

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

ADMINISTRATIVE PROCEEDING

File No. 3-22307

In the Matter of

**EPIC CAPITAL WEALTH
ADVISORS, LLC,**

Respondent.

**DIVISION OF ENFORCEMENT'S
NOTICE OF FILING**

Pursuant to the oral order entered by the Court on June 10, 2025, the Division of Enforcement ("Division") respectfully submits this notice of filing of the Parties' Joint Hearing Exhibit List and the Division's admitted exhibits.

Respectfully submitted this 17th day of June, 2025.

/s/ James P. McDonald

James P. McDonald
Trial Counsel
Division of Enforcement
U.S. Securities and Exchange Commission
1961 Stout Street, Ste. 1700
Denver, CO 80294

CERTIFICATE OF SERVICE

I hereby certify that a true copy of the foregoing was served on the following on June 17, 2025, in the manner indicated below:

Epic Capital Wealth Advisors, LLC (via email)
c/o Mr. David Anthony
dave@epiccapitalwealth.com

/s/ James P. McDonald _____
Division of Enforcement
Securities and Exchange Commission

In the Matter of Epic Capital Wealth
AP File No. 3-22307
Administrative Hearing Joint Exhibit List- Admitted Exhibits

Division Exh No.	DATE	EXHIBIT DESCRIPTION	OFF.	ADM.	Bate Stamp	Hearing Transcript
1	9/24/2024	Epic Capital Wealth Advisors Form ADV	X	X	NA	353:10-13
2	10/2/2024	Epic Capital Wealth Advisors Amended Form ADV	X	X	NA	376:2-6
3	10/25/2024	Epic Capital Wealth Advisors Amended Form ADV	X	X	NA	387:17-20
4	4/17/2023	Order of Permanent Injunction and Other Relief in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	323:4-8
5	3/1/2022	Complaint in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	211:15-20
6	3/2/2022	TRO, Asset Freeze, and Related Order in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	215:24-216:4
9	5/9/2022	Order Appointing Receiver in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	227:17-22
12	1/5/2023	Memorandum of Settlement Terms in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	SEC-EMAIL-E-0000201-202	283:14-18
13	1/23/2023	Plaintiff's Motion to Enforce Settlement Agreement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	313:10-15
14	1/26/2023	Defendant's Motion to Set Aside Mediator Settlement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	314:15-20
15	1/30/2023	Plaintiff's Combined Reply in Support of Motion to Enforce Settlement Agreement and Opposition to Motion to Set Aside Mediator Settlement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	315:6-11
16	2/6/2023	Defendant's Reply in Support of Motion to Set Aside Mediator Settlement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	315:20-24
17	2/28/2023	Order Regarding Settlement Agreement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	317:24-318:4

