

## FORM U4

## UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER

DST WEALTH MANAGEMENT LLC([302110](#))

Rev. Form U4 (05/2009)

Individual Name: BINKELE, ROBERT JOSEPH (2393598)

U4 Amendment - Filing ID: 69654939

Filing Date: 01/09/2026

## 1. General Information

First Name:	Middle Name:	Last Name:	Suffix:
ROBERT	JOSEPH	BINKELE	
Firm CRD #:	Firm Name:	Employment Date (MM/DD/YYYY):	
302110	DST WEALTH MANAGEMENT LLC	08/30/2019	
Firm Billing Code:	Individual CRD #:	Individual SSN:	
	2393598	XXX-XX-XXXX	

**Do you have an independent contractor relationship with the above named firm?:**

Yes  No

**Office of Employment Address:**

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Residential Supervisory Location*	Type of Office	Start Date	End Date
			45110 CLUB DRIVE SUITE B INDIAN WELLS, CA 92210 United States	No		Located At	08/30/2019	
IA Main			45110 CLUB DRIVE SUITE B INDIAN WELLS, CA 92210 United States	No		Supervised From	08/30/2019	

**\*If "Yes" is selected, the firm confirms that this location is designated as an RSL as defined in FINRA Rule 3110.**

## 2. Fingerprint Information

Electronic Filing Representation

By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or  
Fingerprint card barcode

By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,

By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an *SRO* other than FINRA. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

#### Exceptions to the Fingerprint Requirement

By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/*filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:

Rule 17f-2(a)(1)(i)  
 Rule 17f-2(a)(1)(iii)

#### Investment Adviser Representative Only Applicants

I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.

I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or

I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

### **3. Registration With Unaffiliated Firms**

Some *jurisdictions* prohibit "dual registration", which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not affiliated. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not affiliated with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

	<b>Yes</b>	<b>No</b>
A. Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes", list the <i>firm(s)</i> in Section 12 (Employment History).	<input checked="" type="radio"/>	<input type="radio"/>
B. Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes", list the <i>firm(s)</i> in Section 12 (Employment History).	<input type="radio"/>	<input checked="" type="radio"/>

### **4. SRO Registrations**

**Select appropriate SRO Registration requests.**

**Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or rescheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).**

## REPRESENTATIVE LEVEL REGISTRATION CATEGORIES

## REGISTRATION CATEGORIES

	FINRA	NYSE	NYSE-AMER	NYSE-ARCA	NYSE-TEX	NYSE-NAT	CBOE	CBOE C2	CBOE BYX	CBOE BZX	CBOE EDGA	CBOE EDGX	NQX	BX	ISE	ISE GEMX	ISE MRX	PHLX	MIAX Emerald	MIAX Options	MIAX PEARL	BOX	IEX	LTSE	MEMX	MIAX Sapphire	24X
--	-------	------	-----------	-----------	----------	----------	------	---------	----------	----------	-----------	-----------	-----	----	-----	----------	---------	------	--------------	--------------	------------	-----	-----	------	------	---------------	-----

IR - Investment Company and Variable Contracts Products Rep. (S6TO)

GS - Full Registration/General Securities Representative (S7TO)

DR - Direct Participation Program Representative (S22TO)

MR - Municipal Securities Representative (S52TO)

TD - Securities Trader (S57TO)

IB - Investment Banking Representative (S79TO)

PR - Limited Representative - Private Securities Offerings (S82TO)

RS - Research Analyst (S86 and S87)

OS - Operations Professional (S99TO)

Other \_\_\_\_\_ (Paper Form Only)

## RETIRED REGISTRATION CATEGORIES

AR - Assistant Representative/Order Processing

CD - Canada-Limited General Securities Registered Representative

CN - Canada-Limited General Securities Registered Representative

CS - Corporate Securities Representative

FA - Foreign Associate

IE - United Kingdom - Limited General Securities Registered Representative

OR - Options Representative

RG - Government Securities Representative

## PRINCIPAL LEVEL REGISTRATION CATEGORIES

## REGISTRATION CATEGORIES

## RETIRED REGISTRATION CATEGORIES

SM - Securities Manager

## REGISTRATION CATEGORIES

## EXCHANGE-SPECIFIC REGISTRATION CATEGORIES

Decasign Envelope ID: 33

LE - Securities Lending Representative

LS - Securities Lending Supervisor

## ME - Member Exchange

MT - Market Maker Authorized Trader-Equities

OM - Options Member (S57TO)

## CT - Securities Trader Compliance Officer (S14)

FL - Floor Clerk - Equities (S19)

