IAPD Report

THOMAS CAINE SHULTZ

CRD# 5614228

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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

THOMAS CAINE SHULTZ (CRD# 5614228)

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 **05/07/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	REALTA EQUITIES, INC.	CRD# 23769	07/02/2023
IA	REALTA INVESTMENT ADVISORS, INC	CRD# 134952	07/25/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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	TITAN SECURITIES	131392	SCOTTSDALE, AZ	09/30/2021 - 06/30/2023
B	TITAN SECURITIES	131392	SCOTTSDALE, AZ	02/04/2021 - 06/30/2023
IA	COASTAL INVESTMENT ADVISORS	134952	SCOTTSDALE, AZ	07/17/2018 - 01/27/2021

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	6

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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 **24** 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 Principal	Approved	07/02/2023
B	FINRA	General Securities Representative	Approved	07/02/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	07/02/2023
B	FINRA	Investment Co./Variable Contracts Prin	Approved	07/02/2023
B	Arizona	Agent	Approved	07/25/2023
B	California	Agent	Approved	07/02/2023
B	Colorado	Agent	Approved	08/11/2023
B	Delaware	Agent	Approved	08/23/2023
B	District of Columbia	Agent	Approved	07/02/2023
B	Florida	Agent	Approved	07/02/2023
B	Georgia	Agent	Approved	07/02/2023
B	Idaho	Agent	Approved	07/02/2023
B	Indiana	Agent	Approved	07/02/2023

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Qualifications

	Regulator	Registration	Status	Date
B	Kansas	Agent	Approved	07/02/2023
B	Maine	Agent	Approved	08/02/2023
B	Maryland	Agent	Approved	08/30/2023
B	Michigan	Agent	Approved	07/02/2023
B	Missouri	Agent	Approved	07/28/2023
B	Nevada	Agent	Approved	09/05/2023
B	New Jersey	Agent	Approved	03/16/2026
B	New York	Agent	Approved	07/02/2023
B	Oregon	Agent	Approved	07/26/2023
B	Pennsylvania	Agent	Approved	07/27/2023
B	South Dakota	Agent	Approved	07/05/2023
B	Tennessee	Agent	Approved	06/06/2025
B	Texas	Agent	Approved	07/13/2023
B	Washington	Agent	Approved	07/03/2023
B	Wisconsin	Agent	Approved	07/17/2023

Branch Office Locations

COASTAL EQUITIES, INC.
2325 E CAMBELBACK ROAD
SUITE 400
PHOENIX, AZ 85016

COASTAL EQUITIES, INC.
840 CRESCENT CENTRE DRIVE
SUITE 530
FRANKLIN, TN 37067

Employment 2 of 2

Firm Name: **REALTA INVESTMENT ADVISORS, INC**

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Qualifications

Main Address: 1201 N. ORANGE STREET
SUITE 729
WILMINGTON, DE 19801

Firm ID#: 134952

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	07/25/2023

Branch Office Locations

REALTA INVESTMENT ADVISORS, INC
840 CRESCENT CENTRE DRIVE
SUITE 530
FRANKLIN, TN 37067

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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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	08/02/2014

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	07/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	06/19/2014

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	06/30/2014
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/10/2009

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	09/30/2021 - 06/30/2023	TITAN SECURITIES	CRD# 131392	SCOTTSDALE, AZ
B	02/04/2021 - 06/30/2023	TITAN SECURITIES	CRD# 131392	SCOTTSDALE, AZ
IA	07/17/2018 - 01/27/2021	COASTAL INVESTMENT ADVISORS	CRD# 134952	SCOTTSDALE, AZ
B	06/28/2018 - 01/27/2021	COASTAL EQUITIES, INC.	CRD# 23769	Scottsdale, AZ
IA	07/15/2014 - 06/20/2017	INVESTMENT ADVISORS	CRD# 15708	SCOTTSDALE, AZ
B	06/19/2014 - 06/20/2017	PROEQUITIES, INC.	CRD# 15708	SCOTTSDALE, AZ
B	01/21/2011 - 06/16/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	SCOTTSDALE, AZ
B	07/07/2010 - 10/12/2010	PROEQUITIES, INC.	CRD# 15708	PHOENIX, AZ
B	08/04/2009 - 05/21/2010	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	PHOENIX, AZ

