



**Quent
Capital**

Gregg Fisher

Brochure Supplement | June 15, 2024

Gregg S. Fisher, CFA®, CFP®
Quent Capital, LLC
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This Brochure Supplement provides information about Gregg S. Fisher that supplements the Quent Capital, LLC Brochure. You should have received a copy of that Brochure. Please contact Joshua Seward, Chief Compliance Officer of Quent Capital, LLC, if you did not receive the Brochure or if you have any questions about the contents of this supplement.

Additional information about Gregg S. Fisher is available on the SEC's website at
www.adviserinfo.sec.gov.

Gregg S. Fisher

Item 2 - Educational Background and Business Experience

Gregg Fisher, CFA®, CFP® (b. 1970) is a Manager Member and Portfolio Manager of Quent Capital. Mr. Fisher founded the firm in 2018. Prior to founding Quent Capital, Mr. Fisher served as founder, portfolio manager and head of research of Gerstein Fisher, an independent asset management firm that he founded in 1993.

Gregg Fisher is the founder of investment advisory firm Gerstein Fisher, and a financial services executive with over 30 years of expertise in investment research and portfolio management. In 2016, with over \$4 billion in assets under management and advisement, Gregg led the sale of Gerstein Fisher to People's United Bank, expanding the bank into systematic investing. Gregg served as portfolio manager for the Gerstein Fisher Multi Factor Equity Funds, which he had founded and managed from their inception until the Fund's liquidation in early 2020. Gregg also served as Head of Research and Portfolio Strategy for the bank until stepping down in November 2019 to start Quent Capital, expand his family office, and further develop the Quent Long Short Global Small Cap Fund.

A pioneer of factor investing, Gregg developed Gerstein Fisher's proprietary Multi-Factor® investment strategies that he used to construct globally diversified portfolios. These included domestic and international funds that brought factor investing to the growth sector, as well as one of the world's first quantitative Global REIT funds.

In 2009, Gregg founded the Gerstein Fisher Research Center to bridge theoretical research concepts with real-world challenges facing individual investors. Partnering with leading academics in the areas of finance, risk management, and economics, he spearheaded numerous research projects in areas such as momentum, valuation and analyst growth models, and global investing.

Gregg has served as a guest lecturer for the State University of New York at Buffalo, New York University, Columbia, McCombs School of Business at the University of Texas at Austin, Cornell Business School, and Harvard University amongst others. In 2018, he was named to The University of Buffalo's Board of Trustees, and currently serves as the Chair of the UB Foundation's Investment Committee. In 2019, Gregg established the Fisher Research Collaborative within the university's School of Management to support data-driven interdisciplinary research. Gregg is an active member of The Q-Group, (The Institute for Quantitative Research in Finance) and is a member of the program committee.

He remains a sought-after financial expert and thought leader, appearing in *The Wall Street Journal*, *The Financial Times*, *Fortune*, *Business Week*, *The New York Times*, CNN, CNBC, and MSNBC. As creator and host of the podcast *The Q Factor with Gregg Fisher*, he leads probing conversations with leading quantitative thinkers on how the modern world is being driven, optimized, and impacted by data.

He holds a degree in finance from the State University of New York at Buffalo and obtained a certificate in financial planning from New York University. Gregg is also a CFA charter holder.



Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

While Mr. Fisher is a licensed insurance producer, he does not actively market this fact. From time to time, a client, colleague, or acquaintance may request his advice with respect to insurance matters, and Mr. Fisher may occasionally provide his assistance. While generally immaterial, this is being disclosed out of an abundance of caution and in accordance with the instructions to Form ADV. To the extent that Mr. Fisher recommends that a client purchase insurance, he stands to receive a commission. This presents a conflict of interest, because the commission is contingent on the sale of a product, and not necessarily the client's need. No client is under any obligation to purchase any insurance from Mr. Fisher. Clients are reminded that they may purchase insurance through other insurance producers.

Mr. Fisher is a Strategic Advisor for a broker dealer and in this consulting role is a permissively-registered individual. This does not present any conflict of interest with his clients as his role is one that does not include securities or investment banking activities.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

Quent Capital provides investment advisory and supervisory services in accordance with Quent Capital's policies and procedures manual. The primary purpose of Quent Capital's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). Quent Capital's Chief Compliance Officer, Joshua Seward, is primarily responsible for the implementation of Quent Capital's policies and procedures and overseeing the activities of Quent Capital's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of Quent Capital have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding Quent Capital's supervision or compliance practices, please contact Mr. Seward at (212) 796-0707.