## 5. Jurisdiction Registration

**Check appropriate jurisdiction(s) for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.**

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	<input type="checkbox"/>	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	<input type="checkbox"/>	Montana	<input type="checkbox"/>	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>	<input type="checkbox"/>
Arizona	<input type="checkbox"/>	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>	<input type="checkbox"/>
California	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Kentucky	<input type="checkbox"/>	<input type="checkbox"/>	New Jersey	<input type="checkbox"/>	<input type="checkbox"/>	Tennessee	<input type="checkbox"/>	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	<input type="checkbox"/>	Louisiana	<input type="checkbox"/>	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	<input type="checkbox"/>	Texas	<input type="checkbox"/>	<input type="checkbox"/>
Connecticut	<input type="checkbox"/>	<input type="checkbox"/>	Maine	<input type="checkbox"/>	<input type="checkbox"/>	New York	<input type="checkbox"/>	<input type="checkbox"/>	Utah	<input type="checkbox"/>	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	<input type="checkbox"/>	Vermont	<input type="checkbox"/>	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	<input type="checkbox"/>	Virgin Islands	<input type="checkbox"/>	<input type="checkbox"/>
Florida	<input type="checkbox"/>	<input checked="" type="checkbox"/>	Michigan	<input type="checkbox"/>	<input type="checkbox"/>	Ohio	<input type="checkbox"/>	<input type="checkbox"/>	Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	Washington	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
									Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

**AGENT OF THE ISSUER REGISTRATION (AI)**  **Indicate 2 letter *jurisdiction* code(s):**

## 6. Registration Requests with Affiliated Firms

**7. Examination Requests**

**Scheduling or Rescheduling Examinations** Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a *jurisdiction* that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

<input type="checkbox"/> SIE	<input type="checkbox"/> S14	<input type="checkbox"/> S28	<input type="checkbox"/> S51	<input type="checkbox"/> S66
<input type="checkbox"/> S3	<input type="checkbox"/> S16	<input type="checkbox"/> S30	<input type="checkbox"/> S52TO	<input type="checkbox"/> S79TO
<input type="checkbox"/> S4	<input type="checkbox"/> S22TO	<input type="checkbox"/> S31	<input type="checkbox"/> S53	<input type="checkbox"/> S82TO
<input type="checkbox"/> S6TO	<input type="checkbox"/> S23	<input type="checkbox"/> S32	<input type="checkbox"/> S54	<input type="checkbox"/> S86
<input type="checkbox"/> S7TO	<input type="checkbox"/> S24	<input type="checkbox"/> S34	<input type="checkbox"/> S57TO	<input type="checkbox"/> S87
<input type="checkbox"/> S9	<input type="checkbox"/> S26	<input type="checkbox"/> S39	<input type="checkbox"/> S63	<input type="checkbox"/> S99TO
<input type="checkbox"/> S10	<input type="checkbox"/> S27	<input type="checkbox"/> S50	<input type="checkbox"/> S65	

Other \_\_\_\_\_ (Paper Form Only)

OPTIONAL: Foreign Exam City \_\_\_\_\_

Date (MM/DD/YYYY) \_\_\_\_\_

**8. Professional Designations****Select each designation you currently maintain.**

- Certified Financial Planner
- Chartered Financial Consultant (ChFC)
- Personal Financial Specialist (PFS)
- Chartered Financial Analyst (CFA)
- Chartered Investment Counselor (CIC)

**9. Identifying Information/Name Change**

**First Name:**  
DocuSign Envelope ID: C5177704-ED5B-480A-9034-2B775E73A181  
ROBERT

**Middle Name:**  
JOSEPH

**Last Name:**  
BINKELE

**Suffix:**

**State of Birth****Province of Birth****Country of Birth****Date of Birth(MM/DD/YYYY)****Sex****Hair Color****Eye Color**

05/29/1963

 Male  Female

Brown

Brown

**Height (ft)****Height (in)****Weight (lbs)**

6

2

265

**10. Other Names**

No Information Filed.

**11. Residential History**

<b>From</b>	<b>To</b>	<b>Street Address</b>
10/2012	PRESENT	34312 PORT LANTERN DANA POINT, CA 92629 United States
12/1999	PRESENT	77095 SANDPIPER DRIVE INDIAN WELLS, CA 92210 United States
01/1996	12/1999	75415 DESERT PARK DRIVE INDIAN WELLS, CA 92210 United States
02/1995	01/1996	136 CASTALENTA SOUTH PALM DESERT, CA 92260 United States
09/1990	02/1995	881 PEACH STREET #A SAN LUIS OBISPO, CA 93401 United States

**12. Employment History**

<b>From</b>	<b>To</b>	<b>Name of Firm or Company</b>	<b>Address</b>	<b>Investment Related</b>	<b>Position Held</b>
02/2025	PRESENT	ASHTON STEWART & CO., INC.	MIAMI, FL United States	Yes	REGISTERED REPRESENTATIVE
08/2019	PRESENT	DST WEALTH MANAGEMENT, LLC	INDIAN WELLS, CA United States	Yes	INVESTMENT ADVISOR REPRESENTATIVE
05/2021	03/2023	HB Securities LLC	Decatur, GA United States	Yes	Consultant/rep

From	To	Name of Firm or Company	Address	Investment Related	Position Held
DocuSign Envelope ID: C5177704-ED5B-480A-9034-2B775E73A181					
10/2015	08/2019	CENTAURUS FINANCIAL INC.	ANAHEIM, CA United States	Yes	REGISTERED REP
07/2007	10/2015	J.P. TURNER & COMPANY, LLC	PALM DESERT, CA United States	Yes	BROKER
01/2003	07/2007	BROOKSTREET SECURITIES CORPORATION	IRVINE, CA United States	Yes	BROKER
02/1998	01/2003	RAYMOND JAMES FINANCIAL SERVICES, INC.	PALM DESERT, CA United States	Yes	NOT PROVIDED
12/1996	12/1997	SPELMAN & CO., INC.	INDIAN WELLS, CA United States	Yes	NOT PROVIDED
09/1996	12/1996	EQUITY NETWORKS	INDIAN WELLS, CA United States	No	PRESIDENT - PRESIDENT
08/1993	12/1996	ASH & CO. INCORPORATED	SAN DIEGO, CA United States	Yes	NOT PROVIDED
08/1985	08/1993	SOMERSET MANOR, INC	SAN LUIS OBISPO, CA United States	No	OTHER - GM HOTELS & RESTAURANTS

### 13. Other Business

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

Yes  No

If 'Yes', please enter details below.

