



IAPD Report

DAVID BLAIR THOMPSON

CRD# 5120504

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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

DAVID BLAIR THOMPSON (CRD# 5120504)

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 **05/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SPARTA WEALTH PARTNERS	CRD# 318036	01/26/2022
B	REALTA EQUITIES, INC.	CRD# 23769	05/12/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **18** 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	INNOVATION PARTNERS LLC	146344	CHARLOTTE, NC	12/01/2022 - 04/21/2023
B	J. ALDEN ASSOCIATES, INC.	40002	WAYNE, PA	02/27/2020 - 12/02/2022
IA	ALDEN CAPITAL	293551	Charlotte, NC	06/05/2020 - 04/13/2022

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
Termination	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 **18** 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 FINRA	General Securities Representative	Approved	05/12/2023
B Alabama	Agent	Approved	06/20/2024
B Florida	Agent	Approved	05/12/2023
B Georgia	Agent	Approved	09/30/2024
B Louisiana	Agent	Approved	10/30/2024
B Maryland	Agent	Approved	02/22/2024
B Nevada	Agent	Approved	05/12/2023
B New Mexico	Agent	Approved	05/22/2023
B New York	Agent	Approved	02/14/2024
B North Carolina	Agent	Approved	05/15/2023
B Ohio	Agent	Approved	09/02/2025
B Oregon	Agent	Approved	05/24/2024
B Pennsylvania	Agent	Approved	06/07/2023



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	05/12/2023
B South Dakota	Agent	Approved	01/13/2025
B Texas	Agent	Approved	12/01/2025
B Virginia	Agent	Approved	06/17/2024
B West Virginia	Agent	Approved	12/08/2025
B Wyoming	Agent	Approved	09/24/2024

Branch Office Locations

COASTAL EQUITIES, INC.
 4500 Cameron Valley Parkway
 Suite 130
 Charlotte, NC 28211

Employment 2 of 2

Firm Name: **SPARTA WEALTH PARTNERS**
 Main Address: 4500 CAMERON VALLEY PARKWAY
 SUITE 130
 CHARLOTTE, NC 28211
 Firm ID#: 318036

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	04/18/2022

Branch Office Locations

SPARTA WEALTH PARTNERS
 4500 CAMERON VALLEY PARKWAY
 SUITE 130
 CHARLOTTE, NC 28211



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, 3 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
 General Securities Representative Examination (S7)	Series 7	06/19/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/31/2006

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/2010
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/2006

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
B	12/01/2022 - 04/21/2023	INNOVATION PARTNERS LLC	CRD# 146344	CHARLOTTE, NC
B	02/27/2020 - 12/02/2022	J. ALDEN ASSOCIATES, INC.	CRD# 40002	WAYNE, PA
IA	06/05/2020 - 04/13/2022	ALDEN CAPITAL	CRD# 293551	Charlotte, NC
IA	06/22/2018 - 12/05/2019	TD PRIVATE CLIENT WEALTH LLC	CRD# 164484	Charlotte, NC
B	06/19/2018 - 12/05/2019	TD PRIVATE CLIENT WEALTH LLC	CRD# 164484	Charlotte, NC
IA	12/17/2014 - 05/02/2018	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	CHARLOTTE, NC
B	12/08/2014 - 05/02/2018	CETERA INVESTMENT SERVICES LLC	CRD# 15340	ST. CLOUD, MN
IA	09/18/2012 - 10/27/2014	CERTUS INVESTMENT ADVISORS, LLC	CRD# 159221	ATLANTA, GA
B	09/14/2012 - 10/27/2014	CERTUSSECURITIES, INC.	CRD# 144051	CHARLOTTE, NC
IA	08/15/2011 - 06/19/2012	CAPITAL INVESTMENT ADVISORY SERVICES, LLC	CRD# 149124	RALEIGH, NC
B	08/15/2011 - 06/19/2012	CAPITAL INVESTMENT GROUP, INC.	CRD# 14752	CHARLOTTE, NC
IA	02/12/2010 - 08/17/2011	PARK AVENUE SECURITIES LLC	CRD# 46173	CHARLOTTE, NC
B	09/18/2009 - 08/17/2011	PARK AVENUE SECURITIES LLC	CRD# 46173	CHARLOTTE, NC
B	04/03/2006 - 07/27/2009	NEW ENGLAND SECURITIES	CRD# 615	CHARLOTTE, NC



