIGENCE AND NEGLIGENT HIRING, RETENTION AND SUPERVISION OF OUTSIDE BUSINESS ACTIVITIES.

Product Type: Other: PRIVATE PLACEMENT

Alleged Damages: \$700,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 22-01445

Date Notice/Process Served: 08/24/2022

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/14/2024

Monetary Compensation Amount: \$212,500.00

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: GREEN VISTA CAPITAL, LLC



Allegations: CLAIMANTS ALLEGE THAT RESPONDENTS DID NOT CONDUCT A REASONABLE DUE DILIGENCE ON CONSERVATION EASEMENT INVESTMENTS MADE ON JANUARY 3, 2019 AND NOVEMBER 15, 2019, THAT THE INVESTMENTS WERE MISREPRESENTED TO THEM AND THAT INVESTMENTS WERE UNSUITABLE BECAUSE THEY WERE MISREPRESENTED TO THEM. AND CLAIMANTS DID NOT UNDERSTAND THE INVESTMENTS..

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$105,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 21-01151

Date Notice/Process Served: 05/04/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/21/2022

Monetary Compensation Amount: \$150,000.00

Individual Contribution Amount: \$0.00

Broker Statement Green Vista Capital LLC settled with clients to limit legal fees that would be incurred in the matter. To date, Claimants have suffered no loss or damages related to the investments at issue in the Statement of Claim.

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: VIOLATIONS OF FEDERAL SECURITIES LAW; VIOLATIONS OF VIRGINIA SECURITIES LAW; BREACH OF CONTRACT; COMMON LAW FRAUD; BREACH OF FIDUCIARY DUTY; NEGLIGENCE AND GROSS NEGLIGENCE.

Product Type: Other: PRIVATE DIRECT PARTICIPATION PROGRAM

Alleged Damages: \$126,656.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 21-01141

Date Notice/Process Served: 05/03/2021

Arbitration Pending? No

Disposition: Settled



Disposition Date: 10/06/2022
Monetary Compensation Amount: \$90,000.00
Individual Contribution Amount: \$15,000.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: THE STRATEGIC FINANCIAL ALLIANCE, INC.

Allegations: CLAIMANTS ALLEGE THAT RESPONDENTS DID NOT CONDUCT A REASONABLE DUE DILIGENCE ON CONSERVATION EASEMENT INVESTMENTS MADE ON DECEMBER 22, 2015, DECEMBER 3, 2016 AND NOVEMBER 24, 2017, THAT THE INVESTMENTS WERE MISREPRESENTED TO THEM AND THAT INVESTMENTS WERE UNSUITABLE BECAUSE THEY WERE MISREPRESENTED TO THEM.AND CLAIMANTS DID NOT UNDERSTAND THE INVESTMENTS..

Product Type: Other: CONSERVATION EASEMENT INVESTMENTS

Alleged Damages: \$126,656.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 21-01141

Date Notice/Process Served: 05/03/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/06/2022

Monetary Compensation Amount: \$90,000.00

Individual Contribution Amount: \$0.00

Broker Statement TO DATE, CLAIMANTS HAVE SUFFERED NO LOSS OR DAMAGES RELATED TO THE INVESTMENTS AT ISSUE IN THE STATEMENT OF CLAIM.



End of Report

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