DST WEALTH MANAGEMENT, INVESTMENT RELATED; CALIFORNIA; START DATE: 08/2019; INVESTMENT ADVISOR REPRESENTATIVE; REGISTERED INVESTMENT ADVISOR PROVIDING INVESTMENT ADVICE TO CLIENTS. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 CLUB DRIVE, SUITE B, INDIAN WELLS, CA 92210, ROBERT BINKELE, AS OWNER AND CEO OF ESTATE PLANNING TEAM, WILL SELL A NON-EXLUSIVE MARKETING SUB-LICENSE TO UNAFFILIATED THIRD PARTY BUYER CRAIG SZABO AND HIS AFFILIATED COMPANY, DST ADVISORS INC. THE SUB-LICENSE PERMITS BUYER TO PERFORM TRUSTEE AND/OR OTHER MARKETING RELATED SERVICE IN CONNECTION WITH THE DEFERRED SALES TRUST PROGARM AND SYSTEM, DEVOTED TIME IS 1 HOUR A MONTH. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 INDIAN WELLS DRIVE, SUITE B, INDIAN WELLS, CA 92210, ROBERT BINKELE, AS OWNER AND CEO OF ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, WILL SELL A NON-EXLUSIVE MARKETING SUB-LICENSE TO UNAFFILIATED THIRD PARTY BUYER RYAN O'CONNELL AND HIS AFFILIATED COMPANY, NORTHWEST DST MANAGEMENT GROUP, LLC, THE SUB-LICENSE PERMITS BUYER TO PERFORM TRUSTEE AND/OR OTHER MARKETING RELATED SERVICES IN CONNECTION WITH THE DEFERRED SALES TRUST (TM) PROGRAM AND SYSTEM, PRESIDENT/CEO, SINCE 5/9/2018, DEVOTED TIME IS ONE HOUR A MONTH. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 INDIAN WELLS DRIVE, SUITE B, INDIAN WELLS, CA 92210, ROBERT BINKELE, AS OWNER AND CEO OF ESTATE PLANNING TEAM, WILL SELL A NON-EXLUSIVE MARKETING SUB-LICENSE TO UNAFFILIATED THIRD PARTY BUYER KENT LEFEVRE AND HIS AFFILIATED COMPANY, GUARDIAN DST SERVICES, LLC, THE SUB-LICENSE PERMITS BUYER TO PERFORM TRUSTEE AND/OR OTHER MARKETING RELATED SERVICES IN CONNECTION WITH THE DEFERRED SALES TRUST (TM) PROGRAM AND SYSTEM, PRESIDENT/CEO, SINCE 10/1/2018, DEVOTED TIME IS ONE HOUR A MONTH. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 CLUB DRIVE, SUITE B, INDIAN WELLS, CA 92210, ROBERT BINKELE, AS OWNER AND CEO OF ESTATE PLANNING TEAM, WILL SELL A NON-EXCLUSIVE MARKETING SUBLICENSE TO UNAFFILIATED THIRD PARTY BUYER GREGORY REESE AND HIS AFFILIATED COMPANY, REEFPOINT, LLC, THE SUB-LICENSE PERMITS BUYER TO PERFORM TRUSTEE AND/OR OTHER MARKETING RELATED SERVICE IN CONNECTION WITH THE DEFERRED SALES TRUST (TM) PROGRAM

