



## IAPD Report

### BRENT ALLEN GORTER

CRD# 4544306

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### BRENT ALLEN GORTER (CRD# 4544306)

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 **10/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	SILVER OAK SECURITIES, INCORPORATED	CRD# 46947	02/29/2008
<b>IA</b>	SILVER OAK SECURITIES, INC.	CRD# 46947	04/14/2011
<b>IA</b>	MAGNATE ADVISORY SERVICES, LLC	CRD# 283056	07/14/2016

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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>IA</b>	CUTTINGEDGE ADVISORS	146371	EUREKA, MO	01/19/2010 - 04/14/2011
<b>IA</b>	CUTTINGEDGE ADVISORS	146371	FISHERVILLE, KY	03/03/2008 - 12/31/2009
<b>IA</b>	QUESTAR ASSET MANAGEMENT, INC.	133358	LOUISVILLE, KY	01/31/2008 - 02/26/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

### DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



## 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 12 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **SILVER OAK SECURITIES, INC.**

Main Address: 403 N. PARKWAY  
STE. 101  
JACKSON, TN 38305

Firm ID#: 46947

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	02/29/2008
B Alabama	Agent	Approved	01/12/2015
B California	Agent	Approved	11/19/2021
B Florida	Agent	Approved	07/28/2015
B Illinois	Agent	Approved	07/01/2022
B Indiana	Agent	Approved	03/03/2008
B Kansas	Agent	Approved	07/06/2017
B Kentucky	Agent	Approved	02/29/2008
IA Kentucky	Investment Adviser Representative	Approved	04/14/2011
B North Carolina	Agent	Approved	08/11/2025
B Ohio	Agent	Approved	07/01/2022
B South Carolina	Agent	Approved	11/19/2021
B Tennessee	Agent	Approved	09/16/2015



## Qualifications

### Branch Office Locations

**SILVER OAK SECURITIES, INC.**  
400 Blankenbaker Parkway  
Suite 100  
Louisville, KY 40243

**SILVER OAK SECURITIES, INC.**  
201 East Stephen Foster Avenue  
Bardstown, KY 40004

### Employment 2 of 2

Firm Name: **MAGNATE ADVISORY SERVICES, LLC**

Main Address: 400 BLANKENBAKER PARKWAY  
SUITE 100  
LOUISVILLE, KY 40243

Firm ID#: 283056

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	07/18/2016
IA Kentucky	Investment Adviser Representative	Approved	07/14/2016
IA Tennessee	Investment Adviser Representative	Approved	07/27/2016
IA Texas	Investment Adviser Representative	Restricted Approval	08/19/2022

### Branch Office Locations

**MAGNATE ADVISORY SERVICES, LLC**  
400 BLANKENBAKER PARKWAY  
SUITE 100  
LOUISVILLE, KY 40243



## Qualifications

### PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

**This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/11/2002

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	12/24/2007
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/2004

### 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	01/19/2010 - 04/14/2011	CUTTINGEDGE ADVISORS	CRD# 146371	EUREKA, MO
IA	03/03/2008 - 12/31/2009	CUTTINGEDGE ADVISORS	CRD# 146371	FISHERVILLE, KY
IA	01/31/2008 - 02/26/2008	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	LOUISVILLE, KY
B	08/09/2004 - 02/26/2008	QUESTAR CAPITAL CORPORATION	CRD# 43100	FISHERVILLE, KY
B	07/12/2002 - 08/03/2004	TOUCHSTONE SECURITIES, INC.	CRD# 1526	CINCINNATI, OH

### 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
02/2016 - Present	Magnate Wealth Management, LLC	Senior Partner/Member/Investment Advisor Representative	Y	Louisville, KY, United States
04/2011 - Present	Silver Oak Securities, Inc.	Registered Representative/Investment Advisor Representative	Y	JACKSON, TN, United States
07/2009 - Present	Capital Wealth Management, LLC	Chief Executive Officer/Member/Agent	N	Louisville, KY, 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. Magnate Wealth Management, LLC, start date 02/01/2016, Louisville, Ky, DBA for Magnate Advisory Services, LLC. and Silver Oak Securities, Inc. Also, a licensed insurance agency selling Non-Variable Insurance (Fixed Annuities, Equity Indexed Annuities, Life Insurance, Long term care and disability income), Senior Partner, 40 hours spent a month and during trading hours, investment related.
2. Mike Brooks & Associates, is investment related, DBA for Magnate Advisory Services, LLC. and Silver Oak Securities, Inc. Investment Management / Financial Planning, Financial Advisor, start date 10/14/2022, 40 hours per month, 40 hours per month



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

during trading hours. Financial Planning / Investment Management.