Registration & Employment History

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
05/2023 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
12/2022 - 05/2023	Innovation Partners LLC	Registered Representative	Y	Charlotte, NC, United States
02/2020 - 05/2023	J Alden Associates, Inc.	REGISTERED REP	Y	Jenkintown, PA, United States
04/2018 - 11/2019	TD Bank N.A.	Relationship Manager	Y	Greenville, SC, United States
04/2018 - 11/2019	TD Private Client Wealth LLC	Registered Rep	Y	Greenville, SC, United States
12/2014 - 04/2018	CETERA INVESTMENT ADVISERS LLC	IAR REGISTERED REP	Y	CHARLOTTE, NC, United States
12/2014 - 04/2018	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST. CLOUD, MN, United States
11/2014 - 04/2018	REGIONS BANK	REGISTERED REP	N	CHARLOTTE, NC, 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) Insurance Sales; Life, Disability, Long Term Care; Not investment related; 3 hours per month during normal trading hours.
- 2) DBT Consulting LLC; start: 11/18/2025; 2026 S Wendover Road Charlotte, NC 28211; Not investment related; Consulting referrals or teaming opportunities for defense-oriented technology support and also insurance business; Consultant; Compensation in the form of commissions: 1 hour per month some during normal trading hours.
- 3) Total Solutions Enterprise LLC (DBA Sparta Wealth Partners); start: 4/5/2023; 4500 Cameron Valley Pkwy Ste 130 Charlotte, NC 28211; Investment related; OUTSIDE RIA; President; RIA activities for me and the firm; www.spartawp.com; Compensation is fee based; 120 hours per month during normal trading hours.
- 4) Total Solutions Enterprise Holding LLC; holding entity.
- 5) Sine Pari; Investment holding company.
- 6) Backstage Pass LLC; start: 4/5/2023; 2026 Wendover Road Charlotte, NC 28211; Not investment related; Rental Real Estate and 1031 DST/TIC Holding Entity; Single Member; Rental investment property and passive income; Compensation (other); 4 hours per month during normal trading hours.
- 7) Thompson Capital Partners; investment holding company.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

8) DBT Consulting, LLC; consulting referrals, captive insurance administration; spartawp.com; referrals and introductions; Compensation - portion of setup and premiums for the client; .5 hours per week some during normal trading hours.

9) Velocity Assurance Group, Inc.; Not investment related; start: 12/2025; 1357 W Natasha Circle Riverton, UT 84065; captive insurance company; director and owner; No compensation; 2 hours per month none 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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: TD Private Client Wealth LLC

Termination Type: Discharged

Termination Date: 11/06/2019

Allegations: An internal review concluded on 11/05/2019 that the individual was engaged in the sale of insurance products without prior Firm approval

Product Type: Insurance

Reporting Source: Individual

Firm Name: TD Private Client Wealth LLC

Termination Type: Discharged

Termination Date: 11/06/2019

Allegations: Violation of firm policies concerning disclosure and approval of Outside Business Activities and selling away.

Product Type: Insurance

Broker Statement Both direct and regional supervisory management were aware of me having active licenses verbally, in writing and via always publicly available information of my insurance licenses being active for 15 years prior to and during employment. I was even instructed to maintain these licenses as part of the firm's recruitment and employment transition strategies discussed on several occasions amidst four separate leadership changes and reorganizations within the business unit during my tenure. Discussion and inclusion of insurance strategies as part of financial planning and relationship management is also even listed on the compliance approved role description and client approved marketing materials provided by and



encouraged by the firm. This situation is clearly more as a result of me advocating for my client's best interests as someone who cares - both as a licensed fiduciary and holding the firm accountable for its commitments to client solutions and needs.



End of Report

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