AND SYSTEM, PRESIDENT/CEO, SINCE 1/9/2018, DEVOTED TIME IS ONE HOUR A MONTH. ESTATE PLANNING TEAM, NON-INVESTMENT RELATED, 45110 CLUB DRIVE, DocuSign Envelope ID: C517704-ED5B-480A-9034-2B775E73A181 SUITE B, INDIAN WELLS, CA 92210, PROVIDES ADMINISTRATIVE, MARKETING AND SUPPORT SERVICES TO ASSIST ITS MEMBERS IN REFERRING CLIENTS FOR VARIOUS TYPES OF ESTATE AND TAX PLANNING PROGRAMS FOR THEIR CLIENTS, FOUNDER/CEO, SINCE 01/2003, DEVOTED TIME IS 150 HOURS A MONTH. GENERAL AGENT, INVESTMENT RELATED, 45110 CLUB DRIVE, SUITE B, INDIAN WELLS, CA 92210, SELL FIXED ANNUITIES AND LIFE PRODUCTS, AGENT, SINCE 10/08/2002, DEVOTED TIME IS 25 HRS A MONTH. TELIBRICK HOSPITALITY NETWORK, President, no compensation, 10 hrs a week. NON-INVESTMENT RELATED, 9120 DOUBLE DIAMOND PKWY., SUITE #1631, RENO, NV 89521, WHOLLY OWNS STOCKS OF ESTATE PLANNING TEAM, PRESIDENT, SINCE 2000, NO DUTIES. B & N MINING, INC, INVESTMENT RELATED, 45110 CLUB DRIVE SUITE B, INDIAN WELLS, CA 92210, 10/01/2021 DEVOTED 8 HOURS A MONTH. 0 HOURS DURING TRADING HOURS. B&N MINING, INC OWNS AND CONTROLS 100% OF B&N MINING LLC AND B&N MINING INFRASTRUCTURE LLC, 10 HRS A WEEK, NO COMPENSATION, MANAGER, PRINCIPAL, CFO, AND 50% OWNER. MANAGER OF B&N MINING, LLC, OWNS 100% OF THE COMMON MEMBERSHIP INTERESTS THROUGH OWNERSHIP OF ITS OWNER. CONDUCTS A PRIVATE OFFERING PURSUANT TO THE EXEMPTION CONTAINED IN RULE 506(C) OF THE REGULATION D OF THE SECURITIES ACT OF 1933 FOR THIS LLC OF ITS PREFERRED MEMBERSHIP INTERESTS IN AN AMOUNT UP TO \$4,000,000 FOR WHICH ROBERT SHALL NOT RECEIVE ANY SELLING COMPENSATION MANAGER OF B&N MINING INFRASTRUCTURE, LLC AND RANDSBURG INN, LLC OWNS 100% OF THE MEMBERSHIP INTERESTS THROUGH THE OWNER OF THE OWNER, NO COMPENSATION.

#### 14. Disclosure Questions

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

##### Criminal Disclosure

**14A. (1) Have you ever:**

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*?    
(b) been *charged* with any *felony*?

**(2) Based upon activities that occurred while you exercised *control* over it, has an organization ever:**

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*?    
(b) been *charged* with any *felony*?

**14B. (1) Have you ever:**

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses?    
(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?

**(2) Based upon activities that occurred while you exercised *control* over it, has an organization ever:**

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)?    
(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)?

##### Regulatory Action Disclosure

**14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:**

(1) *found* you to have made a false statement or omission?    
(2) *found* you to have been *involved* in a violation of its regulations or statutes?    
(3) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked, or restricted?

Yes No

(5) imposed a civil money penalty on you, or *ordered* you to cease and desist from any activity?(6) *found* you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or *found* you to have been unable to comply with any provision of such Act, rule or regulation?(7) *found* you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?(8) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**14D. (1) Has any other Federal regulatory agency or any state regulatory agency or *foreign financial regulatory authority* ever:**

Yes No

(a) *found* you to have made a false statement or omission or been dishonest, unfair or unethical? (b) *found* you to have been *involved* in a violation of *investment-related* regulation(s) or statute(s)? (c) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? (d) entered an *order* against you in connection with an *investment-related* activity? (e) denied, suspended, or revoked your registration or license or otherwise, by *order*, prevented you from associating with an *investment-related* business or restricted your activities? **(2) Have you been subject to any *final order* of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate *federal banking agency*, or the National Credit Union Administration, that:**

Yes No

(a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or

 (b) constitutes a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? **14E. Has any *self-regulatory organization* ever:**

Yes No

(1) *found* you to have made a false statement or omission? (2) *found* you to have been *involved* in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)? (3) *found* you to have been the cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? 

(4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities?

 (5) *found* you to have willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or *found* you to have been unable to comply with any provision of such Act, rule or regulation?

(6) *found* you to have willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the  
Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the  
Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

(7) *found* you to have failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation of any  
provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act  
of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities  
Rulemaking Board?

**14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?**

**14G. Have you been notified, in writing, that you are now the subject of any:**

**Yes No**

(1) regulatory complaint or *proceeding* that could result in a "yes" answer to any part of 14C, D or E? (If "yes", complete the *Regulatory Action*  
Disclosure Reporting Page.)

(2) *investigation* that could result in a "yes" answer to any part of 14A, B, C, D or E? (If "yes", complete the *Investigation* Disclosure Reporting  
Page.)

**Civil Judicial Disclosure**

**14H. (1) Has any domestic or foreign court ever:**

**Yes No**

(a) *enjoined* you in connection with any *investment-related* activity?

(b) *found* that you were *involved* in a violation of any *investment-related* statute(s) or regulation(s)?

(c) dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against you by a state or *foreign financial regulatory*  
*authority*?

**(2) Are you named in any pending *investment-related* civil action that could result in a "yes" answer to any part of 14H(1)?**

**Customer Complaint/Arbitration/Civil Litigation Disclosure**

**14I. (1) Have you ever been named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation  
which alleged that you were *involved* in one or more *sales practice violations* and which:**

**Yes No**

(a) is still pending, or;

(b) resulted in an arbitration award or civil judgment against you, regardless of amount, or;

(c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or;

(d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

**(2) Have you ever been the subject of an *investment-related*, consumer-initiated (written or oral) complaint, which alleged that you  
were *involved* in one or more *sales practice violations*, and which:**

(a) was settled, prior to 05/18/2009 for an amount of \$10,000 or more, or;

(b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more?

