

WEST COAST STOCK TRANSFER INC.

FORM TA-1/A (Amended Transfer Agent Registration)

Filed 10/16/26

Address	721 N. VULCAN AVE. STE. 106 ENCINITAS, CA, 92024
Telephone	6196644780
CIK	0001455353
Fiscal Year	12/31

Form TA-1 Filer Information	UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549 FORM TA-1/A	OMB APPROVAL OMB Number: 3235-0084 Estimated average burden hours per response: 1.5
FORM TA-1/A		

TA-1/A : Filer Information

1(a). Filer CIK:	0001455353
1(b). Filer CCC:	*****
1(c). Is this a LIVE or TEST submission?	☒ Live ☐ Test
1(d). Would you like a Return Copy?	☐ Yes
1(e). Is this filing an amendment to a previous filing?	☒ Yes
1(e)(i). File Number	084-06347

Submission Contact Information

The registrant may provide a single e-mail address for contact purposes.

1(f)(i). Contact Name:	
1(f)(ii). Contact Phone Number:	
1(f)(iii). Contact E-Mail Address:	

Notification Information

The registrant may provide additional e-mail addresses for those persons the filer would like to receive notification e-mails regarding the filing.

1(g). Notification E-mail Address:

TA-1/A : Registrant Information

2. Appropriate regulatory agency (check one):	☒ Securities and Exchange Commission ☐ Federal Deposit Insurance Corporation ☐ Comptroller of the Currency
3(a). Full Name of Registrant:	West Coast Stock Transfer Inc.
3(a)(i). Previous name, if being amended:	
3(b). Financial Industry Number (FINS) number:	339846
3(c). Address of principal office where transfer agent activities are, or will be, performed:	
3(c)(i). Address 1	721 N. VULCAN AVE.
3(c)(ii). Address 2	STE. 106
3(c)(iii). City	ENCINITAS

3(c)(iv). State or Country	CALIFORNIA
3(c)(v). Postal Code	92024
3(d). Is Mailing address different from response to Question 3c? If "yes" provide address(es):	☐ Yes ☒ No
3(e). Telephone Number (Include Area Code)	619-664-4780
4. Does Registrant conduct, or will it conduct, transfer agent activities at any location other than that given in Questions 3(c) above? If "Yes" provide address (es):	☐ Yes ☒ No
5. Does registrant act, or will it act, as a transfer agent solely for its own securities, and/or securities of an affiliate(s)?	☐ Yes ☒ No
6. Has registrant, as a named transfer agent, engaged, or will it engage, a service company to perform any transfer agent functions?	☐ Yes ☒ No
7. Has registrant been engaged, or will it be engaged as a service company by a named transfer agent to perform transfer agent functions?	☒ Yes ☐ No

If "Yes" provide the name(s) and File Number(s) of the named transfer agent(s) for which the registrant has been engaged, or will be engaged, as a service company to perform transfer agent functions:

Engaged transfer agent company information Related to item 7 Record: 1

7(a). Name	ITRANSFER, LLC
7(b). File Number	084-06633
7(c)(i). Address 1	720 N. POST OAK RD.
7(c)(ii). Address 2	STE 400
7(c)(iii). City	HOUSTON
7(c)(iv). State or Country	TEXAS
7(c)(v). Postal Code	77024

TA-1/A : Independent, Non-Issuer Registrant Information

Completion of Question 8 on this form is required by all independent, non-issuer registrants whose appropriate regulatory authority is the Securities and Exchange Commission. Those registrants who are not required to complete Question 8 should select "Not Applicable".

8. Is registrant a:	Corporation
----------------------------	-------------

Section for Initial Registration and for Amendments Reporting Additional Persons.

corporation or partner information Related to item 8 Record: 1

8(a)(i). Full Name	FRANK EDWARD BRICKELL
8(a)(ii). Relationship Start Date	01/23/2009
8(a)(iii). Title or Status	PRESIDENT AND DIRECTOR
8(a)(iv). Ownership Code	E

8(a)(v). Control Person

☒ Yes

8(a)(vi). Relationship End Date

corporation or partner information Related to item 8 Record: 2

8(a)(i). Full Name

MICHAEL EDWARD TOBLER

8(a)(ii). Relationship Start Date

10/28/2019

8(a)(iii). Title or Status

SECRETARY AND DIRECTOR

8(a)(iv). Ownership Code

NA

8(a)(v). Control Person

☒ Yes

8(a)(vi). Relationship End Date

9. Does any person or entity not named in the answer to Question 8:

9(a). directly or indirectly, through agreement or otherwise exercise or have the power to exercise control over the management or policies of applicant, or;....

☐ Yes ☒ No

9(b). wholly or partially finance the business of the applicant, directly or indirectly, in any manner other than by a public offering of securities made pursuant to the Securities Act of 1933 or by credit extended in the ordinary course of business by suppliers, banks and others?.....

