



IAPD Report

JON PAUL CIRELLI

CRD# 4729737

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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

JON PAUL CIRELLI (CRD# 4729737)

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 **01/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALEXANDER CAPITAL, L.P.	CRD# 40077	07/07/2025
IA	ALEXANDER CAPITAL WEALTH MANAGEMENT LLC	CRD# 157714	07/25/2025

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **26** 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	GREAT POINT ADVISORS, LLC	307477	Miami, FL	04/02/2025 - 07/08/2025
B	GREAT POINT CAPITAL LLC	114203	Miami, FL	04/11/2023 - 07/08/2025
IA	COASTAL INVESTMENT ADVISORS	134952	MIAMI, FL	08/17/2022 - 04/18/2023

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	8



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 **26** jurisdiction(s) and 2 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **ALEXANDER CAPITAL, L.P.**
Main Address: 10 DRS JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 40077

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/07/2025
B FINRA	Government Securities Principal	Approved	07/07/2025
B Nasdaq Stock Market	General Securities Representative	Approved	07/07/2025
B Arizona	Agent	Approved	07/07/2025
B California	Agent	Approved	07/07/2025
B Connecticut	Agent	Approved	07/22/2025
B District of Columbia	Agent	Approved	07/30/2025
B Florida	Agent	Approved	07/29/2025
B Georgia	Agent	Approved	07/07/2025
B Idaho	Agent	Approved	07/10/2025
B Illinois	Agent	Approved	07/15/2025
B Kansas	Agent	Approved	07/07/2025
B Kentucky	Agent	Approved	07/07/2025



Qualifications

Regulator	Registration	Status	Date
B Louisiana	Agent	Approved	07/07/2025
B Minnesota	Agent	Approved	07/31/2025
B Nebraska	Agent	Approved	07/07/2025
B Nevada	Agent	Approved	07/07/2025
B New Hampshire	Agent	Approved	07/07/2025
B New Jersey	Agent	Approved	07/07/2025
B New York	Agent	Approved	07/07/2025
B North Carolina	Agent	Approved	08/04/2025
B Ohio	Agent	Approved	07/07/2025
B Oregon	Agent	Approved	07/07/2025
B Rhode Island	Agent	Approved	07/30/2025
B South Carolina	Agent	Approved	07/07/2025
B Texas	Agent	Approved	07/07/2025
B Utah	Agent	Approved	07/07/2025
B Virginia	Agent	Approved	08/11/2025
B Washington	Agent	Approved	07/07/2025

Branch Office Locations

ALEXANDER CAPITAL, L.P.
 900 North Olive Avenue
 West Palm Beach, FL 33401

ALEXANDER CAPITAL, L.P.
 900 N Olive Avenue
 Palm Beach, FL 33401

Employment 2 of 2



Qualifications

Firm Name: **ALEXANDER CAPITAL WEALTH MANAGEMENT LLC**
Main Address: 10 DRS. JAMES PARKER BLVD
SUITE 202
RED BANK, NJ 07701
Firm ID#: 157714

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	07/25/2025
IA	New Jersey	Investment Adviser Representative	Approved	07/30/2025

Branch Office Locations

ALEXANDER CAPITAL WEALTH MANAGEMENT LLC
900 North Olive Avenue
West Palm Beach, FL 33401



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
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No information reported.