**(3) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated, written  
complaint, not otherwise reported under question 14I(2) above, which:**

(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if  
no damage amount is alleged, the complaint must be reported unless the *firm* has made a good faith determination that the damages from the  
alleged conduct would be less than \$5,000), or;



**Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009.**

**(4) Have you ever been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation which alleged that you were *involved* in one or more *sales practice violations*, and which:**

(a) was settled for an amount of \$15,000 or more, or;    
(b) resulted in an arbitration award or civil judgment against any named respondent(s)/defendant(s), regardless of any amount?

**(5) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated arbitration claim or civil litigation not otherwise reported under questions 14I(4) above, which:**

(a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the arbitration claim or civil litigation, must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;    
(b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?



**Termination Disclosure**

14J.	<b>Have you ever voluntarily <i>resigned</i>, been discharged or permitted to <i>resign</i> after allegations were made that accused you of:</b>	<b>Yes</b>	<b>No</b>
	(1) violating <i>investment-related</i> statutes, regulations, rules, or industry standards of conduct?	<input checked="" type="radio"/>	<input type="radio"/>
	(2) fraud or the wrongful taking of property?	<input type="radio"/>	<input checked="" type="radio"/>
	(3) failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?	<input type="radio"/>	<input checked="" type="radio"/>

**Financial Disclosure**

14K. Within the past 10 years:	<b>Yes</b>	<b>No</b>
(1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="radio"/>	<input checked="" type="radio"/>
(2) based upon events that occurred while you exercised <i>control</i> over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition?	<input type="radio"/>	<input checked="" type="radio"/>
(3) based upon events that occurred while you exercised <i>control</i> over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act?	<input type="radio"/>	<input checked="" type="radio"/>

**14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?**

**14M. Do you have any unsatisfied judgments or liens against you?**

**15. Signatures**

Please Read Carefully

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

**15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT**

This section must be completed on all initial or Temporary Registration form filings.

This section must be completed on all initial or Temporary Registration form filings.

#### 15C TEMPORARY REGISTRATION ACKNOWLEDGMENT

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

#### 15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

#### 15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

This section must be completed on all amendment form filings.

#### 15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE

This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

### **15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT**

If an *applicant* has been registered in a *jurisdiction* or self regulatory organization (SRO) in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or SRO if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or SRO requested on this Form U4, while my registration with the *jurisdiction(s)* and/or SRO(s) requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or SRO(s) noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or SRO(s) in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or SRO until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or SRO;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or SRO in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or SRO withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or SRO until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or SRO, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or SRO until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or SRO with respect to any decision by that *jurisdiction* and/or SRO to deny my application for registration.

**Date (MM/DD/YYYY)**

**Signature of Applicant**

**Signature \_\_\_\_\_**

**Date (MM/DD/YYYY)****Signature of Applicant****Signature** \_\_\_\_\_**15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS****Date (MM/DD/YYYY)**

01/09/2026

**Signature of Appropriate Signatory**

EDWARD WOOLERY

**Signature** \_\_\_\_\_**Bankruptcy / SIPC / Compromise with Creditors**

No Information Filed

**Bond DRP**

No Information Filed

**Civil Judicial DRP**

No Information Filed

**Criminal DRP****Check question(s) you are responding to:****Criminal**

Rev. DRP (10/2005)

 14A(1)(a) 14A(2)(a) 14B(1)(a) 14B(2)(a) 14A(1)(b) 14A(2)(b) 14B(1)(b) 14B(2)(b)

Use this DRP to report all charges arising out of the same event. One event may result in more than one affirmative answer to the above items. Multiple counts of the same charge arising out of the same event should be reported on the same DRP. Unrelated criminal actions, including separate cases arising out of the same event, must be reported on separate DRPs.

**Applicable court documents (i.e., criminal complaint, information or indictment as well as judgment of conviction or sentencing documents) must be provided to the CRD if not previously submitted.**

1. If charge(s) were brought against an organization over which you exercise(d) control: Enter Organization Name, whether or not the organization was an *investment-related* business and your position, title or relationship.

2. Formal Charge(s) were brought in: (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

SAN LUIS OBISPO COUNTY MUNICIPAL COURT DOCKET # F-3500

3. Event Disclosure Detail (Use this for both organizational and individual charges.)

A. Date First Charged (MM/DD/YYYY):

07/28/1981  Exact  Explanation

If not exact, provide explanation:

B. Event Disclosure Detail (**include Charge(s)/Charge Description(s), and for each charge provide: 1. number of counts, 2. felony or misdemeanor, 3. plea for each charge, and 4. product type if charge is investment-related**):

1. ONE COUNT. TRANSFER - SELLING NARCOTICS CONTROLLED SUBSTANCE. 2. FELONY 3. NOT GUILTY 4. N/A

C. Did any of the Charge(s) within the Event involve a *Felony*?  Yes  No

D. Current status of the Event?  Pending  On Appeal  Final

E. Event Status Date (complete unless status is Pending) (MM/DD/YYYY):

12/19/1983  Exact  Explanation

If not exact, provide explanation:

4. Disposition Disclosure Detail

Include for each charge, A. Disposition Type [e.g., convicted, acquitted, dismissed, pretrial, etc.], B. Date, C. Sentence/Penalty, D. Duration [if sentence-suspension, probation, etc.], E. Start Date of Penalty, F. Penalty/Fine Amount and G. Date Paid.

