IAPD Report

CHRIS DAVID ABEYTA

CRD# 6403098

Section Title | **Page(s)**

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

CHRIS DAVID ABEYTA (CRD# 6403098)

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 **05/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	RFG ADVISORY, LLC	CRD# 158401	01/06/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	ACCELERATED WEALTH ADVISORS LLC	170022	COLORADO SPRINGS, CO	10/16/2014 - 01/08/2024

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	23

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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **RFG ADVISORY, LLC**

Main Address: 1400 URBAN CENTER DRIVE
SUITE 475
VESTAVIA HILLS, AL 35242-2245

Firm ID#: 158401

	Regulator	Registration	Status	Date
IA	Colorado	Investment Adviser Representative	Approved	01/06/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/30/2024

Branch Office Locations

RFG ADVISORY, LLC
555 MIDDLE CREEK PKWY
COLORADO SPRINGS, CO 80921

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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 0 principal/supervisory exams, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/08/2014

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	10/16/2014 - 01/08/2024	ACCELERATED WEALTH ADVISORS LLC	CRD# 170022	COLORADO SPRINGS, (

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
01/2024 - Present	RFG ADVISORY, LLC dba CONFIDENCE FINANCIAL PARTNERS	WEALTH ADVISOR	Y	COLORADO SPRINGS, CO, United States
11/2012 - Present	AW HOLDINGS LLC	MEMBER	N	COLORADO SPRINGS, CO, United States
04/2009 - Present	HIGH TRUST FINANCIAL & CONSULTING INC.	PRESIDENT	Y	MONUMENT, CO, United States
10/2014 - 01/2024	ACCELERATED WEALTH ADVISORS LLC	Investment Advisor Representative	Y	COLORADO SPRINGS, CO, United States
01/2013 - 01/2024	ACCELERATED WEALTH, LLC	INSURANCE PRINCIPAL	Y	COLORADO SPRINGS, CO, United States
04/2012 - 12/2018	ASI CAPITAL, LLC	MEMBER	Y	COLORADO SPRINGS, CO, 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) HIGH TRUST FINANCIAL & CONSULTING INC., NOT INVESTMENT-RELATED; 13570 MEADOWGRASS DR, SUITE 100, COLORADO SPRINGS, CO 80921; HOLDING COMPANY; PRESIDENT SINCE 04/2009; 10 HOURS/MONTH DURING SECURITIES TRADING HOURS; HOLDING COMPANY FOR FINANCIAL ASSETS ACQUIRED. (2) AW HOLDINGS LLC, NON-INVESTMENT RELATED, 13570 MEADOWGRASS DR, SUITE 100, COLORADO SPRINGS, CO 80921, REAL ESTATE HOLDINGS, MANAGER; START11/2012; 4 HOURS/MONTH DURING TRADING HOURS; MISCELLANEOUS ADMINISTRATIVE TASKS. (3) MULTIPLIED RESOURCES, LLC, NON INVESTMENT-RELATED,13570 MEADOWGRASS DR, SUITE 100, COLORADO SPRINGS, CO 80921; MANAGING REAL ESTATE PROPERTIES; MANAGING MEMBER W/SPOUSE; START: 05/2011; 5HOURS/MONTH DURING SECURITIES TRADING HOURS. (4) ASI CAPITAL HEALTHCARE; investment-related; Colorado Springs, CO; PRIVATE EQUITY-CLOSED FUND;GENERAL PARTNER; Started 02/2016; Approx. 8 hours per month; 6 HOURS DURING TRADING HOURS. (5) ASI CAPITAL; INVESTMENT-RELATED; LAS PALMAS, PUERTRICO; PRIVATE EQUITY-CLOSED FUND; PRIVATE PLACEMENT; GENERAL PARTNER; START: 2010; 10 HOURS/MONTH; 8

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

HOURS DURING TRADING HOURS; ASSIST WITH TOWNHALL COMMUNICATIONS AND INDIVIDUAL MUTUAL CLIENTS. (6) Triad Partners; investment related; 730 New Hampshire St., Suite 222, Lawrence, KS 66044INSURANCE IMO; Traditional Insurance Sales; Agent; 01/15/2024; 80 HOURS/MONTH DURING TRADING HOURS; Sell traditional insurance products. (7) FREE AT 53 LLC; NOT INVESTMENT-RELATED; 13570 MEADOWGRASS DR, SUITE 100, COLORADO SPRINGS, CO 80921; PRESIDENT/MGR SINCE 10/2023; 40 HOURS/MONTHDURING TRADING HOURS; LLC PROFIT AND EXPENSE PASS THROUGH.