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
06/2023 - Present	REALTA EQUITIES, INC.	REGISTERED REPRESENTATIVE	Y	WILMINGTON, DE, United States
06/2023 - Present	REALTA INVESTMENT ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	WILMINGTON, DE, United States
07/2017 - Present	LYFEBEAST, LLC	MANAGIING PARTNER	N	SCOTTSDALE, AZ, United States
01/2021 - 06/2023	TITAN SECURITIES	REGISTERED REPRESENTATIVE	Y	ADDISON, TX, United States
06/2018 - 01/2021	COASTAL EQUITIES, INC.	REGISTERED REP	Y	WILMINGTON, DE, United States

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Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2018 - 01/2021	COASTAL INVESTMENT ADVISORS, INC	INVESTMENT ADVISOR REP	Y	WILMINGTON, DE, United States
05/2014 - 05/2017	PROEQUITIES, INC.	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
06/2011 - 05/2017	FUTURITY FIRST INS GRP	BRANCH MANAGER	Y	SCOTTSDALE, AZ, 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) LYFEBEAST, LLC dba; SCOTTSDALE, AZ; INVESTMENT AND INSURANCE RELATED; WWW.LYFEBEAST.COM; MANAGING PARTNER;COMMISSIONS/OVERRIDES; OWNER AND OPERATOR OF THE COMPANY; 40+ HOURS PER WEEK DURING NORMAL TRADING HOURS. (2)LYFEADVISORS, dba FOR INVESTMENT ADVISORY; WWW.LYFEADVISORS.COM; MANAGING PARTNER; OWNER AND OPERATOR; 40+ HOURSPER WEEK DURING NORMAL TRADING HOURS. (3) SRO, LLC; MAITLAND, FL; INDEPENDENT MARKETING ORGANIZATION FOR INSURANCESALES, LEAD GENERATION PROGRAM; SROMARKETING.COM; CHIEF MARKETING OFFICER; OVERRIDES FROM INSURANCE AGENTSCONTRACTED; 1/3 OWNER AND OPERATOR; 20+ HOURS PER WEEK DURING NORMAL TRADING HOURS. (4) HOMESMART; SCOTTSDALE, AZ;REALTOR; COMMISSIONS FROM SALE OF REAL ESTATE; 40+ HOURS PER WEEK DURING NORMAL TRADING HOURS. (5) GORDON MARKETING;NOBLESVILLE, IN; INSURURANCE SALES NATIONAL MARKETING ORGANIZATION; WWW.GORDONMARKETING.COM; CONTRACTEDINSURANCE AGENT; COMMISSIONS/OVERRIDES; 40+ HOURS PER WEEK DURING NORMAL TRADING HOURS. (6) LYFEBEAST, LLC dba; AZMEDICARE; MEDICARE EDUCATIONAL WORKSHOPS; WWW.AZMEDICARE.ORG; MANAGING PARTNERS OF AZMEDICARE101; COMMISSIONS; OWNER AND OPERATOR; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS. (7) REALTA INVESTMENT ADVISORS, INC.; WILMINGTON, DE; INVESTMENT ADVISORY SERVICES, INVESTMENT ADVISOR REPRESENTATIVE; WWW.REALTAWEALTH.COM; COMPENSATION IN THE FOR OF FEES; 40 HOURS PER WEEK DURING NORMAL TRADING HOURS. (8) TNMEDICARE101.ORG; START: 10/2025; 840 CRESCENT CENTRE DRIVE STE 530 FRANKLIN, TN 37067; WWW.TNMEDICARE101.ORG/WWW.TENNESSEEMEDICARE101.ORG; NOT INVESTMENT RELATED; NO COMPENSATION; MANAGING PARTNER/HOST EDUCATIONAL WORKSHOPS FOR MEDICARE IN STATE OF TN; 40 HOURS PER MONTH NONE DURING NORMAL TRADING HOURS.