A. DISMISSTED B. 12/19/1983 C. NONE D. NONE E. NONE F. NONE G. NONE

5. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the charge(s) as well as the current status or final disposition. Your information must fit within the space provided.

THE COURT FOUND THAT I WAS NOT GUILTY BECAUSE THE CHARGE WAS ONLY THE ASSOCIATION. THE OTHER GUILTY PARTIES DISMISSED ME AS NOT GUILTY.

### Customer Complaint DRP

**Check the question(s) you are responding to, regardless of whether you are answering the question(s) "yes" or amending the answer(s) to "no":**

#### Customer Complaint/Arbitration/Civil Litigation

Rev. DRP (05/2009)

14I(1)(a)  
 14I(1)(b)  
 14I(1)(c)  
 14I(1)(d)

14I(2)(a)  
 14I(2)(b)

14I(3)(a)  
 14I(3)(b)

14I(4)(a)  
 14I(4)(b)

14I(5)(a)  
 14I(5)(b)

[Click here to view question text](#)

One matter may result in more than one affirmative answer to the above items. Use a single DRP to report details relating to a particular matter (i.e., a customer complaint/arbitration/CFTC reparation/civil litigation). Use a separate DRP for each matter.

- Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations and civil litigation in which a customer alleges that you were *involved in sales practice violations* and you are not named as a party, as well as arbitrations/CFTC reparations and civil litigation in which you are named as a party).
- If the matter involves a customer complaint, or an arbitration/CFTC reparation or civil litigation in which a customer alleges that you were *involved in sales practice violations* and you are not named as a party, complete items 7-11 as appropriate.
- If a customer complaint has evolved into an arbitration/CFTC reparation or civil litigation, amend the existing DRP by completing items 9 and 10.
- If the matter involves an arbitration/CFTC reparation in which you are a named party, complete items 12-16, as appropriate.
- If the matter involves a civil litigation in which you are a named party, complete items 17-23.
- Item 24 is an optional field and applies to all event types (i.e., customer complaint, arbitration/CFTC reparation, civil litigation).

Complete items 1-6 for all matters (i.e., customer complaints, arbitrations/CFTC reparations, civil litigation).

1. Customer Name(s):  
Antionie Di Modica
2. A. Customer(s) State of Residence (select "not on list" when the customer's residence is a foreign address):  
California  
B. Other state(s) of residence/detail:
3. Employing *Firm* when activities occurred which led to the customer complaint, arbitration, CFTC reparation or civil litigation:  
CENTAURUS FINANCIAL, INC.
4. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:  
In 2017, the customer sold real property that had appreciated in value. In order to defer paying the capital gains tax that would otherwise have been due upon that sale, the customer entered into an arrangement called a DST, or deferred sales trust, that resulted in the proceeds of the sale being placed in a trust. The trust then signed a promissory note agreeing to pay the customer the amount of the sale, plus interest. The customer now alleges that her decision to utilize the DST was the result of fraudulent representations and negligence, among other things.
5. Product Type(s): (select all that apply)

<input type="checkbox"/> No Product	<input type="checkbox"/> Derivative	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Annuity-Charitable	<input type="checkbox"/> Direct Investment-DPP & LP Interests	<input type="checkbox"/> Oil & Gas
<input type="checkbox"/> Annuity-Fixed	<input type="checkbox"/> Equipment Leasing	<input type="checkbox"/> Options
<input type="checkbox"/> Annuity-Variable	<input type="checkbox"/> Equity Listed (Common & Preferred Stock)	<input type="checkbox"/> Penny Stock
<input type="checkbox"/> Banking Products (other than CDs)	<input type="checkbox"/> Equity-OTC	<input type="checkbox"/> Prime Bank Instrument
<input type="checkbox"/> CD	<input type="checkbox"/> Futures Commodity	<input type="checkbox"/> Promissory Note
<input type="checkbox"/> Commodity Option	<input type="checkbox"/> Futures-Financial	<input type="checkbox"/> Real Estate Security
<input type="checkbox"/> Debt-Asset Backed	<input type="checkbox"/> Index Option	<input type="checkbox"/> Security Futures
<input type="checkbox"/> Debt-Corporate	<input type="checkbox"/> Insurance	<input type="checkbox"/> Unit Investment Trust
<input type="checkbox"/> Debt-Government	<input type="checkbox"/> Investment Contract	<input type="checkbox"/> Viatical Settlement
<input type="checkbox"/> Debt-Municipal	<input type="checkbox"/> Money Market Fund	<input checked="" type="checkbox"/> Other: Deferred Sales Trust

Exact  Explanation (If no damage amount is alleged, the complaint must be reported unless the *firm* has made a good faith determination that the damages from the alleged conduct would be less than \$5,000):  
\$0 (no specific amount is demanded in the Complaint)

If the matter involves a customer complaint, arbitration/CFTC reparation or civil litigation in which a customer alleges that you were *involved in sales practice violations* and you are not named as a party, complete items 7-11 as appropriate.

Note: Report in Items 12-16, or 17-23, as appropriate, only arbitrations/CFTC reparations or civil litigation in which you are named as a party.