☐ Yes ☒ No

TA-1/A : 10. Applicant and Control Affiliate Disciplinary History

The following definitions apply for purposes of answering this Question 10

Control
Affiliate

- An individual or firm that directly or indirectly controls, is under common control with, or is controlled by applicant. Included are any employees identified in 8(a), 8(b), 8(c) of this form as exercising control. Excluded are any employees who perform solely clerical, administrative support of similar functions, or who, regardless of title, perform no executive duties or have no senior policy making authority.

Investment or
investment
related

- Pertaining to securities, commodities, banking, insurance, or real estate (including, but not limited to, acting as or being associated with a broker dealer, investment company, investment adviser, futures sponsor, bank, or savings and loan association).

Involved

- Doing an act of aiding, abetting, counseling, commanding, inducing, conspiring with or failing reasonably to supervise another in doing an act.

10(a). In the past ten years has the applicant or a control affiliate been convicted of or plead guilty or nolo contendere ("no contest") to:

10(a)(1). a felony or misdemeanor involving: investments or an investment-related business, fraud, false statements or omissions, wrongful taking of property, or bribery, forgery, counterfeiting, or extortion?

☐ Yes ☒ No

10(a)(2). any other felony?

☐ Yes ☒ No

10(b). Has any court in the past ten years:

10(b)(1). enjoined the applicant or a control affiliate in connection with any investment-related activity?

☐ Yes ☒ No

10(b)(2). found that the applicant or control affiliate was involved in a violation of investment-related statutes or regulations?

☐ Yes ☒ No

10 (c). Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:

10(c)(1). found the applicant or control affiliate to have made a false statement or omission?

☐ Yes ☒ No

10(c)(2). found the applicant or control affiliate to have been involved in a violation of its regulation or statutes?

☐ Yes ☒ No

10(c)(3). found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted?

☐ Yes ☒ No

10(c)(4). entered an order denying, suspending or revoking the applicant's or control affiliate's registration or otherwise disciplined it by restricting its activities?

☐ Yes ☒ No

10(d). Has any other Federal regulatory agency or any state regulatory agency :

10(d)(1). ever found the applicant or control affiliate to have made a false statement or omission or to have been dishonest, unfair, or unethical?

☐ Yes ☒ No

10(d)(2). ever found the applicant or control affiliate to have been involved in a violation of investment-related regulations or statutes?

☐ Yes ☒ No

10(d)(3). ever found the applicant or control affiliate to have been a cause of an investment-related business having its authorization to do business Denied, suspended, revoked or restricted?

☐ Yes ☒ No

10(d)(4). in the past ten years entered an order against the applicant or control affiliate in connection with investment-related activity?

☐ Yes ☒ No

10(d)(5). ever denied, suspended, or revoked applicant's or control affiliate's registration or license, or prevented it from associating with an investment-related business, or otherwise disciplined it by restricting its activities?

☒ Yes ☐ No

Entity information Related to item 10(d)(5) Record: 1

10(d)(5)(i). The individuals named in the

Frank Edward Brickell

Action

10(d)(5)(ii). Title of Action

10(d)(5)(iii). Date of Action

10(d)(5)(iv). The Court or body taking the Action and its location

10(d)(5)(v). Description of the Action

10(d)(5)(vi). The disposition of the proceeding

10(d)(6). ever revoked or suspended the applicant's or a control affiliate's license as an attorney or accountant?

Order of Revocation, Illinois Securities Department File No. 1300385
04/07/2014
Illinois Secretary of State, Securities Department
On November 12, 2013, the Illinois Securities Department issued a Notice of Hearing to revoke Frank Edward Brickell's Illinois salesperson registration under Section 8.E(1)(j) of the Illinois Securities Law of 1953, based solely on his FINRA suspension under AWC No. 2010022543701 (described in 10(e)). The action did not involve any conduct in Illinois or any Illinois residents.
Mr. Brickell did not contest the proceeding because of the time and expense of a hearing. The Order of Revocation is final.

☐ Yes ☒ No

10(e). Has any self-regulatory organization or commodities exchange ever:

10(e)(1). found the applicant or a control affiliate to have made a false statement or omission?

10(e)(2). found the applicant or a control affiliate to have been involved in a violation of its rules?

☐ Yes ☒ No

☒ Yes ☐ No

Entity information Related to item 10(e)(2) Record: 1

10(e)(2)(i). The individuals named in the Action

10(e)(2)(ii). Title of Action

10(e)(2)(iii). Date of Action

10(e)(2)(iv). The Court or body taking the Action and its location

10(e)(2)(v). Description of the Action

10(e)(2)(vi). The disposition of the proceeding

FRANK EDWARD BRICKELL
Complaint, FINRA Disciplinary Proceeding No. 2005000075703
03/31/2008
Financial Industry Regulatory Authority (FINRA) - Self Regulatory Organization
FINRA's Department of Enforcement alleged that, from August 2004 through March 2005, Frank Edward Brickell, as a registered representative of World Trade Financial Corporation, sold unregistered shares on behalf of customers in violation of Section 5 of the Securities Act of 1933 and NASD Rule 2110. A FINRA Hearing Panel found the violations in a decision dated May 1, 2009, amended May 12, 2009. The National Adjudicatory Council affirmed on March 3, 2011, the SEC sustained the findings and sanctions on January 6, 2012, and the U.S. Court of Appeals for the Ninth Circuit denied review on January 16, 2014.
Final April 16, 2014. Fined \$15,000; suspended in all capacities for 30 business days (May 19 - June 30, 2014); costs of \$7,661.68 jointly and severally. See 10(e)(4).