General Industry/Product Exams


Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	11/20/2003
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State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/12/2018
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 Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/2003
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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	04/02/2025 - 07/08/2025	GREAT POINT ADVISORS, LLC	CRD# 307477	Miami, FL
B	04/11/2023 - 07/08/2025	GREAT POINT CAPITAL LLC	CRD# 114203	Miami, FL
IA	08/17/2022 - 04/18/2023	COASTAL INVESTMENT ADVISORS	CRD# 134952	MIAMI, FL
B	04/13/2022 - 04/18/2023	COASTAL EQUITIES, INC.	CRD# 23769	MIAMI, FL
IA	01/03/2019 - 04/13/2022	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	Jupiter, FL
B	06/02/2015 - 04/13/2022	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	Jupiter, FL
B	03/04/2010 - 06/02/2015	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	PORT JEFFERSON, NY
B	11/21/2003 - 03/23/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	PORT JEFFERSON, 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
03/2025 - Present	Great Point Advisors, LLC	Investment Advisor Representative	Y	Chicago, IL, United States
04/2023 - Present	Great Point Capital, LLC	Registered Representative	Y	Chicago, IL, United States
04/2022 - 04/2023	COASTAL EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
04/2022 - 04/2023	COASTAL INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States
06/2015 - 04/2022	CONCORDE INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	TROY, MI, 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). Owner of JP Cirelli, Inc; 34 Dunbar Road Palm Beach Gardens, FL. 33418. This is where Jon Paul's commissions are deposited. Start date 1/1/2014. 0 hours per month during normal trading hours and 0 hours per month outside of normal trading hours. Not investment related.
- (2). Elite Access Opportunities, a real estate brokerage company; Sole Owner 34 Dunbar Road Palm Beach Gardens, FL. 33418 Start date 6/25/20. Duties include managing personal real estate. 0 hours per month during normal trading hours and 0 hours per month outside of normal trading hours. Not investment related.
- (3). Parsiani Real Estate, a real estate company; 34 Dunbar Road, Palm Beach Gardens, FL 33418 Date 8/6/2020. Owner, Were I receive real estate commissions, Duties include selling tangible real estate. 0 hours per month during normal trading hours and 5 hours per month outside of normal trading hours. Non-Investment related.
- (4). Pivot Professional Partners, DBA for registered rep Financial Advisor services; 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start date 3/2/2020. 140 per month during normal trading hours and 20 hours per month outside of normal trading hours. Investment related.
- (5). 718C LLC a Financial Services company; Sole Owner. 34 Dunbar Road, Palm Beach Gardens, FL 33418 Start date 7/12/2022. No duties are associated with this Sole owner. Payment Processing Co., 0 hours per month during normal trading hours and 0 hours per month outside of normal trading hours. Not investment related.
- (6). JP Perry Group LLC; 34 Dunbar Road, Palm Beach Gardens, FL. Sole owner. Ownership in CPA firm. Start date 02/23/2023. The duties will be closing prospective clients for Pivot Professional Partners. 5 hours per month during normal trading hours and 5 hours per month outside of normal trading hours. Investment related.
- (7). Sole Member/ Owner of RENEGADE 2.0 THE LEGACY, a Capital Markets Consulting company; 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start date Mar 29, 2025. Acting as a Business Consultant for private companies on capital raising initiatives; 20 hours per month during normal trading hours and 5 hours per month outside of normal trading hours. Investment related.
- (8). 830 Club Drive LLC, 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start date 02/30/2020. Owns Real Estate, non-investment related, sole owner, 0 hours devoted during market hours.
- (9). Coastal Way Financial Group, LLC 900 N. Olive Avenue, West Palm Beach, FL 33401. Start date 02/23/2023. Registered Investment Advisory Firm, 5% Owner, no duties. Investment Related.
- (10). JP Coastal Way, LLC 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start Date 02/23/2023 Holds ownership in Coastal Way Financial Group LLC. No duties, non-investment related.
- (11). HDEV 1 LLC 4600 Military Trail, Ste. 224 Jupiter, FL 33458. Start date 07/07/2021. Holds capital contribution in student housing. No duties. No hours. Not investment related
- (12). JPPP First LLC. 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start date 02/23/2023 non-investment related. Sole owner. Represents ownership in Sports Agency.) 0 hours devoted during market hours. No duties.
- (13). LIOOOONCITO LLC 34 Dunbar Road, Palm Beach Gardens, FL 33418 Start date 05/29/2024. Sole Owner holds privately held stock. Non-investment related. No duties
- (14). Second Hill Holdings. 34 Dunbar Road, Palm Beach Gardens, FL 33418. Start date 11/23/2021. Sole Owner, holding company. No duties Non-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
Customer Dispute	8

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 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	REALTA EQUITIES, INC.
Allegations:	Claimants allege breach of its duties and obligations to claimants with recommendation to invest in real estate based Regulation D private placement.
Product Type:	Other: Reg-D Private Placement
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified damages
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	25-02714
Filing date of arbitration/CFTC reparation or civil litigation:	12/09/2025

Customer Complaint Information



Date Complaint Received: 12/10/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Realta Equities, Inc.

Allegations: Claimants allege breach of fiduciary duty, unsuitability, reasonable basis for recommendation. In or around 2022.

Product Type: Other: Reg-D Private Placement

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Unspecified damages

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-02714

Filing date of arbitration/CFTC reparation or civil litigation: 12/09/2025

Customer Complaint Information

Date Complaint Received: 12/24/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CONCORDE INVESTMENT SERVICES, LLC

Allegations: Client is alleging there was failure to conduct reasonable due diligence, breach of fiduciary duty, failure to disclose material facts, failure to supervise, and unsuitability of investment that occurred in 2016.