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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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User Guidance

www.adviserinfo.sec.gov

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	23

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:	Colorado Division of Securities
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	03/22/2017
Docket/Case Number:	2017-CDS-008
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Accelerated Wealth, LLC
Product Type:	Promissory Note
Allegations:	Respondents, which included Abeyta, High Trust Financial and Consulting, Inc., and Accelerated Wealth, LLC, offered and sold ASI Capital securities without the offering being registered. The respondents also acted as an unlicensed broker/dealer in offering and selling ASI Capital securities, and employed unlicensed sales agents. Abeyta also acted as an unlicensed sales representative.
Current Status:	Final
Resolution:	Stipulation and Consent

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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:	04/04/2017
Sanctions Ordered:	Monetary Penalty other than Fines Other: Abeyta and Accelerated Wealth are ordered to cease and desist from effectuating purchases and sales of securities for the accounts of others in Colorado without a broker-dealer license, engaging in the sale of securities in Colorado through persons not registered with the Securities Commissioner, and engaging in the sale of unregistered securities in Colorado, unless the securities are registered or exempt from registration.
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$150,000.00
Portion Levied against individual:	$150,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$50,000.00
Portion Levied against individual:	$50,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	Respondents, which included Abeyta, High Trust Financial and Consulting, Inc., and Accelerated Wealth, LLC, offered and sold ASI Capital securities without the offering being registered. The respondents also acted as an unlicensed broker/dealer in offering and selling ASI Capital securities, and employed unlicensed sales agents. Abeyta also acted as an unlicensed sales representative.

Reporting Source:	Individual

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Regulatory Action Initiated By:	Colorado Division of Securities
Sanction(s) Sought:	Monetary Penalty other than Fines
Date Initiated:	03/22/2017
Docket/Case Number:	2017-CDS-008
Employing firm when activity occurred which led to the regulatory action:	Accelerated Wealth, LLC
Product Type:	Promissory Note
Allegations:	Respondents, which included Abeyta, High Trust Financial and Consulting, Inc., and Accelerated Wealth, LLC, offered and sold ASI Capital securities without the offering being registered. The respondents also acted as an unlicensed broker/dealer in offering and selling ASI Capital securities, and employed unlicensed sales agents. Abeyta also acted as an unlicensed sales representative.
Current Status:	Final
Resolution:	Stipulation and 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:	04/04/2017
Sanctions Ordered:	Monetary Penalty other than Fines Other: Abeyta and Accelerated Wealth are ordered to cease and desist from effectuating purchases and sales of securities for the accounts of others in Colorado without a broker-dealer license, engaging in the sale of securities in Colorado through persons not registered with the Securities Commissioner, and engaging in the sale of unregistered securities in Colorado, unless the securities are registered or exempt from registration.
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$150,000.00
Portion Levied against individual:	$150,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	$50,000.00

Portion Levied against individual:	$50,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	Chris Abeyta, co-founder of Accelerated Wealth (AW) and control person of ASI Capital LLC offered investments to his clients created by ASI Capital LLC between 2012-2014. At the time, Abeyta, working with ASI Capital's attorneys believed that the notes were properly being offered and met all legal and securities requirements. At the conclusion of a regulatory inquiry by Colorado Department of Securities, they alleged that the method used to offer these promissory notes was done incorrectly. On April 4, 2017, Chris Abeyta, settled the inquiry by entering into a Stipulation for Consent Order and Consent Order with the Colorado Division of Securities (the "Division") to avoid the cost and uncertainty of litigation and in the best interest of the clients. This settlement does not involve any admission of wrongdoing by the parties, however does include certain monetary and non-monetary provisions. It is important to note that this settlement agreement is not related to and has had no bearing on the performance of the promissory notes issued from 2012-2014. Additionally, this agreement has not affected the ability of the fund to meet its current or future obligations. Since 2015 all securities have been offered under Accelerated Wealth Advisors (AWA), a licensed RIA firm in good standing with the SEC and state of Colorado. Mr. Abeyta and AW agreed to pay $50,000 to the Securities Commissioner. Mr. Abeyta and his wholly-owned affiliate, High Trust Financial, LLC, also agreed to pay $150,000 to the Securities Commissioner. This Consent Order concludes the inquiry by the Staff of the Colorado Division of Securities into this matter and is not intended to subject any of the parties to any disqualification under the laws of the United States, including, without limitation, any disqualification from relying upon the state or federal registration exemptions or safe harbor provisions. This Order also does not disqualify any of the parties from any business that they are permitted to perform under the Colorado securities laws.

