



Kurta Law Files Multiple FINRA Arbitrations Against TPEG Securities Following \$175,000 FINRA Sanction

NEW YORK, NY, UNITED STATES, October 9, 2026 /EINPresswire.com/ -- New investor claims involving Trinity Investors private placements follow FINRA disciplinary findings concerning TPEG Securities' sales materials, customer complaint reporting, and supervisory practices.

Kurta Law, a securities arbitration and litigation law firm representing investors nationwide, announced that it has recently filed multiple FINRA arbitration cases (FINRA Case Nos. 26-01588, 26-01597, and 26-01789) involving TPEG Securities and Trinity-related private placement investments seeking millions of dollars of damages. The firm is also reviewing additional potential investor claims involving private placements associated with Trinity Investors, a Southlake, Texas-based private investment firm.

The recently filed cases concern investments offered through entities affiliated with Trinity Investors and sold through TPEG Securities, LLC, a FINRA-registered broker-dealer. Kurta Law's cases involve allegations concerning the sale and recommendation of private placements, disclosures made to investors, and the supervision of associated financial professionals.

The filings follow a January 26, 2026, FINRA disciplinary action in which TPEG Securities consented to a \$175,000 [fine and censure](#) for violations involving investment sales materials, customer complaint reporting, and supervisory procedures. See FINRA Letter of Acceptance, Waiver, and Consent No. 2021069391001.

Kurta Law Pursuing Multiple Investor Claims Involving Trinity Investments

According to the Statements of Claim filed by Kurta Law's clients, TPEG Securities and/or Trinity Investors and their advisors solicited their customers to invest in numerous private placements using misleading sales presentations and inadequate disclosures. Kurta Law's clients allege that TPEG failed to properly supervise these solicitations and were incentivized to do so by the substantial commissions and fees generated for TPEG and others involved in the offerings.

The firm is examining whether investors received accurate and complete information regarding the investments' financial condition, projected performance, liquidity restrictions, and potential risks before making their investment decisions. Kurta Law is also reviewing the role of TPEG Securities and its associated representatives in recommending and selling these investments, including their compliance with applicable FINRA rules and supervisory obligations.

The firm continues to evaluate additional potential claims involving Trinity-related private placements. Each claim depends on the particular investments, communications, and circumstances involved.

FINRA Fines TPEG Securities \$175,000

On January 26, 2026, FINRA issued a Letter of Acceptance, Waiver and Consent (AWC) addressing TPEG Securities' conduct between September 2018 and May 2024.

According to the AWC, TPEG Securities distributed sales materials containing aggregated internal rates of return (IRRs) and cash multiple values relating to previously completed Trinity Investors transactions.

FINRA also found that certain materials included projected investment performance, including potential IRRs and cash multiples for prospective investments. FINRA determined that these communications violated FINRA Rules 2010 and 2210, which govern standards of commercial conduct and communications with investors. Under FINRA Rule 2210, brokerage firms are generally prohibited from distributing communications containing misleading, exaggerated, or promissory statements or impermissible projections of investment performance.

FINRA Identifies Customer Complaint Reporting and Supervisory Deficiencies

FINRA's disciplinary findings also addressed TPEG Securities' handling of customer complaints involving Trinity-related investments. According to the AWC, TPEG Securities failed to include the required summary and statistical information concerning 15 customer complaints in reports submitted to FINRA. FINRA found that the firm improperly distinguished between complaints involving Trinity Investors and those involving TPEG Securities, despite TPEG's role in selling the investments. The disciplinary action also identified failures to make required disclosures concerning certain customer complaints on the Form U4 registration records of associated representatives.

FINRA further determined that TPEG Securities failed to establish and maintain an adequate supervisory system concerning the identification, classification, and reporting of customer complaints, in violation of FINRA Rule 3110. As part of the settlement, TPEG Securities consented to a \$175,000 fine and censure. According to the AWC, the firm subsequently revised its sales communications and updated its written supervisory procedures.

Trinity Investors and TPEG Private Placements

Trinity Investors is a private investment firm headquartered in Southlake, Texas, with investments spanning real estate, private equity, operating businesses, and alternative investment structures.

TPEG Securities has participated in the sale of private placements associated with Trinity Investors.

Trinity-related investment offerings have included multifamily residential developments, senior living facilities, hotels, commercial properties, and privately held operating businesses.

Among the investment entities identified in materials reviewed by Kurta Law are TPEG Plato Investors LLC, TPEG Star QP Investors, Trinity Golden Triangle Investors LLC, TPEG Proveer SL Investors I LLC, Trinity Gleneagles Investors LLC, Trinity S2 MF Fund I LLC, Trinity S2 MF Fund II LLC, and Trinity Secure Income Fund I LLC. The identification of these entities does not establish misconduct or investor losses involving any particular offering. Private placements generally involve securities that are not registered for public sale and may carry significant risks, including limited liquidity, restricted transferability, and the potential loss of invested capital.

Kurta Law Continues to Evaluate Additional FINRA Claims

In addition to the multiple FINRA arbitration cases recently filed, Kurta Law is reviewing potential claims by other investors who purchased Trinity-related private placements through TPEG Securities or associated financial professionals. These brokers include William Burke, Daniel Meader, Sanjay Chandra, Sandeep Shrivastava.

The firm's investigation includes potential issues concerning investment suitability, representations regarding expected returns, disclosure of material risks, and brokerage supervision. FINRA's disciplinary findings against TPEG Securities do not independently establish liability in any individual investor arbitration. The allegations in Kurta Law's cases remain subject to the applicable arbitration proceedings.

Investors with questions concerning Trinity-related private placements or potential investment losses may contact Kurta Law for a confidential case evaluation.

[About Kurta Law](#)

Kurta Law is a New York-based securities arbitration and litigation firm representing investors nationwide in disputes involving brokerage firms, financial advisors, private placements, and alternative investments. The firm represents investors in FINRA arbitration proceedings and other securities-related matters.

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Media Contact:

Jonathan Kurta, Founding Partner

Kurta Law

295 Madison Avenue, Suite 705

New York, NY 10017

877-600-0098

www.kurtalawfirm.com

info@kurtalawfirm.com

Sources: FINRA BrokerCheck

Jonathan Kurta
Kurta Law
+1 877-600-0098

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