Product Type: Direct Investment-DPP & LP Interests



Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-02572

Filing date of arbitration/CFTC reparation or civil litigation: 11/20/2025

Customer Complaint Information

Date Complaint Received: 11/21/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Claimant alleges failure to conduct reasonable due diligence, breach of fiduciary duty, and failure to disclose material facts, failure to supervise, and unsuitability of investment that occurred in 2016.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$100,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 25-02572

Filing date of arbitration/CFTC reparation or civil litigation: 11/20/2025

Customer Complaint Information

Date Complaint Received: 12/17/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution



Amount:

Disclosure 3 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CONCORDE INVESTMENT SERVICES, LLC

Allegations: Client expressed concerns about recommendation and investment made in July 2021.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): damages unspecified

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 01/09/2023

Complaint Pending? No

Status: Closed/No Action

Status Date: 05/09/2023

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CONCORDE INVESTMENT SERVICES, LLC

Allegations: Client expressed concerns about recommendation and investment made in July 2021.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 05/10/2023



Complaint Pending? No

Status: Closed/No Action

Status Date: 05/09/2023

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: The Claim alleges negligence, breach of fiduciary duty, and unsuitable recommendations, relating to various investments made from July of 2015 to April of 2017.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$2,500,000.00

Arbitration Information

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

Docket/Case #: 21-00631

Date Notice/Process Served: 03/09/2021

Arbitration Pending? No

Disposition: Settled

Disposition Date: 04/01/2022

Monetary Compensation Amount: \$725,000.00

Individual Contribution Amount: \$0.00

Disclosure 5 of 8

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CONCORDE INVESTMENT SERVICES, LLC

Allegations: Representative is subject of claim alleging negligence, breach of fiduciary duty, breach of contract, and Violations of Uniform Securities Act of Michigan relating to limited partnership investments made in March and December of 2016.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): Damages unspecified but believed to exceed \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-00605

Filing date of arbitration/CFTC reparation or civil litigation: 03/04/2021

Customer Complaint Information

Date Complaint Received: 03/05/2021

Complaint Pending? No

Status: Settled

Status Date: 11/11/2022

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Representative is subject of claim alleging negligence, breach of fiduciary duty, breach of contract, and Violations of Uniform Securities Act of Michigan relating to limited partnership investments made in March and December of 2016.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Damages unspecified but believed to exceed \$5,000.00.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 21-00605



Filing date of arbitration/CFTC reparation or civil litigation: 03/04/2021

Customer Complaint Information

Date Complaint Received: 03/05/2021

Complaint Pending? No

Status: Settled

Status Date: 11/11/2022

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Disclosure 6 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC

Allegations: Client is alleging suitability relating to various investments made in September 2018.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Damages unspecified but believed to exceed \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 11/20/2020

Complaint Pending? No

Status: Closed/No Action

Status Date: 04/30/2021

Settlement Amount:

Individual Contribution Amount:

Disclosure 7 of 8

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Concorde Investment Services, LLC



Allegations:	Client is alleging misrepresentation, relating to private placement investment made in August of 2016.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Damages unspecified but believed to exceed \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/28/2020
Complaint Pending?	No
Status:	Settled
Status Date:	11/20/2020
Settlement Amount:	\$12,500.00
Individual Contribution Amount:	\$8,250.00

Disclosure 8 of 8

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	GUNNALLEN FINANCIAL, INC.

Allegations:	CUSTOMER ALLEGES THAT MR. CIRELLA MADE A SERIES OF UNAUTHORIZED TRANSACTIONS FROM SEPTEMBER 8, 2008, THROUGH SEPTEMBER 10, 2008, RESULTING IN DAMAGES.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$65,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	09/12/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	02/25/2010
Settlement Amount:	



Individual Contribution Amount:

Firm Statement

WHILE THE REPRESENTATIVE DENIED THE ALLEGATIONS, THE BRANCH MANAGER AND FIRM CORRECTED THE TRANSACTIONS AT ISSUE.

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Reporting Source:

Individual

Employing firm when activities occurred which led to the complaint:

GUNNALLEN FINANCIAL, INC.

Allegations:

CUSTOMER ALLEGES THAT MR. CIRELLA MADE A SERIES OF UNAUTHORIZED TRANSACTIONS FROM SEPTEMBER 8, 2008, THROUGH SEPTEMBER 10, 2008, RESULTING IN DAMAGES.

Product Type:

Equity Listed (Common & Preferred Stock)

Alleged Damages:

\$65,000.00

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information

Date Complaint Received:

09/12/2008

Complaint Pending?

No

Status:

Closed/No Action

Status Date:

04/05/2010

Settlement Amount:

Individual Contribution Amount:

Broker Statement

COMPLAINT NO LONGER REPORTABLE PLEASE ARCHIVE.



End of Report

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