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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 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth
Allegations:	Customers indicate Abeyta used high pressure sales to sell a fixed annuity and promised him it was commission free when it was not. Customers were told by Abeyta that the ROI on the annuity would be 6-8% when it has actually been 2%. Customers indicated Abeyta's sale of the fixed annuity over concentrated their portfolio in fixed annuities. Customer indicates he will not begin receiving investment until 84 yrs of age. Customers indicate were never informed of either commission or other benefits received by Abeyta as a result of sale. Customers indicate Abeyta assured them he was a fiduciary and subject to their Best Interest. Customer alleges deceptive sales practices, violation of Reg. SP and Colorado Insurance Law.
Product Type:	Annuity-Fixed
Alleged Damages:	$312,834.00
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:	03/08/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	03/28/2024
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Customers indicate Abeyta used high pressure sales to sell a fixed annuity and promised him it was commission free when it was not. Customers were told by Abeyta that the ROI on the annuity would be 6-8% when it has actually been 2%. Customers indicated Abeyta's sale of the fixed annuity over concentrated their portfolio in fixed annuities. Customer indicates he will not begin receiving

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	investment until 84 yrs of age. Customers indicate were never informed of either commission or other benefits received by Abeyta as a result of sale. Customers indicate Abeyta assured them he was a fiduciary and subject to their Best Interest. Customer alleges deceptive sales practices, violation of Reg. SP and Colorado Insurance Law.
Product Type:	Annuity-Fixed
Alleged Damages:	$312,834.00
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:	03/08/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 2 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth
Allegations:	Customers indicate they were never informed of the sales incentives such as bonus commission payout and marketing dollars received by Abeyta for sale of single annuity issuer. Customers allege that they were misled as to effect of withdrawals on potential future income. Customers allege violation of both state insurance regulations and SEC Reg. Best Interest.
Product Type:	Annuity-Fixed
Alleged Damages:	$600,000.00
Is this an oral complaint?	No

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Is this a written complaint? Yes

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

Customer Complaint Information

Date Complaint Received: 03/07/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Customers indicate they were never informed of the sales incentives such as bonus commission payout and marketing dollars received by Abeyta for sale of single annuity issuer. Customers allege that they were misled as to effect of withdrawals on potential future income. Customers allege violation of both state insurance regulations and SEC Reg. Best Interest.

Product Type: Annuity-Fixed

Alleged Damages: $600,000.00

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: 03/07/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the

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CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 3 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth
Allegations:	Customer alleges Abeyta sold a fixed annuity based upon a 20% return with a 2% bonus. As a result of alleged 22% return, they were advised (and did) liquidated all their other investments to place in same product. Customer indicated they were never informed of commissions, bonus commissions, or ancillary benefits received by Abeyta as a result of sale. Customer alleges was not told of of availability of identical product available through RIA which would have paid zero commissions. Customer indicated they were not presented with any other investment vehicle or options. Customer alleges violation of both Colorado Insurance Regulations and SEC Regulation Best Interest. Customer requests rescission.
Product Type:	Annuity-Fixed
Alleged Damages:	$500,000.00
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:	03/19/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Customer alleges Abeyta sold a fixed annuity based upon a 20% return with a 2% bonus. As a result of alleged 22% return, they were advised (and did) liquidated all their other investments to place in same product. Customer indicated they were never informed of commissions, bonus commissions, or ancillary benefits received by Abeyta as a result of sale. Customer alleges was not told of of availability of identical product available through RIA which would have paid zero commissions. Customer indicated they were not presented with any other investment vehicle or options. Customer alleges violation of both Colorado Insurance Regulations and SEC Regulation Best Interest. Customer requests rescission.

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Product Type:	Annuity-Fixed
Alleged Damages:	$500,000.00
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:	03/19/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 4 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth
Allegations:	Senior citizen (71) client indicates he was sold through high pressure sales tactics, a fixed index annuity as an ostensible "bond replacement" without being informed of the many restrictions, fees and commissions. Customer indicates that he specifically requested the commissions and remuneration that Mr. Abeyta would receive as a result of his purchase and was ignored. Customer also indicates that he told Mr. Abeyta that the purchase was inappropriate for someone of his advanced age. Customer was not informed of the "bonus commission" earned by Abeyta nor of Abeyta's receipt of "marketing dollars" and other benefits for the sale of one particular annuity family over an other more appropriate investment. Customer has requested rescission of his annuity contract and is filing a complaint with Colorado Insurance oversight authority. Customer has stated Abeyta has grossly violated Colorado Insurance Best Interest standard and also the SEC Regulation Best Interest.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00