7. A. Is this an oral complaint?

Yes  No

B. Is this a written complaint?

Yes  No

C. Is this an arbitration/CFTC reparation or civil litigation?

Yes  No

If yes, provide:

i. Arbitration/reparation forum or court name and location:

Superior Court of the State of California, County of Los Angeles

ii. Docket/Case#:

20STCV40403

iii. Filing date of arbitration/CFTC reparation or civil litigation (MM/DD/YYYY):

01/18/2021

D. Date received by/served on *firm* (MM/DD/YYYY):

06/01/2021  Exact  Explanation

If not exact, provide explanation:

HB SECURITIES, LLC was not named in this action. We were never served in the matter.

8. Is the complaint, arbitration/CFTC reparation or civil litigation pending?

Yes  No

If "No", complete item 9.

9. If the complaint, arbitration/CFTC reparation or civil litigation is not pending, provide status:

<input type="checkbox"/> Closed/No Action	<input type="checkbox"/> Withdrawn	<input type="checkbox"/> Denied	<input checked="" type="checkbox"/> Settled
<input type="checkbox"/> Arbitration Award/Monetary Judgment (for claimants/plaintiffs)			
<input type="checkbox"/> Arbitration Award/Monetary Judgment (for respondents/defendants)			
<input type="checkbox"/> Evolved into Arbitration/CFTC reparation (you are a named party)			
<input type="checkbox"/> Evolved into Civil litigation (you are a named party)			

If status is arbitration/CFTC reparation in which you are not a named party, provide details in item 7C.

DocuSign Envelope ID: C5177704-ED5B-480A-9034-2B775E73A181

If status is arbitration/CFTC reparation in which you are a named party, complete items 12-16.

If status is civil litigation in which you are a named party, complete items 17-23.

10. Status Date (MM/DD/YYYY):

07/18/2024  Exact  Explanation

If not exact, provide explanation:

11. Settlement/Award/Monetary Judgment:

A. Settlement/Award/Monetary Judgment amount:

\$ 358,333.00

B. Your Contribution Amount:

\$ 0.00

If the matter involves arbitration or CFTC reparation in which you are a named respondent, complete items 12-16, as appropriate.

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

B. Docket/Case#:

C. Date notice/process was served (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

13. Is arbitration/ CFTC reparation pending?

Yes  No

If "No", complete item 14.

14. If the arbitration/CFTC reparation is not pending, what was the disposition?

Award to Applicant (Agent/Representative)

Award to Customer

Denied

Dismissed

Judgment (other than monetary)

No Action

Settled

Withdrawn

Other :

15. Disposition Date (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

16. Monetary Compensation Details (award, settlement, reparation amount):

A. Total Amount:

\$

B. Your Contribution Amount:

\$

If the matter involves a civil litigation in which you are a defendant, complete items 17-23.

Federal Court  State Court  Foreign Court  Military Court  Other :

## A. Name of Court:

Superior Court of the State of California, County of Los Angeles

B. Location of Court (City or County and State or Country):

Los Angeles

## C. Docket/Case#:

20STCV40403

## 18. Date notice/process was served (MM/DD/YYYY):

01/18/2021  Exact  Explanation

If not exact, provide explanation:

## 19. Is the civil litigation pending?

Yes  No

If "No", complete item 20.

## 20. If the civil litigation is not pending, what was the disposition?

<input type="checkbox"/> Denied	<input type="checkbox"/> Dismissed	<input type="checkbox"/> Judgment (other than monetary)
<input type="checkbox"/> Monetary Judgment to Applicant (Agent/Representative)		<input type="checkbox"/> Monetary Judgment to Customer
<input type="checkbox"/> No Action	<input checked="" type="checkbox"/> Settled	<input type="checkbox"/> Withdrawn
<input type="checkbox"/> Other :		

## 21. Disposition Date (MM/DD/YYYY):

07/18/2024  Exact  Explanation

If not exact, provide explanation:

## 22. Monetary Compensation Details (judgment, restitution, settlement amount):

## A. Total Amount:

\$ 358,333.00

## B. Your Contribution Amount:

\$ 0.00

## 23. If action is currently on appeal:

## A. Enter date appeal filed (MM/DD/YYYY):

Exact  Explanation

If not exact, provide explanation:

Federal Court  State Court  Foreign Court  Military Court  Other :

i. Name of Court:

ii. Location of Court (City or County and State or Country):

iii. Docket/Case#:

24. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the customer complaint, arbitration/CFTC reparation and/or civil litigation as well as the current status or final disposition(s). Your information must fit within the space provided.

The complaining customer is not, and has never been, a client of Mr. Binkele. Mr. Binkele intends to defend himself against the unfounded allegation that he acted negligently or that he owed or breached any duty to this individual. Neither EPT nor Mr. Binkele was required to contribute toward the settlement.

**Check question(s) you are responding to:**

**Customer Complaint/Arbitration/Civil Litigation**

Rev. DRP (10/2005)

14I(1)(a)

14I(1)(b)

14I(1)(c)

14I(2)

14I(3)(a)

14I(3)(b)

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to one customer complaint/arbitration/civil litigation. Use a separate DRP for each customer complaint/arbitration/civil litigation.

