



## IAPD Report

# Robert Lloyd Annable

CRD# 4657825

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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

### Robert Lloyd Annable (CRD# 4657825)

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 **03/05/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	REALTA EQUITIES, INC.	CRD# 23769	07/16/2021
<b>IA</b>	TRANSC3ND LLC	CRD# 317745	07/26/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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>	COASTAL INVESTMENT ADVISORS	134952	SCOTTSDALE, AZ	07/19/2021 - 12/20/2023
<b>IA</b>	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ	08/05/2021 - 11/01/2023
<b>IA</b>	WEALTH STRATEGIES ADVISORY GROUP	308173	SCOTTSDALE, AZ	08/05/2021 - 12/31/2021

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

### Employment 1 of 2

Firm Name: **REALTA EQUITIES, INC.**  
Main Address: 1201 N. ORANGE STREET  
SUITE 729  
WILMINGTON, DE 19801  
Firm ID#: 23769

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Principal	Approved	07/16/2021
<b>B</b>	FINRA	General Securities Representative	Approved	07/16/2021
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	07/16/2021
<b>B</b>	Alabama	Agent	Approved	10/30/2025
<b>B</b>	Alaska	Agent	Approved	10/28/2025
<b>B</b>	Arizona	Agent	Approved	07/16/2021
<b>B</b>	Arkansas	Agent	Approved	07/16/2021
<b>B</b>	California	Agent	Approved	07/16/2021
<b>B</b>	Colorado	Agent	Approved	07/16/2021
<b>B</b>	Florida	Agent	Approved	07/16/2021
<b>B</b>	Georgia	Agent	Approved	10/16/2025
<b>B</b>	Hawaii	Agent	Approved	08/09/2024
<b>B</b>	Idaho	Agent	Approved	07/16/2021



### Qualifications

Regulator	Registration	Status	Date
B Illinois	Agent	Approved	07/16/2021
B Indiana	Agent	Approved	12/24/2025
B Iowa	Agent	Approved	11/04/2021
B Kansas	Agent	Approved	07/16/2021
B Kentucky	Agent	Approved	09/28/2022
B Louisiana	Agent	Approved	06/13/2024
B Massachusetts	Agent	Approved	09/27/2023
B Michigan	Agent	Approved	12/14/2022
B Minnesota	Agent	Approved	04/08/2024
B Missouri	Agent	Approved	07/16/2021
B Montana	Agent	Approved	07/16/2021
B Nevada	Agent	Approved	07/16/2021
B New Hampshire	Agent	Approved	11/04/2025
B New Jersey	Agent	Approved	07/20/2021
B New Mexico	Agent	Approved	07/18/2025
B New York	Agent	Approved	02/04/2022
B North Carolina	Agent	Approved	07/16/2021
B North Dakota	Agent	Approved	07/16/2021
B Ohio	Agent	Approved	08/12/2021



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Oklahoma	Agent	Approved	06/12/2025
<b>B</b> Oregon	Agent	Approved	05/02/2024
<b>B</b> Pennsylvania	Agent	Approved	07/16/2021
<b>B</b> South Dakota	Agent	Approved	07/20/2021
<b>B</b> Tennessee	Agent	Approved	07/16/2021
<b>B</b> Texas	Agent	Approved	07/16/2021
<b>B</b> Utah	Agent	Approved	07/20/2021
<b>B</b> Virginia	Agent	Approved	04/30/2024
<b>B</b> Washington	Agent	Approved	07/16/2021
<b>B</b> Wisconsin	Agent	Approved	07/16/2021
<b>B</b> Wyoming	Agent	Approved	07/16/2021

### Branch Office Locations

**COASTAL EQUITIES, INC.**  
 16220 N SCOTTSDALE ROAD  
 SUITE 440  
 SCOTTSDALE, AZ 85254

### Employment 2 of 2

Firm Name: **TRANSCE3ND LLC**  
 Main Address: 835 MAIN STREET  
 BUILDING 200  
 BUDA, TX 78610  
 Firm ID#: 317745

Regulator	Registration	Status	Date
<b>IA</b> Arizona	Investment Adviser Representative	Approved	08/11/2023



## Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	07/26/2023
IA Florida	Investment Adviser Representative	Approved	09/27/2023
IA Missouri	Investment Adviser Representative	Approved	07/27/2023
IA North Dakota	Investment Adviser Representative	Approved	08/14/2023
IA Texas	Investment Adviser Representative	Restricted Approval	07/27/2023

### Branch Office Locations

**TRANSCE3ND LLC**  
16220 N Scottsdale Road, Suite 440  
Scottsdale, AZ 85254




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



#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/24/2013

#### General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	11/27/2010
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/16/2003

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/01/2015
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/06/2010