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Alleged Damages Amount Explanation (if amount not exact):	Customer requests rescission
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:	03/26/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Senior citizen (71) client indicates he was sold through high pressure sales tactics, a fixed index annuity as an ostensible "bond replacement" without being informed of the many restrictions, fees and commissions. Customer indicates that he specifically requested the commissions and remuneration that Mr. Abeyta would receive as a result of his purchase and was ignored. Customer also indicates that he told Mr. Abeyta that the purchase was inappropriate for someone of his advanced age. Customer was not informed of the "bonus commission" earned by Abeyta nor of Abeyta's receipt of "marketing dollars" and other benefits for the sale of one particular annuity family over an other more appropriate investment. Customer has requested rescission of his annuity contract and is filing a complaint with Colorado Insurance oversight authority. Customer has stated Abeyta has grossly violated Colorado Insurance Best Interest standard and also the SEC Regulation Best Interest.
Product Type:	Annuity-Fixed
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:	03/26/2024
Complaint Pending?	No
Status:	Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 5 of 23

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Client alleges violation of privacy regarding the breach of personal information without authorization. Client alleges Abeta sent his personal private financial data to an unauthorized recipient.

Product Type: No Product

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: 01/09/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

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Allegations:	Client alleges violation of privacy regarding the breach of personal information without authorization. Client alleges Abeta sent his personal private financial data to an unauthorized recipient.
Product Type:	No Product
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:	01/09/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 6 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	AWA Client alleges repeated violations of REG SP (privacy) by and under Abeyta. Client indicated that his IAR Abeyta sent his personal private information to third party without his pre-authorization. Client additionally alleges that previous to the most recent breach of his information, Mr. Abeyta's employee sent his personal Finacial information to email addresses of his friends. According to customer, Mr. Abeyta then offered to client pre-paid access to a credit monitoring company to maintain surveillance for any illegal activity.
Product Type:	No Product
Alleged Damages:	$0.00
Is this an oral complaint?	No

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Is this a written complaint? Yes

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

Customer Complaint Information

Date Complaint Received: 01/09/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: AWA Client alleges repeated violations of REG SP (privacy) by and under Abeyta. Client indicated that his IAR Abeyta sent his personal private information to third party without his pre-authorization. Client additionally alleges that previous to the most recent breach of his information, Mr. Abeyta's employee sent his personal financial information to email addresses of his friends. According to customer, Mr. Abeyta then offered to client pre-paid access to a credit monitoring company to maintain surveillance for any illegal activity.

Product Type: No Product

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: 01/09/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the

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former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 7 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC (CRD#170022)
Allegations:	Client alleges violation of privacy as personal information was shared with outside parties without permission.
Product Type:	No Product
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:	01/09/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges violation of privacy as personal information was shared with outside parties without permission.
Product Type:	No Product
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

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Date Complaint Received:	01/09/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 8 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges violation of his privacy in that Abeyta released his personally identifiable information information without his authorization. "With over thirty years working with commercial and government entities in electronic records compliance I, more than most, understand the gravity of this breach of customer data. Gramm-Leach-Bliley was enacted to protect Personally Identifiable Information (PII) used by financial institutions (companies that offer consumers financial products or services like loans, financial or investment advice, or insurance). The actions taken by Chris Abeyta is a direct violation of the law and I am making a formal complaint regarding this violation. In addition, I am also including in my complaint all those who worked with or for Chris at Accelerated and participated in or knowingly allowed Chris to violate the trust placed in him. I am providing this email as an official complaint regarding the unauthorized release of my personal information by Chris Abyeta to entities not approved by agreement with or contractually associated with Accelerate Wealth without my written approval." Client also alleges unsuitable sale of fixed annuities. "In addition, in October I was ask by Chris Abyeta and Mack Bekeza to review my Allianz accounts so I could improve my returns. If I had agreed to this change at least one of my accounts would have been moved to a new account resulting in new commissions with no direct benefit to me or my wife." Client alleges that he was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client also said he was not informed that AWA insurance sales generated higher incentives to Abeyta to sell insurance (and receive commissions) as opposed to standard AWA/RIA investment management fees. As

a result of Abeyta's failure to disclose these conflicts, alleges violation of Reg. Best Interest.

Product Type: Annuity-Fixed
Other: Violation of Reg SP, Privacy

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): Rescission

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: 01/11/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Client alleges violation of his privacy in that Abeyta released his personally identifiable information information without his authorization. "With over thirty years working with commercial and government entities in electronic records compliance I, more than most, understand the gravity of this breach of customer data. Gramm-Leach-Bliley was enacted to protect Personally Identifiable Information (PII) used by financial institutions (companies that offer consumers financial products or services like loans, financial or investment advice, or insurance). The actions taken by Chris Abeyta is a direct violation of the law and I am making a formal complaint regarding this violation. In addition, I am also including in my complaint all those who worked with or for Chris at Accelerated and participated in or knowingly allowed Chris to violate the trust placed in him. I am providing this email as an official complaint regarding the unauthorized release of my personal information by Chris Abeyta to entities not approved by agreement with or contractually associated with Accelerate Wealth without my written approval." Client also alleges unsuitable sale of fixed annuities. "In addition, in October I was ask by Chris Abyeta and Mack Bekeza to review my Allianz accounts so I could improve my returns. If I had agreed to this change at least one of my accounts would have been moved to anew account resulting in new commissions with no direct benefit to me or my wife." Client alleges that he was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client also said he was not informed that AWA insurance sales generated higher incentives to Abeyta to