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Joshua D. Seward

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Additional information about Joshua D. Seward is available on the SEC's website at www.adviserinfo.sec.gov.

Joshua D. Seward

Item 2 - Educational Background and Business Experience

Joshua D. Seward, CFA®, CPA (b. 1991) is a Managing Director & Chief Operating Officer of Quent Capital. Prior to Quent Capital, Mr. Seward served as Chief Operating Officer of Fisher Family Ventures. Joshua was also a Senior Consultant with Deloitte.

He holds a degree in accounting and MS from the State University of New York at Buffalo. Joshua is also a CFA charter holder and a Certified Public Accountant (CPA).

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

Joshua, in his individual capacity, is a certified public accountant, and may recommend his tax preparation and/or accounting services. To the extent a client determines to engage Joshua to provide tax preparation and/or accounting services, such services shall be provided by him in his individual capacity as a certified public accountant, independent of Quent Capital. Quent Capital shall receive no portion of fees charged by Joshua for such services.

Conflict of Interest: The recommendation by Joshua that a client elect his accounting services presents a ***conflict of interest***, as the receipt of fees for accounting services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Joshua for accounting services. Clients are reminded that they may elect to obtain accounting services recommended by Quent Capital through other non-affiliated certified public accountants.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

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Keri R. Primack

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This Brochure Supplement provides information about Keri R. Primack that supplements the Quent Capital, LLC Brochure. You should have received a copy of that Brochure. Please contact Joshua Seward, Chief Compliance Officer of Quent Capital, LLC, if you did not receive the Brochure or if you have any questions about the contents of this supplement.

Additional information about Keri R. Primack is available on the SEC's website at
www.adviserinfo.sec.gov.

Keri R. Primack

Item 2 - Educational Background and Business Experience

Keri R. Primack, CFP® (b. 1971) is a Managing Director & Senior Private Client Advisor of Quent Capital. Prior to Quent Capital, Ms. Primack served as Senior Vice President, Senior Private Client Advisor of People's United Advisor. Keri was also a Senior Vice President, Senior Private Client Advisor with Gerstein Fisher & Associates, Inc.

She holds a degree in Business Economics from the State University of New York at Oneonta. Keri also obtained a certificate in financial planning.

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

Keri, in her individual capacity, is a licensed insurance agent, and may recommend her accounting services. To the extent a client determines to engage Keri to provide accounting services, such services shall be provided by her in her individual capacity as a licensed insurance agent, independent of Quent Capital. Quent Capital shall receive no portion of fees charged by Keri for such insurance services.

Conflict of Interest: The recommendation by Keri that a client elect her insurance services, presents a ***conflict of interest***, as the receipt of fees for insurance services may provide an incentive to recommend such services, rather than recommending such services based upon a particular client's needs. No client is under any obligation to utilize Keri for insurance services. Clients are reminded that they may elect to obtain insurance services recommended by Quent Capital through other non-affiliated insurance agencies.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

Quent Capital provides investment advisory and supervisory services in accordance with Quent Capital's policies and procedures manual. The primary purpose of Quent Capital's Rule 206(4)-7 policies and procedures is to comply with the supervision requirements of Section 203(e)(6) of the Investment Advisers Act of 1940 (the "Act"). Quent Capital's Chief Compliance Officer, Joshua Seward, is primarily responsible for the implementation of Quent Capital's policies and procedures and overseeing the activities of Quent Capital's supervised persons. Should an employee, independent contractor, investment adviser representative, or promoter of Quent Capital have any questions regarding the applicability/relevance of the Act, the Rules thereunder, any section thereof, or any section of the policies and procedures, he/she should address those questions with the Chief Compliance Officer. Should a client have any questions regarding Quent Capital's supervision or compliance practices, please contact Mr. Seward at (212) 796-0707.





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Sanjeev Pati

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Additional information about Sanjeev Pati is available on the SEC's website at
www.adviserinfo.sec.gov.

Sanjeev Pati

Item 2 - Educational Background and Business Experience

Sanjeev Pati, CFA® (b. 1987) is a Portfolio Manager Director & Senior Research Analyst of Quent Capital. Prior to Quent Capital, Mr. Pati served as Senior Research Analyst, Head of Quantitative Portfolio Implementation of People's United Advisor. Sanjeev was also a Research Analyst with Gerstein Fisher & Associates, Inc.