### 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	07/19/2021 - 12/20/2023	COASTAL INVESTMENT ADVISORS	CRD# 134952	SCOTTSDALE, AZ
IA	08/05/2021 - 11/01/2023	WEALTH STRATEGIES ADVISORY GROUP	CRD# 308173	SCOTTSDALE, AZ
IA	08/05/2021 - 12/31/2021	WEALTH STRATEGIES ADVISORY GROUP	CRD# 308173	SCOTTSDALE, AZ
IA	03/03/2021 - 07/21/2021	ARETE WEALTH ADVISORS, LLC	CRD# 145488	Scottsdale, AZ
B	03/03/2021 - 07/21/2021	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	CHICAGO, IL
IA	05/14/2020 - 07/21/2021	CENTER STREET ADVISORS, INC.	CRD# 169329	Scottsdale, AZ
B	04/22/2020 - 07/21/2021	CENTER STREET SECURITIES, INC.	CRD# 26898	SCOTTSDALE, AZ
IA	07/12/2017 - 04/22/2020	KALOS MANAGEMENT	CRD# 133025	Scottsdale, AZ
B	07/10/2017 - 04/22/2020	KALOS CAPITAL, INC.	CRD# 44337	Scottsdale, AZ
IA	08/20/2015 - 07/10/2017	CENTER STREET ADVISORS, INC.	CRD# 169329	SCOTTSDALE, AZ
B	08/14/2015 - 07/10/2017	CENTER STREET SECURITIES, INC.	CRD# 26898	SCOTTSDALE, AZ
IA	05/28/2015 - 08/24/2015	NEWBRIDGE FINANCIAL SERVICES GROUP, INC.	CRD# 130814	SCOTTSDALE, AZ
B	07/02/2014 - 08/24/2015	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	SCOTTSDALE, AZ
B	11/29/2010 - 06/27/2014	REALTY CAPITAL SECURITIES, LLC	CRD# 145454	SCOTTSDALE, AZ
B	03/01/2005 - 12/31/2006	COMMUNITY BANKERS SECURITIES, LLC	CRD# 42794	SCOTTSDALE, AZ



## 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	05/19/2003 - 05/27/2004	LIBERTY GROUP, LLC	CRD# 106036	OAKLAND, CA

### 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
12/2023 - Present	TRANSCE3ND, LLC	IAR	Y	KYLE, TX, United States
07/2021 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2021 - 12/2023	COASTAL INVESTMENT ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2021 - 12/2023	Wealth Strategies Advisory Group	Senior Partner / Private Wealth Advisor	Y	Scottsdale, AZ, United States
02/2021 - 07/2021	Arete Wealth Advisors	Investment Advisor	Y	Chicago, IL, United States
02/2021 - 07/2021	Arete Wealth Management	Registered Representative	Y	Chicago, IL, United States
04/2020 - 07/2021	CENTER STREET ADVISORS, INC.	INVESTMENT ADVISORY REPRESENTATIVE	Y	NASHVILLE, TN, United States
04/2020 - 07/2021	Center Street Securities, Inc	REGISTERED REPRESENTATIVE	Y	NASHVILLE, TN, United States
07/2017 - 04/2020	Kalos Capital	Registered Rep	Y	Alpharetta, GA, United States
07/2017 - 04/2020	Kalos Management	Investment Advisor	Y	Alpharetta, GA, United States
08/2015 - 07/2017	CENTER STREET ADVISORS, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	NASHVILLE, TN, United States
08/2015 - 07/2017	CENTER STREET SECURITIES, INC	REGISTERED REPRESENTATIVE	N	NASHVILLE, TN, 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.

(1) REALTA EQUITIES INC. INVESTMENT RELATED, 1201 N ORANGE ST WILMINGTON DE 19801, BROKER-DEALER, REGISTERED REPRESENTATIVE, START 07/16/2021, APPROX 80 HOURS/MONTH, PROVIDING BROKERAGE PRODUCTS AND SERVICE TO CUSTOMERS.

(2) INSURANCE AGENT; FIXED INSURANCE BUSINESS; LIFE AND ANNUITY; PROVIDE INSURANCE PRODUCT SOLUTIONS TO CLIENTS WHERE APPROPRIATE. INVESTMENT RELATED: 25 - 5 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(3) TRANSCE3ND, LLC; KYLE, TX; START: 12/2023; RIA ADVISORY BUSINESS; [HTTPS://TRANSCENDIM.COM](https://transcendim.com); INVESTMENT ADVISORY REPRESENTATIVE; FEE BASED COMPENSATION; 20 HOURS PER WEEK DURING NORMAL TRADING HOURS.

(4) ROBERT L ANNABLE II PLC; 16220 N SCOTTSDALE ROAD, STE 440 SCOTTSDALE, AZ 85254; START: 4/2025; PERSONAL S-CORP FOR MANAGING BUSINESS REVENUE AND EXPENSES; OWNER; 40+ HOURS PER WEEK DURING NORMAL TRADING HOURS.

(5) BREAKLINE WEALTH AND TAX, LLC: START: 2/2026; DBA; 16220 N. SCOTTSDALE ROAD, STE 440 SCOTTSDALE, AZ 85254; [WWW.BREAKLINEWEALTHANDTAX.COM](http://WWW.BREAKLINEWEALTHANDTAX.COM); OWNER AND WEALTH ADVISOR; COMMISSIONS; 5 HOURS PER MONTH DURING NORMAL TRADING HOURS.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	Realta Equities, Inc., Wealth Strategies Advisory Group, LLC, Transce3nd, LLC, and VFO Consulting Group, LLC
<b>Allegations:</b>	The claimants allege they were directly lied to and facts were misrepresented about investments.
<b>Product Type:</b>	Other: Alternative Investments
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Alleged Compensatory Damage is unspecified.

### Arbitration Information

<b>Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):</b>	FINRA
<b>Docket/Case #:</b>	25-02738
<b>Date Notice/Process Served:</b>	12/18/2025
<b>Arbitration Pending?</b>	Yes



## End of Report

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