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19	4/17/2023	Order Denying Defendant's Motion to Set Aside Mediator Settlement in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO District Court; Case No. 22cv30574	X	X	NA	318:21-219:4
20	7/14/2023	Order of the Court Dismissing Appeal in <i>Tung Chan v. David M. Anthony, et al</i> ; Denver, CO Court of Appeals; Case No. 2023CA1055	X	X	NA	328:6-10
21	5/3/2023	Findings of Fact and Conclusions of Law Order <i>In the Matter of Anthony Capital, LLC and David M. Anthony</i> ; State of Colorado Securities Commissioner; Case No 2023-CDS-10	X	X	SEC-EMAIL-E-0000198-200	327:3-8
23	6/23/2021	Transcript of Audio Recording, Colorado Division of Securities, In the Matter of Anthony Capital, LLC	X	X	SEC-CDOS-E-0002282-2479	410:6-11
24	2/6/2021	Anthony Capital Alternative Investments Income V Fund, LLC Confidential Private Placement Offering Memorandum	X	X	SEC-CDOS-E-0001056-1077	300:17-21
25	12/1/2023	Anthony Capital LLC, Form ADV	X	X	NA	57:3-8
27	9/8/2022	Certificate of Organization of Epic Capital Wealth Advisors LLC	X	X	NA	329:14-18
29	1/7/2023	Email from Dave Anthony to Otto Hilbert re Harbor city notice- Alabama & Reasons to rescind the order	X	X	NA	304:18-23
33	12/5/2023	Certificate of Organization of Anthony Capital LLC	X	X	NA	70:11-16
34	9/23/2024	Epic Capital Wealth Advisors, LLC Firm Brochure (Part 2A of Form ADV)	X	X	NA	390:22-391:4
35	9/30/2024	Email chain re UT Div of Sec - RE anthony Capital, LLC IARD #152504 - Notice of Intent to Deny	X	X	NA	361:15-19
36	9/30/2024	Utah Division of Securities, Notice of Intent to Deny Investment Adviser Application re Anthony Capital, LLC IARD #152504	X	X	NA	368:15-19
37	10/2/2024	Email from Sheila Thomas to David Anthony re Withdrawal of State IA and Federal Covered Investment Adivser Representative Licensing	X	X	NA	369:18-22
38	10/9/2024	US SEC Form ADV comment letter re Epic Capital Wealth Advisors, LLC	X	X	NA	401:10-15
41	4/22/2025	Epic Capital Wealth Advisors, LLC's Response to SEC 4/8/2025 subpoena	X	X	NA	348:12-16
42	5/7/2025	Epic Capital Wealth Advisors, LLC's Response to SEC 4/24/2025 subpoena	X	X	NA	404:25-405:4
47		US Securities and Exchange Commission FAQs on Form ADV and IARD	X	X	NA	575:13-19

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48C	12/2/2024	David Anthony Exhibit to Amended Answer re: Initial Report of Receiver	X	X	NA	245:23-246:2
48D	12/2/2024	David Anthony Exhibit to Amended Answer re: Confidential Settlement Statement	X	X	NA	279:12-17
48E	12/2/2024	David Anthony Exhibit to Amended Answer re: Receiver's Confidential Mediation Statement	X	X	NA	280:7-11
50	4/8/2025	SEC Subpoena to David Anthony In the Matter of Epic Capital Wealth File No 3-22307	X	X	NA	409:16-20
51		CRD Screenshot for Account Held by David Anthony	X	X	NA	585:22-586:6
Respondent Exh No.	DATE	EXHIBIT DESCRIPTION	OFF.	ADM.	Bate Stamp	Hearing Transcript
1	12/1/2024	Epic Answer	X	X	NA	439:22-440:3
3	12/2/2024	Allegation 1 and 2	X	X	NA	456:17-20
5	12/2/2024	Allegation 3 flow chart- AS A DEMONSTRATIVE/AID TO TESIMONY	X	X	NA	462:13-14; 466:17-467:13
6	12/2/2024	Allegation 3 Fake flow chart- AS A DEMONSTRATIVE/AID TO TESIMONY	X	X	NA	467:14-19
7	12/2/2024	Allegation 4	X	X	NA	477:19-25
10	11/2022	Notes- ACAII1 Fund	X	X	NA	490:19-491:8
11	05/2019	Notes - ACAII2 Fund	X	X	NA	491:10-493:24
12	05/2020	Notes ACAII 3-5 PPM	X	X	NA	498:21-499:3
13	3/1/2022	Complaint Edited	X	X	NA	478:10-480:15
14	3/2/2022	TRO Edited	X	X	NA	478:1-8
15	1/26/2023	Bovo Declaration	X	X	NA	532:7-19
17	3/14/2023	Motion to Reconsider	X	X	NA	520:5-9
18	12/2021	ACF PPM NOTES	X	X	NA	499:22-501:2
19	12/2022	Bond Fund PPM Notes	X	X	NA	502:4-17
31	11/2021	Flickner PPM	X	X	NA	650:15-24
32	11/2021	Flickner Sub Docs	X	X	NA	650:15-24