



IAPD Report

ROBERT TRENT CURRY

CRD# 5059670

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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 TRENT CURRY (CRD# 5059670)

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 **10/04/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	BLONG FINANCIAL	CRD# 164746	04/12/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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
	GREENWAY CAPITAL MANAGEMENT, LLC	286258	Memphis, TN	03/08/2017 - 05/02/2024
	ALLUVION INVESTMENTS, LLC	159468	MEMPHIS, TN	03/12/2012 - 12/31/2016

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
Regulatory Event	1
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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BLONG FINANCIAL**
Main Address: 5391 NORMANDY RD
MEMPHIS, TN 38120
Firm ID#: 164746

	Regulator	Registration	Status	Date
	Arkansas	Investment Adviser Representative	Approved	06/06/2022
	Mississippi	Investment Adviser Representative	Approved	04/20/2022
	Tennessee	Investment Adviser Representative	Approved	04/12/2022
	Texas	Investment Adviser Representative	Restricted Approval	07/11/2022

Branch Office Locations

BLONG FINANCIAL
5391 NORMANDY RD
MEMPHIS, TN 38120



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.

No information reported.

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	03/08/2017 - 05/02/2024	GREENWAY CAPITAL MANAGEMENT, LLC	CRD# 286258	Memphis, TN
IA	03/12/2012 - 12/31/2016	ALLUVION INVESTMENTS, LLC	CRD# 159468	MEMPHIS, TN

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
12/2020 - Present	BLONG FINANCIAL, LLC	FINANCIAL ADVISOR	Y	MEMPHIS, TN, United States
05/2017 - Present	GREENWAY CAPITAL MANAGEMENT, LLC	FINANCIAL ADVISOR / OWNER	Y	MEMPHIS, TN, United States
10/2011 - 05/2017	ALLUVION INVESTMENTS, LLC	CHIEF INVESTMENT OFFICER	Y	MEMPHIS, TN, 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.

I am 100% owner of Greenway Holdings, LLC. Greenway Holdings is an investment holding company and does not have active operations other than owning it subsidiaries. Greenway Holdings owns 100% of Greenway Capital Management, LLC, Greenway HVAC & Refrigeration Services, LLC (Greenway HVAC), USC Distribution, LLC, and Forge Work Boots & Gear, LLC. Greenway HVAC owns several smaller HVAC and refrigeration service companies that repairs, maintains, and installs air conditioning and refrigeration equipment for commercial and residential customers. USC Distribution, LLC is a distributor of pipes, valves, fittings, seismic and other products to the industrial and commercial industries. Forge Work Boots & Gear, LLC is a retail boot supplier.

I serve as Manager of Greenway HVAC, USC Distribution, LLC, and Forge Work Boots & Gear, LLC . I do not have active management in these companies but serve as an absentee owner/investor that provides support to individual managements of these companies and strategic direction. I started managing these entities in February 2016. I spend between 10-20 hrs per week, on average, in this capacity, which are primarily during securities 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
Regulatory Event	1
Customer Dispute	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Tennessee Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	09/01/2020
Docket/Case Number:	TSD No.: 20-061
URL for Regulatory Action:	https://www.tn.gov/content/dam/tn/commerce/documents/securities/consentorders/Greenway%20Capital%20Management%20LLC%20-%20%205.25.21.pdf
Employing firm when activity occurred which led to the regulatory action:	Greenway Capital Management, L.L.C. (CRD# 286258)
Product Type:	No Product
Allegations:	The investment adviser firm failed to maintain the required minimum net capital.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/25/2021



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Individual

Regulatory Action Initiated By: SECURITIES DIVISION OF THE TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated: 12/15/2020

Docket/Case Number: N/A

Employing firm when activity occurred which led to the regulatory action: GREENWAYCAPITAL MANAGEMENT, LLC

Product Type: No Product

Allegations: SECURITIES DIVISION OF THE TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE HAS INDICATED THAT THE FIRM HAS FAILED TO MAINTAIN A MINIMUM NET CAPITAL OF FIFTEEN THOUSAND DOLLARS (\$15,000) FOR SEVERAL PERIODS BETWEEN 2018-2020 AND INADEQUATE CYBERSECURITY PROCEDURES.

Current Status: Final

Resolution: Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 05/25/2021

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00



Portion Levied against individual: \$5,000.00

Payment Plan: N/A

Is Payment Plan Current:

Date Paid by individual: 07/30/2021

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

THE SECURITIES DIVISION'S ALLEGATIONS RELATE TO GREENWAY CAPITAL MANAGEMENT, LLC'S CALCULATION OF NET CAPITAL UNDER TENN. COMP. R. & REGS. 0780-04.03.01(6) AND CYBERSECURITY INADEQUACY. AFTER THE DIVISION RAISED THE ISSUE, GREENWAY CONSULTED WITH AN ACCOUNTANT AND SUBMITTED REVISED FINANCIAL STATEMENTS RECLASSIFYING AN INTANGIBLE ASSET PER THE ACCOUNTANT'S GUIDANCE. BASED ON THE REVISED FINANCIAL STATEMENTS, GREENWAY WAS NO LONGER IN NET CAPITAL VIOLATION DURING THE ALLEGED TIME PERIODS. DESPITE THE EVIDENCE PROVIDED TO THE DIVISION, THE DIVISION DISREGARDED THE INTANGIBLE ASSET IN THE NET CAPITAL CALCULATION. AS SUCH, GREENWAY ENTERED INTO A CONSENT ORDER TO SAVE TIME AND COST DESPITE ITS ASSERTION THAT IS NOT IN VIOLATION OF THE STATUTE REGARDING THE NET CAPITAL AND THE CYBERSECURITY PROCEDURES.