Entity information Related to item 10(e)(2) Record: 2

10(e)(2)(i). The individuals named in the Action

10(e)(2)(ii). Title of Action

10(e)(2)(iii). Date of Action

FRANK EDWARD BRICKELL
Letter of Acceptance, Waiver and Consent No. 2010022543701
03/08/2013

10(e)(2)(iv). The Court or body taking the Action and its location

Financial Industry Regulatory Authority (FINRA) - Self Regulatory Organization

10(e)(2)(v). Description of the Action

Without admitting or denying the findings, Frank Edward Brickell consented to findings that World Trade Financial Corporation, acting through him as registered representative of record and Chief Compliance Officer, sold unregistered penny stock of at least twelve issuers on behalf of a customer in contravention of Section 5 of the Securities Act of 1933, and violated FINRA Rules 2010 and 3310(a) and NASD Rules 3010, 3011(a), and 3012, including deficiencies in supervisory and anti-money laundering procedures.

10(e)(2)(vi). The disposition of the proceeding

Fined \$40,000 and suspended from association with any FINRA member in any capacity for nine months (August 9, 2013 through May 8, 2014). See 10(e)(4).

10(e)(3). found the applicant or a control affiliate to have been the cause of an investment-related business losing its authorization to do business?

☐ Yes ☒ No

10(e)(4). disciplined the applicant or a control affiliate by expelling or suspending it from membership, by barring or suspending its association with other members, or by otherwise restricting its activities?

☒ Yes ☐ No

Entity information Related to item 10(e)(4) Record: 1

10(e)(4)(i). The individuals named in the Action

FRANK EDWARD BRICKELL

10(e)(4)(ii). Title of Action

FINRA Disciplinary Proceeding No. 2005000075703

10(e)(4)(iii). Date of Action

04/16/2014

10(e)(4)(iv). The Court or body taking the Action and its location

Financial Industry Regulatory Authority (FINRA) - Self Regulatory Organization

10(e)(4)(v). Description of the Action

Suspension from association with any FINRA member in any capacity for 30 business days (May 19 through June 30, 2014), imposed in the proceeding described in 10(e)(2), Record 1.

10(e)(4)(vi). The disposition of the proceeding

Final

Entity information Related to item 10(e)(4) Record: 2

10(e)(4)(i). The individuals named in the Action

FRANK EDWARD BRICKELL

10(e)(4)(ii). Title of Action

AWC No. 2010022543701

10(e)(4)(iii). Date of Action

03/08/2013

10(e)(4)(iv). The Court or body taking the Action and its location

Financial Industry Regulatory Authority (FINRA) - Self Regulatory Organization

10(e)(4)(v). Description of the Action

Suspension from association with any FINRA member in any capacity for nine months (August 9, 2013 through May 8, 2014), imposed in the AWC described in 10(e)(2), Record 2.

10(e)(4)(vi). The disposition of the proceeding

Final

Entity information Related to item 10(e)(4) Record: 3

10(e)(4)(i). The individuals named in the

FRANK EDWARD BRICKELL

Action

10(e)(4)(ii). Title of Action

10(e)(4)(iii). Date of Action

10(e)(4)(iv). The Court or body taking the Action and its location

10(e)(4)(v). Description of the Action

10(e)(4)(vi). The disposition of the proceeding

10(f). Has any foreign government, court, regulatory agency or exchange ever entered an order against the applicant or a control affiliate related to investments or fraud?

10(g). Is the applicant or a control affiliate now the subject of a proceeding that could result in a yes answer for questions 10(a) – 10(f) ?

10(h). Has a bonding company denied, paid out on, or revoked a bond for the applicant or a control affiliate?

10(i). Does the applicant or a control affiliate have any unsatisfied judgments or liens against it?

Revocation under FINRA Rule 8320
04/10/2015
Financial Industry Regulatory Authority (FINRA) - Self Regulatory Organization
Pursuant to FINRA Rule 8320, FINRA revoked the registration of Frank Edward Brickell as of the close of business on April 10, 2015, for failure to pay fines and/or costs of \$15,000 in FINRA Case No. 2005000075703.
Final

☐ Yes ☒ No

☐ Yes ☒ No

☐ Yes ☒ No

☐ Yes ☒ No

TA-1/A : Signature

ATTENTION: INTENTIONAL MISSTATEMENTS OR OMISSIONS OF FACT CONSTITUTE FEDERAL CRIMINAL VIOLATIONS. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a)

SIGNATURE: The registrant submitting this form, and as required, the SEC supplement and Schedules A-D, And the executing official hereby represent that all the information contained herein is true, correct and complete.

11(a). Signature of Official responsible for Form:

FRANK BRICKELL

11(b). Telephone Number:

619-664-4783

11(c). Title of Signing Officer:

PRESIDENT

11(d). Date Signed (Month/Day/Year):

10/15/2026