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	sell insurance (and receive commissions) as opposed to standard AWA/RIA investment management fees. As a result of Abeyta's failure to disclose these conflicts, alleges violation of Reg. Best Interest.
Product Type:	Annuity-Fixed Other: Violation of Reg SP, Privacy
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:	01/11/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC (CRD# 170022)
Allegations:	Client alleges violation of privacy as information was shared outside of AW without express permission or knowledge.
Product Type:	No Product
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

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Customer Complaint Information

Date Complaint Received: 01/10/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Client alleges violation of privacy as information was shared outside of AW without express permission or knowledge.

Product Type: No Product

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: 01/10/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges failure to follow instructions, failure to disclose and unauthorized release of private client information. Client alleges highly encouraged to invest in fixed annuity sales and complains of the fact that she was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Customer alleges she was not informed that Abeyta's insurance sales generated higher incentives for him to sell commission insurance products as opposed to any other investment. As a result, client alleges violation of Reg. Best Interest. Client additionally alleges violation of her privacy in that ABeyta mailed her name to an unauthorized recipient without her authorization. On 3/22/2024 Client withdrew her complaint.
Product Type:	Annuity-Fixed Other: Privacy, Reg SP
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:	01/11/2024
Complaint Pending?	No
Status:	Withdrawn
Status Date:	03/22/2024
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges failure to follow instructions, failure to disclose and unauthorized release of private client information. Client alleges highly encouraged to invest in fixed annuity sales and complains of the fact that she was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Customer alleges she was not informed that Abeyta's insurance sales generated higher incentives for him to sell commission insurance products as opposed to any other investment. As a result, client alleges violation of Reg. Best Interest. Client additionally alleges violation of her privacy in that Abeyta mailed her name to an unauthorized recipient without her authorization.

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Product Type:	Annuity-Fixed Other: Privacy, Reg SP
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:	01/11/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC (CRD# 170022)
Allegations:	Client alleges violation of her privacy and Reg SP in that Abeyta mailed her name (along with all other clients of the firm) to a competing RIA.
Product Type:	Other: Reg SP Privacy Violation
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Rescission
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

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Customer Complaint Information

Date Complaint Received:	01/15/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges violation of her privacy and Reg SP in that Abeyta mailed her name (along with all other clients of the firm) to a competing RIA.
Product Type:	Other: Reg SP Privacy Violation
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:	01/15/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Customer alleges highly encouraged to invest in fixed annuity sales and complains of the fact that he was not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Customer alleges he was not informed that AWA insurance sales generated higher incentives to Abeyta to sell insurance commissionable products as opposed to standard AWA/RIA investment management fees. As a result, alleges violation of Reg. Best Interest.
Product Type:	Annuity-Fixed
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:	01/11/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Customer alleges highly encouraged to invest in fixed annuity sales and complains of the fact that he was not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Customer alleges he was not informed that AWA insurance sales generated higher incentives to Abeyta to sell insurance commissionable products as opposed to standard AWA/RIA investment management fees. As a result, alleges violation of Reg. Best Interest.
Product Type:	Annuity-Fixed
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

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Customer Complaint Information

Date Complaint Received:	01/11/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges violation of privacy/Reg SP in that ABeyta and West mailed their name to Abeyta's new firm without their authorization.
Product Type:	Other: REG SP Violation, Unauthorized transmission of private client financial data without prior authorization.
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:	01/17/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Client alleges violation of privacy/Reg SP in that Abeyta and West mailed their name to Abeyta's new firm without their authorization.

Product Type: Other: REG SP Violation, Unauthorized transmission of private client financial data without prior authorization.

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: 01/17/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

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Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Customers allege high pressure to invest in fixed annuity sales and complains that they were not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Clients allege they were not informed that Abeyta's insurance sales generated higher commissions incentivizing him to sell fixed annuities as opposed to products that potentially

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were commission free under standard AWA/RIA investment management fees. As a result, clients allege violation of Reg. Best Interest. Clients additionally allege violation of their privacy in that Abeyta mailed their name to an unauthorized competing RIA firm without their prior authorization.