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: Alluvion Securities, LLC

Allegations: IN SUM, ALLEGEDLY [REDACTED] FRAUDULENTLY REPRESENTATIVE THAT HE WAS TRUSTEE OF THE SNOW SHOE PENSION PLAN (PENSION FUND) FOR EMPLOYEES FOR MANY YEARS PRIOR TO MY EMPLOYMENT WITH ALLUVION SECURITIES, LLC. ACCORDING TO THE COMPLAINT, [REDACTED], ACTING AS TRUSTEE, AUTHORIZED THE FRAUDULENT TRANSFERS OF APPROXIMATELY \$5.7 MILLION FROM THE PENSION FUND BEGINNING IN 2015 TO INVEST IN VARIOUS INVESTMENTS OVER ABOUT A TWO (2) YEAR PERIOD WITHOUT APPROVAL OF THE COMPANY, MANAGEMENT OR OWNERSHIP WHILE FRAUDULENTLY ACTING AS TRUSTEE OF THE PENSION PLAN.

\$3.0 MILLION OF THE \$5.7 MILLION WAS INVESTED IN AMERICAN INVESTMENTS FUND I, LLC (AIF) TO ACQUIRE AMERICAN TUBING ARKANSAS, LLC (ATA) VIA A CONVERTIBLE NOTE INSTRUMENT WITH A COUPON OF 8.0% PAYABLE QUARTERLY IN MARCH 2015. ATA PAID ALL PAYMENTS ON TIME AND THE INVESTMENT WAS COMPLETELY REPAID IN FULL AS OF MAY 2018 WHEN AIF/ATA WAS SOLD TO SANHUA. ADDITIONALLY, [REDACTED] ALLEGEDLY FACILITATED ADDITIONAL FRAUDULENT WITHDRAWALS FOR INVESTMENT INTO COMPANIES THROUGH ANOTHER ENTITY CALLED AMERICAN INVESTMENTS FUND II, LLC (AIF II).

THE PLAINTIFF MADE ALLEGATIONS THAT I WAS DIRECTLY INVOLVED WITH THE ABOVE ALLEGATIONS PRIMARILY GIVEN MY ASSOCIATION WITH [REDACTED] AND HIS OWNERSHIP OF SOME COMPANIES THAT I WAS ALSO AN OWNER OF AT THAT TIME.

Product Type: Other: PRIVATE INVESTMENT

Alleged Damages: \$5,700,000.00

Civil Litigation Information

Type of Court: Federal Court

Name of Court: Middle District of Pennsylvania

Location of Court: Williamsport Division

Docket/Case #: 4:16-0002116-MWB

Date Notice/Process Served: 06/29/2018

Litigation Pending? No

Disposition: Dismissed

Disposition Date: 12/11/2019



Monetary Compensation \$115,000.00

Amount:

Individual Contribution \$115,000.00

Amount:

Broker Statement

GIVEN [REDACTED] ALLEGED ILLEGAL ACTIVITIES AND OTHER VALID CONCERNS, I SOLD MY INTEREST IN ENTITIES THAT WAS ASSOCIATED WITH [REDACTED] IN MAY 2017 TO EXTRICATE MYSELF FROM ASSOCIATING WITH HIM AND OTHER INDIVIDUALS. I DENIED ALL PLAINTIFF'S CLAIMS BECAUSE I, MYSELF, WAS A VICTIM OF FRAUD PERPETRATED BY [REDACTED] AS WELL GIVEN HIS MISREPRESENTATIONS TO ME THAT HE WAS THE AUTHORIZED TRUSTEE AND HAD AUTHORITY TO MAKE THE INVESTMENT IN ATA, IN PARTICULAR. HE ALSO MADE REPRESENTATIONS AND ASSERTIONS THAT HE WAS INVESTING HIS OWN CAPITAL IN OTHER COMPANIES THAT TURNED OUT TO BE MONEY TAKEN FROM THE PENSION PLAN. IN NO WAY WAS I AWARE OF THE ALLEGED ILLEGAL ACTIVITIES NOR WAS I A PARTICIPANT OF THE ALLEGED ILLEGAL ACTIVITIES PERPETUATED BY [REDACTED], OF WHICH THE COMMENCEMENT OF THE ALLEGED FRAUD PRECEDED MY EMPLOYMENT WITH ALLUVION SECURITIES, LLC. IN ORDER TO RESOLVE THE LITIGATION, REDUCE LITIGATION COSTS, AND TO RETURN MONEY THAT [REDACTED] ILLEGALLY ABSCONDED WITHOUT MY KNOWLEDGE, WE CAME TO A SETTLEMENT AGREEMENT WITH THE PLAINTIFF. THE CLAIMS AGAINST ME HAVE BEEN DISMISSED WITH PREJUDICE.

UNFORTUNATELY, I LEARNED A VALUABLE LESSON- TRUST TO A CERTAIN EXTENT BUT ALWAYS, ALWAYS VERIFY. YOUR GOOD NAME & HONOR ARE THE MOST IMPORTANT POSSESSIONS ONE CAN OWN AND IT IS PARAMOUNT TO ALWAYS PROTECT IT.



End of Report

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