**DRP Instructions:**

- In all matters (i.e., customer complaints, arbitrations/CFTC reparations, civil litigations), complete items 1-6.
- If the matter involves only a customer complaint, also complete items 7-12, as appropriate.
- If the customer complaint has evolved into an arbitration/CFTC reparation or civil litigation, amend the existing DRP by completing items 9 and 10.
- If the matter involves an arbitration or CFTC reparation, complete items 13-19, as appropriate.
- If the matter involves a civil litigation, complete items 20-27.
- Item 28 is an optional field and applies to all event types (i.e., customer complaint, arbitration/CFTC reparation, civil litigation).

Complete items 1-6 for all events.

1. Customer Name(s):  
RAYMOND BROWN

2. Customer(s) State of Residence:  
California  
Other state(s) of residence/detail:

3. Employing Firm when activities occurred which led to the complaint:  
ASH & COMPANY

4. Allegation(s) and a brief summary of events related to the allegation(s) including dates when activities leading to the allegation(s) occurred:  
[CUSTOMER] ALLEGES THAT MR. BINKELE SOLD A VIATICAL AND GUARANTEED RETURN WITHIN A SPECIFIC AMOUNT OF TIME.

5. Principal Product Type:  
Insurance

6. Alleged Compensatory Damage Amount:  
\$ 7,500.00

**If the matter involves only a customer complaint, complete items 7-12, as appropriate.**

7. Date Customer Complaint was received(MM/DD/YYYY):

10/29/1998  Exact  Explanation

If not exact, provide explanation:

8. Is the customer complaint pending?  Yes  No

**If the customer complaint has evolved into an arbitration/CFTC reparation or civil litigation, amend the existing DRP by completing items 9 and 10.**

9. If the customer complaint is not pending, provide status:

If status is settlement, complete items 11 and 12;

If status is arbitration/reparation, complete items 13-19;

If status is litigation, complete items 20-27.

Closed/No Action

Settled

Withdrawn

Arbitration/Reparation

Denied

Litigation

10. Status Date (MM/DD/YYYY):

03/13/2000  Exact  Explanation

If not exact, provide explanation:

11. Settlement Amount (if settled without arbitration, litigation or reparation):

\$

12. Individual Contribution Amount:

\$

**If the matter involves an arbitration or CFTC reparation, complete items 13-19, as appropriate.**

13. Arbitration/Reparation claim filed with FINRA, AAA, NYSE, CBOE, CFTC, etc.) and Docket/Case Number:  
NASD #98-03833

14. Date notice/process was served (MM/DD/YYYY):

11/17/1998  Exact  Explanation

If not exact, provide explanation:

15. Is arbitration/reparation pending?  Yes  No

16. If the arbitration is not pending, what was the disposition?

Award to Customer

Exact  Explanation  
If not exact, provide explanation:

18. Amount of Monetary Compensation (award, settlement, reparation amount):  
\$ 9,467.47

19. Individual Contribution Amount:  
\$ 0.00

**If the matter involves a civil litigation, complete items 20-27.**

20. Court that case was filed in (include name of Federal, Military, State or Foreign Court, Location of Court - City or County and State or Country, Docket/Case number).

21. Date notice/process was served (MM/DD/YYYY):  
 Exact  Explanation  
If not exact, provide explanation:

22. Is the civil litigation pending?  Yes  No

23. If the civil litigation is not pending, what was the disposition?

24. Disposition Date (MM/DD/YYYY):  
 Exact  Explanation  
If not exact, provide explanation:

25. Amount of Monetary Compensation (judgment, restitution, settlement amount):  
\$

26. Individual Contribution Amount:  
\$

27. If the action is currently on appeal enter date appeal filed (MM/DD/YYYY):  
 Exact  Explanation  
If not exact, provide explanation:

28. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the customer complaint, arbitration/CFTC reparation and/or civil litigation as well as the current status or final disposition(s). Your information must fit within the space provided.

**Investigation DRP**

No Information Filed

**Judgment Lien DRP**

No Information Filed

**Regulatory Action DRP**

No Information Filed

**Termination DRP****Check question(s) you are responding to:****Termination**

Rev. DRP (10/2005)

 **14J(1)** **14J(2)** **14J(3)**

One event may result in more than one affirmative answer to the above items. Use only one DRP to report details related to the same termination. Use a separate DRP for each termination reported.

1. Firm Name:aaaa  
RAYMOND JAMES FINANCIAL
2. Termination Type:  
Permitted to Resign
3. Termination Date (MM/DD/YYYY):  
12/31/2002  Exact  Explanation  
If not exact, provide explanation:
4. Allegation(s):  
NO ACTUAL ALLEGATIONS. NUMBER OF CUSTOMER COMPLAINTS EXCEEDED FIRM POLICY. CUSTOMER COMPLAINTS NAMED MR. BINKELE AS BRANCH SUPERVISOR, ONLY.
5. Principal Product Type:  
No Product  
Other Product Types:
6. Comment (Optional). You may use this field to provide a brief summary of the circumstances leading to the termination. Your information must fit within the space provided.  
NO ALLEGATIONS OR ADMITTANCE OF WRONGDOING. NUMBER OF CUSTOMER COMPLAINTS WHICH NAMED MR. BINKELE AS BRANCH SUPERVISOR NOT AS SALES REPRESENTATIVE.