Product Type: Annuity-Fixed

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: 01/17/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Customers allege high pressure to invest in fixed annuity sales and complains that they were not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Clients allege they were not informed that Abeyta's insurance sales generated higher commissions incentivizing him to sell fixed annuities as opposed to products that potentially were commission free under standard AWA/RIA investment management fees. As a result, clients allege violation of Reg. Best Interest. Clients additionally allege violation of their privacy in that Abeyta mailed their name to an unauthorized competing RIA firm without their prior authorization.

Product Type: Annuity-Fixed

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: 01/17/2024

Complaint Pending? No

Status: Closed/No Action

Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 15 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors
Allegations:	Client indicates the fixed annuity they were sold was misrepresented, client indicates they were told this was the only product available to them. Both Abeyta and Ray told clients that the annuity sold was "zero loss" . Clients indicate they were not informed of fees and product was sold as a "sure thing". Clients indicate they were not told of commissions generated, the fact that Abeyta would generate bonus commissions for himself and other benefits from issuer. Client indicates that Abeyta and Hart failed in their fiduciary duties and were only looking at their own personal financiaL gain. Clients are requesting rescission.
Product Type:	Annuity-Fixed Other: Violation of SEC Reg. Best Interest and Colorado Best Interest
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:	03/01/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client indicates the fixed annuity they were sold was misrepresented, client indicates they were told this was the only product available to them. Both Abeyta and Ray told clients that the annuity sold was "zero loss". Clients indicate they were not informed of fees and product was sold as a "sure thing". Clients indicate they were not told of commissions generated, the fact that Abeyta would generate bonus commissions for himself and other benefits from issuer. Client indicates that Abeyta and Hart failed in their fiduciary duties and were only looking at their own personal financial gain. Clients are requesting rescission.
Product Type:	Annuity-Fixed Other: Violation of SEC Reg. Best Interest and Colorado Best Interest
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:	03/01/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 16 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges that Abeyta (and his employee Bekeza) failed to properly service his

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	account resulting in loss of accrued gains. Client alleges failure to disclose insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AWA insurance sales generated higher incentives to Abeyta to sell insurance as opposed to standard AWA/RIA investment management fees. As a result, alleges violation of Reg. Best Interest.
Product Type:	Annuity-Fixed
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:	01/23/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges that Abeyta (and his employee Bekeza) failed to properly service his account resulting in loss of accrued gains. Client alleges failure to disclose insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AWA insurance sales generated higher incentives to Abeyta to sell insurance as opposed to standard AWA/RIA investment management fees. As a result, alleges violation of Reg. Best Interest.
Product Type:	Annuity-Fixed
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:	01/23/2024
Complaint Pending?	No
Status:	Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 17 of 23

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Clients allege Abeyta did not disclose the various incentives that might influence his decision to recommend fixed annuities over other investments, including that he received substantially higher commissions by selling fixed annuities than he would have earned in advisory fees for investing assets with third-party money managers. Clients also allege that Abeyta failed to disclose the various incentives he received from the policy issuer and field marketing organization that might influence his decision to recommend annuities over other investments, including that he received substantially higher commissions by selling annuities than he would have earned in advisory fees for investing assets with a third-party money manager. Abeyta also failed to disclose the bonuses received for hitting annuity sales levels, in addition to his usual commission on such sales. Clients allege a complete breakdown in Abeyta's obligations under the best interest rules of both Colorado and the SEC.

Product Type: Annuity-Fixed

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: 02/16/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

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Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Clients allege Abeyta did not disclose the various incentives that might influence his decision to recommend fixed annuities over other investments, including that he received substantially higher commissions by selling fixed annuities than he would have earned in advisory fees for investing assets with third-party money managers. Clients also allege that Abeyta failed to disclose the various incentives he received from the policy issuer and field marketing organization that might influence his decision to recommend annuities over other investments, including that he received substantially higher commissions by selling annuities than he would have earned in advisory fees for investing assets with a third-party money manager. Abeyta also failed to disclose the bonuses received for hitting annuity sales levels, in addition to his usual commission on such sales. Clients allege a complete breakdown in Abeyta's obligations under the best interest rules of both Colorado and the SEC.

Product Type: Annuity-Fixed

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: 02/16/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

Individual Contribution Amount:

Broker Statement For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC (CRD# 170022)
Allegations:	Client alleges that he was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AW insurance sales generated higher incentives to Abeyta to sell insurance as opposed to offering standard AWA/RIA investment management fees. As a result, alleges violation of SEC Reg. Best Interest and the Colorado Best Interest Rule. Client also alleges unauthorized disclosure of private client information without authorization.
Product Type:	Annuity-Fixed Other: Privacy, Violation of Reg SP
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:	02/02/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges that he was not informed of Abeyta's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AW insurance sales generated higher incentives to Abeyta to sell insurance as opposed to offering standard AWA/RIA investment management fees. As a result, alleges violation of SEC Reg. Best Interest and the Colorado Best Interest Rule. Client also alleges unauthorized disclosure of private client information without authorization.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00
Is this an oral complaint?	No
Is this a written complaint?	Yes

