

BrokerCheck Report

SEAN DONOVAN CASTERLINE

CRD# 2212919

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

SEAN D. CASTERLINE

CRD# 2212919

Currently employed by and registered with the following Firm(s):

IA DELTA ADVISORY GROUP, INC.
 698 N Maitland Avenue
 Suite 201
 Maitland, FL 32751
 CRD# 105966
 Registered with this firm since: 11/26/2002

B DELTA SECURITIES COMPANY, LLC
 696 North Maitland AVENUE
 Maitland, FL 32751
 CRD# 130577
 Registered with this firm since: 05/07/2018

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 7 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):**

- IA GREENLEAF ADVISORS**
 CRD# 172332
 RED BANK, NJ
 10/2015 - 12/2021
- IA DELTA CAPITAL MANAGEMENT, LLC**
 CRD# 128350
 MAITLAND, FL
 01/2004 - 11/2021
- IA AEGIS WEALTH MANAGEMENT, LLC**
 CRD# 199511
 MAITLAND, FL
 03/2016 - 11/2021

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Investigation	1
Customer Dispute	1



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 7 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **DELTA ADVISORY GROUP, INC.**

Main Office Address: **696 N MAITLAND AVENUE
MAITLAND, FL 32751**

Firm CRD#: **105966**

U.S. State/ Territory	Category	Status	Date
IA Florida	Investment Adviser Representative	APPROVED	11/27/2002
IA Pennsylvania	Investment Adviser Representative	APPROVED	01/22/2019
IA South Carolina	Investment Adviser Representative	APPROVED	06/27/2018

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **DELTA SECURITIES COMPANY, LLC**

Main Office Address: **696 NORTH MAITLAND AVENUE
MAITLAND, FL 32751**

Firm CRD#: **130577**

SRO	Category	Status	Date
B FINRA	General Securities Representative	APPROVED	05/07/2018
B FINRA	General Securities Principal	APPROVED	10/10/2018



Broker Qualifications

Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
B Florida	Agent	APPROVED	06/05/2018
B Georgia	Agent	APPROVED	07/23/2021
B Louisiana	Agent	APPROVED	08/10/2020
B Ohio	Agent	APPROVED	01/29/2021
B South Carolina	Agent	APPROVED	04/26/2021
B Texas	Agent	APPROVED	04/13/2021

Branch Office Locations

DELTA SECURITIES COMPANY, LLC

696 North Maitland AVENUE
Maitland, FL 32751

DELTA SECURITIES COMPANY, LLC

698 N MAITLAND AVENUE
SUITE 100
MAITLAND, FL 32751



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/10/2018
B Registered Options Principal Examination	Series 4	03/04/2002

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	11/06/2013

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	10/23/2014
IA Uniform Investment Adviser Law Examination	Series 65	10/10/1994