He holds a degree in BTech in Mechanical Engineering from Manipal University, India. Sanjeev also holds an MS degree in Operations Research from Columbia University.

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

Sanjeev does not have any other business activity.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

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William Albert Jollie

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Additional information about William Albert Jollie is available on the SEC's website at
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William Albert Jollie

Item 2 - Educational Background and Business Experience

William Albert Jollie (b. 1976) is President, Co-Head of Portfolio & Wealth Advisory at Quent Capital. Before his tenure at Quent, Bill held the position of Director at Wilmington Trust, where he managed the firm's Investment Operations following their acquisition of Peoples United Bank, previously Gerstein Fisher. During his time at Peoples & Gerstein Fisher, he was pivotal as the Head of Wealth Administration & Investment Operations. His responsibilities encompassed investment operations, trading, client service, and technology integration, showcasing his comprehensive leadership in wealth management. Mr. Jollie holds FINRA 7, 24, 31, & 66 registrations.

Bill earned his MBA from Villanova University and holds a BS in Finance from the University of Scranton, underscoring his solid foundation in financial management, Investment and overall business strategy.

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

None.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

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Robert Steven Ostrower

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Additional information about Robert Steven Ostrower is available on the SEC's website at
www.adviserinfo.sec.gov.

Robert Steven Ostrower

Item 2 - Educational Background and Business Experience

Robert Steven Ostrower (b. 1999) is a part of the Client Advisory Team at Quent Capital. Prior to Quent Capital, post-graduation from University of Texas, Mr. Ostrower was a Financial Analyst with American Express.

He holds a degree in Finance & Accounting from University of Texas. Mr. Ostrower also holds his FINRA Series 65 license.

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

Mr. Ostrower does not have any outside business activities.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

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Abhijit Ashok Naik

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Additional information about Abhijit Ashok Naik is available on the SEC's website at www.adviserinfo.sec.gov.

Abhijit Ashok Naik

Item 2 - Educational Background and Business Experience

Abhijit Ashok Naik, CFA® (b. 1978) is a Senior Global Quantitative Researcher and Data Strategist of Quent Capital. Prior to Quent Capital, Mr. Naik previously worked for Rydberg Roche pte. Ltd in Singapore as a Managing Director. Abhijit also held senior positions in credit and risk with Fund Fina Technologies and American Express.

He holds a degree in Civil Engineering from the Indian Institute of Technology, Bombay, an MBA from the Indian Institute of Management Ahmedabad and a post graduate diploma in physics from King's College of London. Mr. Naik is also a CFA charter holder.

Item 3 - Disciplinary Information

None.

Item 4 - Other Business Activities

Mr. Naik is also employed with Green Day Motors and Traders DMCC located in Dubai, United Arab Emirates as a Non-Executive Director. He has been in this position since September 2022 and this role does not present any conflicts in his role with Quent Capital.

Item 5 - Additional Compensation

None.

Item 6 - Supervision

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Information About Designations

When CFA® designates an international professional certificate that is offered by the CFA Institute.

The Chartered Financial Analyst® (CFA®) charter is a globally respected, graduate-level investment credential established in 1962 and awarded by CFA Institute — the largest global association of investment professionals.

There are currently more than 170,000 CFA® Charterholders working in over 170 countries and regions. To earn the CFA® charter, candidates must: (1) pass three sequential, six-hour examinations; (2) have at least four years of qualified professional investment experience; (3) join CFA Institute as members; and (4) commit to abide by, and annually reaffirm, their adherence to the CFA Institute Code of Ethics and Standards of Professional Conduct.

High Ethical Standards

The CFA Institute Code of Ethics and Standards of Professional Conduct, enforced through an active professional conduct program, require CFA® Charterholders to:

- Place their clients' interests ahead of their own
- Maintain independence and objectivity
- Act with integrity
- Maintain and improve their professional competence
- Disclose conflicts of interest and legal matters

Global Recognition

Passing the three CFA exams is a difficult feat that requires extensive study (successful candidates report spending an average of 300 hours of study per level). Earning the CFA® charter demonstrates mastery of many of the advanced skills needed for investment analysis and decision making in today's quickly evolving global financial industry. As a result, employers and clients are increasingly seeking CFA® Charterholders —often making the charter a prerequisite for employment. Additionally, regulatory bodies in 38 countries/territories recognize the CFA® charter as a proxy for meeting certain licensing requirements, and more than 466 colleges and universities around the world have incorporated a majority of the CFA Program curriculum into their own finance courses.

