



IAPD Report

ROHIT JILEDAR SINGH

CRD# 5679037

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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

ROHIT JILEDAR SINGH (CRD# 5679037)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	HEXEUM CAPITAL	CRD# 298791	10/23/2018
B	FOUR POINTS CAPITAL PARTNERS LLC	CRD# 43149	06/06/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	FOUR POINTS CAPITAL PARTNERS LLC	43149	NEWPORT BEACH, CA	05/16/2020 - 11/04/2022
IA	AMERICAN FINANCIAL NETWORK ADVISORY SERVICES, LLC	160322	CALABASAS, CA	03/19/2018 - 06/05/2018
B	DFPG INVESTMENTS, INC.	155576	Calabasas, CA	03/14/2018 - 06/05/2018

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
Financial	11



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

Employment 1 of 2

Firm Name: **FOUR POINTS CAPITAL PARTNERS LLC**
Main Address: 55A E. RIDGEWOOD AVENUE
SUITE 12
RIDGEWOOD, NJ 07450
Firm ID#: 43149

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/06/2023
B FINRA	General Securities Representative	Approved	06/06/2023
B FINRA	Invest. Co and Variable Contracts	Approved	06/06/2023
B Arizona	Agent	Approved	04/10/2026
B California	Agent	Approved	06/06/2023
B New York	Agent	Approved	07/05/2023

Branch Office Locations

5000 Birch Street
West Tower, Suite 3000
Newport Beach, CA 92660

Employment 2 of 2

Firm Name: **HEXEUM CAPITAL**
Main Address: 5000 BIRCH STREET, WEST TOWER
SUITE 3000
NEWPORT BEACH, CA 92660
Firm ID#: 298791



Qualifications

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	10/23/2018

Branch Office Locations

HEXEUM CAPITAL

5000 BIRCH STREET, WEST TOWER
SUITE 3000
NEWPORT BEACH, CA 92660




Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/26/2018

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	06/05/2018
	General Securities Representative Examination (S7)	Series 7	12/30/2017
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/06/2009

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	01/22/2018
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/2009

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	05/16/2020 - 11/04/2022	FOUR POINTS CAPITAL PARTNERS LLC	CRD# 43149	NEWPORT BEACH, CA
IA	03/19/2018 - 06/05/2018	AMERICAN FINANCIAL NETWORK ADVISORY SERVICES, LLC	CRD# 160322	CALABASAS, CA
B	03/14/2018 - 06/05/2018	DFPG INVESTMENTS, INC.	CRD# 155576	Calabasas, CA
B	01/02/2018 - 03/16/2018	PFS INVESTMENTS INC.	CRD# 10111	LONG BEACH, CA
IA	09/24/2012 - 09/04/2013	LPL FINANCIAL LLC	CRD# 6413	IRVINE, CA
B	09/21/2012 - 09/04/2013	LPL FINANCIAL LLC	CRD# 6413	IRVINE, CA
IA	03/13/2012 - 09/24/2012	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	CITY OF INDUSTRY, CA
B	12/20/2011 - 09/24/2012	PRUCO SECURITIES, LLC.	CRD# 5685	CITY OF INDUSTRY, CA
B	07/07/2009 - 10/31/2011	HSBC SECURITIES (USA) INC.	CRD# 19585	ARTESIA, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2023 - Present	FOUR POINTS CAPITAL PARTNERS	REGISTERED REPRESENTATIVE	Y	RIDGEWOOD, NJ, United States
07/2018 - Present	Hexeum Capital LLC	CEO/CCO /IAR/Managing Member	Y	Newport Beach, CA, United States
06/2018 - Present	Independent Insurance Agent	Independent Insurance Agent	Y	Lakewood, CA, United States
05/2020 - 11/2022	FOUR POINTS CAPITAL PARTNERS LLC	REGISTERED REPRESENTATIVE	Y	RIDGEWOOD, NJ, United States
03/2018 - 06/2018	American Financial Network Advisory Services, LLC	Investment Advisor Rep	Y	Calabasas, CA, United States
03/2018 - 06/2018	American Financial Network, LLC	Chief Operating Officer	Y	Calabasas, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2018 - 06/2018	DFPG Investments, Inc.	Registered Representative	Y	Sandy, UT, United States
09/2017 - 03/2018	PFS INVESTMENTS INC.	FINANCIAL SERVICES REP	Y	LONG BEACH, CA, United States
06/2015 - 03/2018	PRIMERICA FINANCIAL SERVICES	FINANCIAL SERVICES REP	Y	LONG BEACH, CA, United States
01/2015 - 02/2018	AURIS CAPITAL STRATEGIES	Chief Executive Officer	Y	BEVERLY HILLS, CA, 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) SELF, LAKEWOOD, CA; INVESTMENT RELATED; STARTED 7/2018; INDEPENDENT INSURANCE AGENT FOR NON-VARIABLE INSURANCE; 3 HOURS/WEEK DURING TRADING.
- (2) HEXEUM CAPITAL LLC, NEWPORT BEACH, CA; INVESTMENT RELATED; STARTED 7/2018; CEO & INVESTMENT ADVISOR REPRESENTATIVE, OVERALL OPERATIONS INCLUDING SALES, OPERATIONS & ADMINISTRATION; DBA FOR SECURITIES WORK WITH FPCP; 40 HOURS/WEEK DURING TRADING.
- (3) FOUR POINTS INSURANCE AGENCY LLC, NEW YORK, NY; INVESTMENT RELATED; STARTED 5/2020; VARIABLE INSURANCE AS DUAL REPRESENTATIVE WITH FPCP; 3 HOURS/WEEK DURING TRADING.
- (4) EDGE HOME FINANCE CORPORATION; STARTED JANUARY 2021; INVESTMENT RELATED; MORTGAGE LOAN OFFICER; ORIGNATING MORTGAGE; 3 HOURS/WEEK DURING TRADING.
- (5) SHIVSHAKTI LLC, POMONA, CA; NOT INVESTMENT RELATED; STARTED OCTOBER 2024; OWNER; CENTRAL INN, OPERATING AND MANAGING A HOTEL; 10 HOURS/WEEK.