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Broker Qualifications

Professional Designations

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Analyst

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 10/2015 - 12/2021	GREENLEAF ADVISORS	172332	Orlando, FL
IA 01/2004 - 11/2021	DELTA CAPITAL MANAGEMENT, LLC	128350	LONGWOOD, FL
IA 03/2016 - 11/2021	AEGIS WEALTH MANAGEMENT, LLC	199511	MAITLAND, FL
B 02/2017 - 10/2017	INTERNATIONAL ASSETS ADVISORY, LLC	10645	ORLANDO, FL
B 03/2014 - 01/2017	DELTA SECURITIES COMPANY LLC	145511	ORLANDO, FL
B 11/2013 - 03/2014	STERNE AGEE FINANCIAL SERVICES, INC.	18456	BIRMINGHAM, AL
IA 04/2009 - 10/2009	DYNETECH CAPITAL CORPORATION	149557	LONGWOOD, FL
B 01/2002 - 07/2004	PREMIERRETRADE SECURITIES, INC.	16776	ALTAMONTE SPRINGS, FL
IA 08/2002 - 05/2004	DELTA FIRST FINANCIAL, INC.	16776	LONGWOOD, FL
B 10/2001 - 01/2002	ROAN-MEYERS ASSOCIATES, LP	34171	NEW YORK, NY
B 11/1998 - 10/2001	FAS WEALTH MANAGEMENT SERVICES, INC.	10164	SARASOTA, FL
B 08/1992 - 10/1998	DELTA FIRST FINANCIAL, INC.	16776	ALTAMONTE SPRINGS, FL
B 02/1992 - 05/1992	F.N. WOLF & CO., INC.	13051	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
05/2018 - Present	DELTA SECURITIES COMPANY, LLC	CEO, CCO, REGISTERED REPRESENTATIVE	Y	MAITLAND, FL, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/2012 - Present	TUSCAN GARDENS SENIOR LIVING	MGR/PRIVATE EQUITY CAPITAL RAISE	Y	ORLANDO, FL, United States
10/2003 - Present	DELTA CAPITAL MANAGEMENT LLC	MANAGER/PORTFOLIO MGMT.	Y	MAITLAND, FL, United States
06/2002 - Present	DELTA ADVISORY GROUP, INC.	MANAGER/PORTFOLIO MGMT.	Y	MAITLAND, FL, United States
07/2015 - 11/2021	AEGIS WEALTH MANAGEMENT, LLC	MANAGER/PORTFOLIO MGMT.	Y	MAITLAND, FL, United States
10/2015 - 02/2021	GREENLEAF ADVISORY, LLC	401K PLAN MANAGEMENT	Y	MAITLAND, FL, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) TUSCAN GARDENS SENIOR LIVING - 99 S. New York Ave, Winter Park, FL 32789 - MANAGING DIRECTOR OF PRIVATE EQUITY FOR SENIOR LIVING COMMUNITIES - SINCE 2012 - APPROX 20 HRS/MO - COMPENSATED BY COMMISSIONS AND DEVELOPER FEES
- 2) DELTA CAPITAL MANAGEMENT, LLC 698 N. MAITLAND AVENUE, SUITE 201, MAITLAND, FL 32751 - RIA - PRESIDENT/100% OWNER SINCE 10/2003 - APPROX 80 HRS/MO - SALARY PLUS 1099
- 3) DELTA ADVISORY GROUP, INC. 696 N MAITLAND AVENUE, MAITLAND, FL 32751- RIA - PORTFOLIO MANAGER - SINCE 1/2002 - APPROX 20 HRS/MO - FEE BASED COMPENSATION
- 4) Dylene Holdings, LLC - 698 N. MAITLAND AVE, MAITLAND, FL 32751 - NON INVESTMENT RELATED - REAL ESTATE HOLDING COMPANY - PARTNER SINCE 11/2015 - APPROX 3 HRS/MO
- 5) STORAGE UNITS CAPITAL MANAGEMENT CORPORATION 698 N. MAITLAND AVENUE, SUITE 203, MAITLAND, FL 32751 - REAL ESTATE - STORAGE MANAGEMENT COMPANY - PRESIDENT/100% OWNER SINCE 01/2021 - APPROX 20 HRS/MO - SALARY



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	1	0	N/A
Investigation	1	N/A	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DELTA SECURITIES COMPANY, LLC

Allegations: On or about August 5, 2021, the Company and Mr. Casterline received notice that [REDACTED] had commenced an arbitration proceeding to recover losses of approximately \$175,000 to have incurred from the purchase of securities issued by Tuscan Gardens Growth and Income Fund, LLC. The Company and Mr. Casterline deny any wrongdoing and intend to vigorously defend this action and pursue a counterclaim against [REDACTED] for his misappropriation of and failure to account for funds that Mr. Casterline invested with him.

Product Type: Other: Private Placement

Alleged Damages: \$175,000.00

Arbitration Information

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

Docket/Case #: 21-02008

Date Notice/Process Served: 08/05/2021

Arbitration Pending? Yes



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source:	Broker
Initiated By:	FINRA
Notice Date:	12/14/2021
Details:	Pursuant to FINRA Rule 9216, Respondent Sean D. Casterline submitted a Letter of Acceptance, Waiver, and Consent (AWC) for the purpose of proposing a settlement of alleged rule violations.
Is Investigation pending?	Yes

End of Report



This page is intentionally left blank.