Comprehensive and Current Knowledge

The CFA Program curriculum provides a comprehensive framework of knowledge for investment decision making and is firmly grounded in the knowledge and skills used every day in the investment profession. The three levels of the CFA Program test a proficiency with a wide range of fundamental and advanced investment topics, including ethical and professional standards, fixed-income and equity analysis, alternative and derivative investments, economics, financial reporting standards, portfolio management, and wealth planning.



The CFA Program curriculum is updated every year by experts from around the world to ensure that candidates learn the most relevant and practical new tools, ideas, and investment and wealth management skills to reflect the dynamic and complex nature of the profession.

Certified Financial Planner Board of Standards, Inc. ("CFP Board")

Professionals at our Firm are certified for financial planning services in the United States by Certified Financial Planner Board of Standards, Inc. ("CFP Board"). Therefore, they may refer to themselves as a CERTIFIED FINANCIAL PLANNER™ professional or a CFP® professional, and I may use these and CFP Board's other certification marks (the "CFP Board Certification Marks"). The CFP® certification is voluntary. No federal or state law or regulation requires financial planners to hold the CFP® certification. You may find more information about the CFP® certification at www.cfp.net.

CFP® professionals have met CFP Board's high standards for education, examination, experience, and ethics. To become a CFP® professional, an individual must fulfill the following requirements:

- **Education** – Earn a bachelor's degree or higher from an accredited college or university and complete CFP Board-approved coursework at a college or university through a CFP Board Registered Program. The coursework covers the financial planning subject areas CFP Board has determined are necessary for the competent and professional delivery of financial planning services, as well as a comprehensive financial plan development capstone course. A candidate may satisfy some of the coursework requirement through other qualifying credentials.
- **Examination** – Pass the comprehensive CFP® Certification Examination. The examination is designed to assess an individual's ability to integrate and apply a broad base of financial planning knowledge in the context of real-life financial planning situations.
- **Experience** – Complete 6,000 hours of professional experience related to the personal financial planning process, or 4,000 hours of apprenticeship experience that meets additional requirements.
- **Ethics** – Satisfy the Fitness Standards for Candidates for CFP® Certification and Former CFP® Professionals Seeking Reinstatement and agree to be bound by CFP Board's Code of Ethics and Standards of Conduct ("Code and Standards"), which sets forth the ethical and practice standards for CFP® professionals.

Individuals who become certified must complete the following ongoing education and ethics requirements to remain certified and maintain the right to continue to use the CFP Board Certification Marks:

- **Ethics** – Commit to complying with CFP Board's Code and Standards. This includes a commitment to CFP Board, as part of the certification, to act as a fiduciary, and therefore, act in the best interests of the client, at all times when providing financial advice and financial planning. CFP Board may sanction a CFP® professional who does



not abide by this commitment, but CFP Board does not guarantee a CFP® professional's services. A client who seeks a similar commitment should obtain a written engagement that includes a fiduciary obligation to the client.

- **Continuing Education** – Complete 30 hours of continuing education every two years to maintain competence, demonstrate specified levels of knowledge, skills, and abilities, and keep up with developments in financial planning. Two of the hours must address the Code and Standards.

CPAs are licensed and regulated by their state boards of accountancy. While state laws and regulations vary, the education, experience and testing requirements for licensure as a CPA generally include minimum college [education](#) (typically 150 credit hours with at least a baccalaureate degree and a concentration in accounting), minimum [experience](#) levels (most states require at least one year of experience providing services that involve the use of accounting, attest, compilation, management advisory, financial advisory, tax or consulting skills, all of which must be achieved under the supervision of or verification by a CPA), and successful passage of the Uniform CPA Examination. In order to maintain a CPA license, states generally require the completion of 40 hours of continuing professional education (CPE) each year (or 80 hours over a two-year period or 120 hours over a three-year period). Additionally, all American Institute of Certified Public Accountants (AICPA) members are required to follow a rigorous *Code of Professional Conduct* which requires that they act with integrity, objectivity, due care, competence, fully disclose any conflicts of interest (and obtain client consent if a conflict exists), maintain client confidentiality, disclose to the client any commission or referral fees, and serve the public interest when providing financial services. The vast majority of state boards of accountancy have adopted the AICPA's *Code of Professional Conduct* within their state accountancy laws or have created their own. In addition to the *Code of Professional Conduct*, AICPA members who provide personal financial planning services are required to follow the *Statement on Standards in Personal Financial Planning Services* (SSPFPS).