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
Financial	11

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: HSBC BANK USA, N.A.

Termination Type: Discharged

Termination Date: 10/09/2011

Allegations: BANK AFFILIATE CONDUCTED AN INVESTIGATION INTO WHETHER REGISTERED REPRESENTATIVE SENT DOCUMENTS CONTAINING CONFIDENTIAL CUSTOMER INFORMATION HOME THROUGH HIS PERSONAL EMAIL ADDRESS IN VIOLATION OF BANK POLICY. REGISTERED REPRESENTATIVE ADMITTED TO SENDING THE INFORMATION. BANK AFFILIATE SUBSEQUENTLY TERMINATED REGISTERED REPRESENTATIVE'S EMPLOYMENT.

Product Type: No Product

Reporting Source: Individual

Firm Name: HSBC BANK USA, N.A.

Termination Type: Discharged

Termination Date: 10/19/2011

Allegations: ROHIT SINGH HAS RECEIVED DOCUMENTATION ALLEGING THAT HE VIOLATED HSBC'S EMAIL POLICY AND THAT HE WAS TERMINATED WITH REASON OF "MISCONDUCT".

Product Type: Annuity-Fixed
Annuity-Variable
Insurance



Money Market Fund
Mutual Fund

Broker Statement

ROHIT SINGH VOLUNTARY RESIGNED FROM HSBC ON OCTOBER 17, 2011 TO ACCEPT THE POSITION AT PRUDENTIAL. ON OCTOBER 19, 2011, HE WAS INFORMED VIA PHONE CALL BY HSBC HR CONSULTANT THAT IT WAS DETERMINED THAT HE VIOLATED HSBC'S EMAIL POLICY AND THAT HE WAS TERMINATED WITH REASON OF "MISCONDUCT". ROHIT SINGH HAS A LEGAL COUNCIL REPRESENTING HIM TO PURSUE THIS DECISION FURTHER AS HE HAS A REASON TO BELIEVE THAT HE WAS WRONGFULLY TERMINATED. ON OCTOBER 27 '11, ROHIT SINGH RECEIVED A 'CORRECTIVE ACTION TERMINATION FORM & CHANGE IN RELATIONSHIP' FROM HSBC STATING HE WAS DISCHARGED WITH EFFECTIVE DATE OF OCTOBER 25'11. ALSO, HE RECEIVED HIS U-5 FROM HSBC ON NOVEMBER 8, 2011 STATING TERMINATION EXPLANATION:"TERMINATED BY BANK AFFILIATE FOR VIOLATION OF BANK'S EMAIL POLICY WITH RESPECT TO RESTRICTED CUSTOMER INFORMATION. NOT SECURITIES RELATED."



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: HSBC Bank plc

Original Amount Owed: \$3,054.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 2 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Verizon Wireless

Original Amount Owed: \$2,525.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 3 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018



Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Synchrony Bank

Original Amount Owed: \$5,879.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 4 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Barclays plc

Original Amount Owed: \$9,818.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 5 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: The American Express Company

Original Amount Owed: \$22,018.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these



creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 6 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: LoanMe, Inc.
Original Amount Owed: \$5,400.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 7 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Citibank N.A.
Original Amount Owed: \$5,544.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 8 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?



Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: MACY DEPARTMENT STORES NATIONAL BANK

Original Amount Owed: \$873.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 9 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Discover Financial Services, Inc.

Original Amount Owed: \$816.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 10 of 11

Reporting Source: Individual

Action Type: Compromise

Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

Disposition: Item still to be verified.

Disposition Date:

If a compromise with creditor, provide:

Name of Creditor: JPMorgan Chase Bank, N.A

Original Amount Owed: \$2,995.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate



the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.

Disclosure 11 of 11

Reporting Source: Individual
Action Type: Compromise
Action Date: 02/17/2018

Organization Investment-Related?

Action Pending? Yes

Disposition: Item still to be verified.

Disposition Date:

If a compromise with creditor, provide:

Name of Creditor: Toyota Motor Credit Corp

Original Amount Owed: \$7,210.00

Terms Reached with Creditor: Please be advised that I have retained a law firm to represents me to investigate the claims made by these creditors and upon receipt of verification, will expedite the resolution of any matter that may have merit.



End of Report

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