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

Customer Complaint Information

Date Complaint Received:	02/02/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 19 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors
Allegations:	Clients allege Abeyta did not disclose the various incentives that might influence his decision to recommend fixed annuities over other investments, including that he received substantially higher commissions by selling fixed annuities than he would have earned in advisory fees for investing assets with third-party money managers. Clients also allege that Abeyta failed to disclose the various incentives he received from the policy issuer and field marketing organization that might influence his decision to recommend annuities over other investments, including that he received substantially higher commissions by selling annuities than he would have earned in advisory fees for investing assets with a third-party money manager. Abeyta also failed to disclose the bonuses received for hitting annuity sales levels, in addition to his usual commission on such sales. Clients allege a complete breakdown in Abeyta's obligations under the best interest rules of both Colorado and the SEC.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client is requesting rescission
Is this an oral complaint?	No

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Is this a written complaint? Yes

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

Customer Complaint Information

Date Complaint Received: 02/03/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 07/01/2025

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Accelerated Wealth Advisors, LLC

Allegations: Clients allege Abeyta did not disclose the various incentives that might influence his decision to recommend fixed annuities over other investments, including that he received substantially higher commissions by selling fixed annuities than he would have earned in advisory fees for investing assets with third-party money managers. Clients also allege that Abeyta failed to disclose the various incentives he received from the policy issuer and field marketing organization that might influence his decision to recommend annuities over other investments, including that he received substantially higher commissions by selling annuities than he would have earned in advisory fees for investing assets with a third-party money manager. Abeyta also failed to disclose the bonuses received for hitting annuity sales levels, in addition to his usual commission on such sales. Clients allege a complete breakdown in Abeyta's obligations under the best interest rules of both Colorado and the SEC.

Product Type: Annuity-Fixed

Alleged Damages: $0.00

Alleged Damages Amount Explanation (if amount not exact): Client is requesting rescission

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: 02/03/2024

Complaint Pending? No

Status: Closed/No Action

Status Date: 08/19/2025

Settlement Amount:

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Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

Disclosure 20 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors (CRD#170022)
Allegations:	Client alleges they were highly encouraged to invest in fixed annuity sales without being told of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges they were not informed that AW insurance sales generated higher incentives for Abeyta to sell insurance as opposed to standard AWA RIA investment management fees. As a result, alleges violation of Colorado and SEC Best Interest Rules.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Client is requesting rescission
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:	02/05/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual

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Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges they were highly encouraged to invest in fixed annuity sales without being told of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges they were not informed that AW insurance sales generated higher incentives for Abeyta to sell insurance as opposed to standard AWA RIA investment management fees. As a result, alleges violation of Colorado and SEC Best Interest Rules.
Product Type:	Annuity-Fixed
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:	02/05/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

Disclosure 21 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors (CRD# 170022)
Allegations:	Client alleges Abeyta inappropriate possession and use of personal private financial data by repeatedly contacting him subsequent to his requests to cease and desist. Client also requested removal of Abeyta as registered agents on his fixed annuity product and discovered that Abeyta had changed registered agents

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	to new firm without his authorization.
Product Type:	No Product
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:	01/26/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges Abeyta inappropriate possession and use of personal private financial data by repeatedly contacting him subsequent to his requests to cease and desist. Client also requested removal of Abeyta as registered agents on his fixed annuity product and discovered that Abeyta had changed registered agents to new firm without his authorization.
Product Type:	No Product
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:	01/26/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS

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CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