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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.

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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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	REALTA EQUITIES, INC.
Allegations:	The claimant alleges negligence, breach of fiduciary duty, and negligent supervision.
Product Type:	Other: Alternative Investments
Alleged Damages:	$158,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	26-00871
Date Notice/Process Served:	04/27/2026
Arbitration Pending?	Yes

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	REALTA EQUITIES, INC.
Allegations:	Ignored their customer's explicit instructions and instead recommended

	speculative securities.
Product Type:	Other: Alternative Investments
Alleged Damages:	$103,000.00
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 #:	25-02844
Filing date of arbitration/CFTC reparation or civil litigation:	12/29/2025

Customer Complaint Information

Date Complaint Received:	12/30/2025
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	REALTA EQUITIES, INC.
Allegations:	The claimant alleges unsuitable investments.
Product Type:	Other: Alternative Investments
Alleged Damages:	$245,000.00
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 #:	25-02664
Filing date of arbitration/CFTC reparation or civil litigation:	12/02/2025

Customer Complaint Information

Date Complaint Received:	12/03/2025
Complaint Pending?	Yes

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Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	COASTAL EQUITIES, INC.
Allegations:	The customer alleged damages related to an investment solicited by Mr. Shultz.
Product Type:	Debt-Asset Backed
Alleged Damages:	$40,000.00
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:	04/05/2023
Complaint Pending?	No
Status:	Settled
Status Date:	05/25/2023
Settlement Amount:	$36,000.00
Individual Contribution Amount:	$0.00

Disclosure 5 of 6

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	COASTAL EQUITIES, INC.
Allegations:	CLAIMANT ALLEGES THE RR MADE UNSUITABLE RECOMMENDATIONS AND FAILED TO PERFORM ADEQUATE DUE DILIGENCE ON GWG.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes

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Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	22-01116
Filing date of arbitration/CFTC reparation or civil litigation:	05/23/2022

Customer Complaint Information

Date Complaint Received:	05/23/2022
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	COASTAL EQUITIES, INC.
Allegations:	CLAIMANT ALLEGES THE RR MADE UNSUITABLE RECOMMENDATIONS AND FAILED TO PERFORM ADEQUATE DUE DILIGENCE ON GWG.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	UNSPECIFIED
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 #:	22-01116
Filing date of arbitration/CFTC reparation or civil litigation:	05/23/2022

Customer Complaint Information

Date Complaint Received:	05/23/2022
Complaint Pending?	No
Status:	Settled
Status Date:	09/13/2023
Settlement Amount:	$42,000.00
Individual Contribution Amount:	$0.00

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Disclosure 6 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: COMPLAINANTS ALLEGE THAT IN 2011, THE REPRESENTATIVE PURCHASED SECURITIES IN THEIR ACCOUNT WITHOUT THEIR AUTHORIZATION.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $8,017.05

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: 12/29/2011

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/10/2012

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: 12-02400

Date Notice/Process Served: 07/10/2012

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/23/2013

Monetary Compensation Amount: $5,000.00

Individual Contribution Amount: $1,000.00

Firm Statement INTERNAL CASE #201217253.

Reporting Source: Individual

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Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, LLC
Allegations:	COMPLAINANTS ALLEGE THAT IN 2011, THE REPRESENTATIVE PURCHASED SECURITIES IN THEIR ACCOUNT WITHOUT THEIR AUTHORIZATION.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$8,017.05
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 #:	12-02400
Filing date of arbitration/CFTC reparation or civil litigation:	07/10/2012

Customer Complaint Information

Date Complaint Received:	07/10/2012
Complaint Pending?	No
Status:	Settled
Status Date:	07/23/2013
Settlement Amount:	$5,000.00
Individual Contribution Amount:	$1,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-02400
Date Notice/Process Served:	07/10/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	07/23/2013
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$1,000.00

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End of Report

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