3. Capital Wealth Management, LLC. 436 South 7th Street, Ste. 200 Louisville, Ky 40203, DBA for Magnate Advisory Services, LLC. and Silver Oak Securities, Inc. Also, a licensed insurance agency selling Non-Variable Insurance (Fixed Annuities, Equity Indexed Annuities, Life Insurance, Long term care and disability income), Managing Member, 40 hours spent a month and during trading hours, investment related.
4. Capital Wealth Agency, LLC, 436 South 7th Street, Ste. 200 Louisville, Ky 40203. Entity for business expenses and contract management, 1 hour per month after trading hours, not investment related.
5. Registered Representative, Silver Oak Securities, Inc., 436 South 7th Street, Ste. 200 Louisville, KY 40203, investment related, start date of 02/29/2008, approximate number of hours per month 80 plus including during market hours, duties include acting as a registered representative, selling and servicing approved securities products.
6. Investment Adviser Representative, Silver Oak Securities, Inc., 436 South 7th Street, Ste. 200 Louisville, KY 40203, investment related, start date of 04/14/2011, approximate number of hours per month 80 plus including during market hours, duties include acting as an investment adviser representative, providing investment advisory services.
7. The Albatross Group, LLC, start date Feb. 2013, 4025 Elmwood Avenue, Louisville, KY 40207, Not Investment Related. Real Estate - Commercial Property rental property, Title: Member, Duties: Bookkeeping and Real Estate; 2 hours spent per month, and 1 hour during trading hours. Compensated by profits.
8. Kentucky Equity LLC, start date February 2015, 4025 Elmwood Avenue, Louisville, Ky 40207, Not Investment related. Real Estate Sales, commercial property and rental property. Title; Member, Duties: Bookkeeping and Real Estate, 2 hours per month and 1 hour per month during trading hours. Compensated by profits.
9. Gorter Developers, LLC., started in 2001. 308 Buckland Trace Louisville, Ky 40245. Construction Property / Management. 1 hour per month. No hours spent during trading hours. Not investment related. Co-owner duties include maintaining books and records for the company.
10. Professional Office Suites, started in 2009. 436 7th Street Louisville, Ky 40203. Owner, rental real estate management. 1 hour per month. No hours spent during trading hours. Not investment related. Compensated by profits.
11. Sagamore Holdings LLC, 4023 Elmwood, Louisville, KY 40207, Real Estate Holding Company, Partner, start date of 12/1/2020, 1 hours per month, 0 hours during trading hours, not investment related.
12. Turn Key Title & Escrow LLC, 6800 Brownsboro Parkway, Ste. A, Louisville, KY 40207, Title Insurance, start date of 2/1/2020, 5 hours per month, 0 hours during trading hours, Owner/Manager, oversee the books and management.
13. LMHA, LLC, 4025 Elmwood Ave, Louisville KY, 40207, Real Estate Holdings, Owner, start date 10/08/2018, 3 Hours per month, 0 hours during trading hours. Not investment related.
14. Always,Is Not Investment Related,"4025 Elmwood Ave, , Louisville, KY, 40207, United States",Real Estate,Partner,7/31/2025,3 hours per month,0 hours per month during trading hours,No Compensation Compensation,Investor in Real Estate



## Disclosure Summary

### Disclosure Information

#### What you should know about reported disclosure events:

##### (1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

##### (2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

##### (3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

##### (4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



## DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

### 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:	QUESTAR CAPITAL CORPORATION
Allegations:	CLIENT ALLEGES INSUFFICIENT EXPLANATION OF PRODUCT BEING SOLD.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$14,200.00

### Customer Complaint Information

Date Complaint Received: 08/28/2006

Complaint Pending? No

Status: Denied

Status Date: 12/18/2006

Settlement Amount:

Individual Contribution Amount:

Broker Statement DAMAGES ARE APPROXIMATELY \$14,200.00



## End of Report

This page is intentionally left blank.