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Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors (CRD# 170022)
Allegations:	Customer indicates he believes he was sold annuity without appropriate disclosures that Hart/Abeyta were incentivized to sell that particular annuity. Abeyta received higher payout (on top of standard commission payout) and other incentives such as trips and marketing dollars for previous sales of the annuity family he was sold. Thus he was incentivized to sell all his clients this one family of annuities in violation of Abeyta/Hart's fiduciary duties. Customer, a senior citizen, indicates he was subject to high pressure sales tactics without disclosure of the downsides of the product sold. In addition, customer stated had he known all the facts he would never have purchased. As a result, Customer accuses Hart/Abeyta of violations of Colorado Insurance Best Interest regulations and violating SEC Reg. BI. Customer also indicates at time of annuity sale he was [REDACTED] from a previous injury. Customer believes Hart/Abeyta took advantage of his [REDACTED] by utilizing high pressure tactics while in his [REDACTED] state. Customer also alleges violation of Reg. SP and Colorado Privacy laws in that Abeyta and Hart currently have possession of his private client financial data and has shared it with their new advisory firm without his express authorization.
Product Type:	Annuity-Fixed Other: Violation of Reg SP and Colorado Privacy Law
Alleged Damages:	$250,000.00
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:	02/02/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Customer indicates he believes he was sold annuity without appropriate disclosures that Hart/Abeyta were incentivized to sell that particular annuity. Abeyta received higher payout (on top of standard commission payout) and other incentives such as trips and marketing dollars for previous sales of the annuity family he was sold. Thus he was incentivized to sell all his clients this one family of annuities in violation of Abeyta/Hart's fiduciary duties. Customer, a senior citizen, indicates he was subject to high pressure sales tactics without disclosure of the downsides of the product sold. In addition, customer stated had he known all the facts he would never have purchased. As a result, Customer accuses Hart/Abeyta of violations of Colorado Insurance Best Interest regulations and violating SEC Reg. BI. Customer also indicates at time of annuity sale he was [REDACTED] from a previous injury. Customer believes Hart/Abeyta took advantage of his [REDACTED] by utilizing high pressure tactics while in his [REDACTED] state. Customer also alleges violation of Reg. SP and Colorado Privacy laws in that Abeyta and Hart currently have possession of his private client financial data and has shared it with their new advisory firm without his express authorization.
Product Type:	Annuity-Fixed Other: Violation of Reg SP and Colorado Privacy Law
Alleged Damages:	$250,000.00
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:	02/02/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	For over 17 years, Chris Abeyta has established a strong reputation for integrity, trust, and genuine care for his clients, maintaining a spotless record with no client complaints. This is among the first customer-complaint disclosures to appear on Mr. Abeyta's public BrokerCheck report, and it did not appear until after he and his entire team left their prior firm in January 2024 during a partnership dispute and ensuing litigation On August 19, 2025, following a trial, the court ruled that the former firm "engaged in a fraudulent scheme designed to disseminate false and harmful misrepresentations about Chris which generated - complaints on the CRD." The Court further stated that "but for the fraudulent scheme?, none of the post-2022 complaints in the CRD ?would likely exist."(AUGUST 19, 2025 DECISION EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096 Order at pp. 14, 27.)

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Disclosure 23 of 23

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors (CRD#170022)
Allegations:	Client alleges highly pressure to invest in fixed annuity sales and complains of the fact that he was not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AWA insurance sales generated higher incentives for Abeyta to sell insurance as opposed to standard AWA/ RIA investment management fees. As a result, alleges violation of Reg. Best Interest. Client additionally alleges violation of privacy /Reg SP in that Abeyta mailed his name to Abeyta's new firm without authorization.
Product Type:	Annuity-Fixed
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:	01/17/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	07/01/2025
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Accelerated Wealth Advisors, LLC
Allegations:	Client alleges highly pressure to invest in fixed annuity sales and complains of the fact that he was not informed of IAR's insurance sales incentives, upward commission bonuses and other conflicts of interest involved in the sale of one particular insurance product family over other alternatives. Client alleges he was not informed that AWA insurance sales generated higher incentives for Abeyta to sell insurance as opposed to standard AWA/ RIA investment management fees. As a result, alleges violation of Reg. Best Interest. Client additionally alleges violation of privacy /Reg SP in that Abeyta mailed his name to Abeyta's new firm without authorization.
Product Type:	Annuity-Fixed
Alleged Damages:	$0.00

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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:	01/17/2024
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/19/2025
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN AN AUGUST 19, 2025 DECISION (EL PASO COUNTY DISTRICT COURT, CASE NO. 2024CV30096), FOLLOWING A TRIAL BETWEEN CLAIMANTS CHRIS ABEYTA, DUSTIN WEST, MACKENZIE BEKEZA, RAYMOND HART, AND SUSAN AUER, AND DEFENDANTS ACCELERATED WEALTH, LLC, ACCELERATED WEALTH ADVISORS, LLC, BILL WALTON, AND RICK NUMMI, THE COURT FOUND THAT "DEFENDANTS ENGAGED IN A FRAUDULENT SCHEME DESIGNED TO DISSEMINATE FALSE AND HARMFUL MISREPRESENTATIONS ABOUT CLAIMANTS," AND THAT "THIS FRAUDULENT SCHEME GENERATED COMPLAINTS AGAINST THE CLAIMANTS." THE COURT ALSO FOUND THAT "BUT FOR THE FRAUDULENT SCHEME OF DEFENDANTS, NONE OF THE POST-2022 COMPLAINTS IN THE CRD REGARDING THE CLAIMANTS WOULD LIKELY EXIST IN THE CRD." (AUG. 19, 2025 ORDER AND JUDGMENT AT 14, 27.)

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End of Report

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