IAPD Report

WILLIAM HOWARD WEBSTER

CRD# 1086031

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

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

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

WILLIAM HOWARD WEBSTER (CRD# 1086031)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/23/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	M HOLDINGS SECURITIES, INC.	CRD# 43285	01/06/2014
IA	M HOLDINGS SECURITIES, INC.	CRD# 43285	01/09/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	NFP SECURITIES, INC.	42046	OVERLAND PARK, KS	12/09/2008 - 01/07/2014
B	NFP SECURITIES, INC.	42046	OVERLAND PARK, KS	09/09/2008 - 01/07/2014
IA	NFP SECURITIES, INC.	42046	OVERLAND PARK, KS	07/09/2008 - 08/05/2008

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **M HOLDINGS SECURITIES, INC.**

Main Address: 1125 N.W. COUCH STREET
SUITE 900
PORTLAND, OR 97209

Firm ID#: 43285

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/06/2014
B	FINRA	Invest. Co and Variable Contracts	Approved	01/06/2014
B	Arizona	Agent	Approved	03/16/2023
B	Kansas	Agent	Approved	01/09/2014
IA	Kansas	Investment Adviser Representative	Approved	01/09/2014
B	Missouri	Agent	Approved	01/08/2014

Branch Office Locations

M HOLDINGS SECURITIES, INC.
LEAWOOD, KS

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	11/23/1993

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/21/1984
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/15/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/14/1983

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	12/09/2008 - 01/07/2014	NFP SECURITIES, INC.	CRD# 42046	OVERLAND PARK, KS
B	09/09/2008 - 01/07/2014	NFP SECURITIES, INC.	CRD# 42046	OVERLAND PARK, KS
IA	07/09/2008 - 08/05/2008	NFP SECURITIES, INC.	CRD# 42046	OVERLAND PARK, KS
B	06/19/2008 - 08/05/2008	NFP SECURITIES, INC.	CRD# 42046	OVERLAND PARK, KS
IA	04/19/2004 - 12/06/2006	PARK AVENUE SECURITIES LLC	CRD# 46173	OVERLAND PARK, KS
B	04/02/2004 - 12/06/2006	PARK AVENUE SECURITIES LLC	CRD# 46173	OVERLAND PARK, KS
IA	08/26/2002 - 02/11/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	HARTFORD, CT
B	05/02/2002 - 02/11/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	HARTFORD, CT
B	07/31/1999 - 09/19/2001	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	06/01/1998 - 09/19/2001	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	02/21/1992 - 06/01/1998	CIGNA FINANCIAL ADVISORS,INC.	CRD# 145	RADNOR, PA
B	05/02/1983 - 02/20/1992	W. S. GRIFFITH & CO., INC.	CRD# 10410	HARTFORD, CT

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2016 - Present	GREENBERG WEXLER & EIG LLC	Registered Representative	Y	Leawood, KS, United States
12/2013 - Present	M HOLDINGS SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2007 - Present	SELF EMPLOYED-INSURANCE BROKER	INSURANCE BROKER	N	LEAWOOD, KS, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) GREENBERG WEXLER & EIG, LLC; 4600 EAST WEST HIGHWAY #875; BETHESDA, MD 20814; 05/01/2016; INSURANCE SALES; INVESTMENT RELATED; 200 HOURS/MONTH; 200 HOURS/MONTH DURING BUSINESS HOURS; COMMISSIONS.

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	07/14/2008
Docket/Case Number:	2006007197801
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES LLC
Product Type:	No Product
Allegations:	NASD RULE 2110 - WEBSTER COMPLETED AND SUBMITTED EXAMINATION REPORTS TO HIS MEMBER FIRM REPRESENTING THAT HE HAD CONDUCTED EXAMINATIONS OF A NON-BRANCH OFFICE WHEN IN FACT HE HAD NOT CONDUCTED THE EXAMINATIONS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	07/14/2008

Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, WEBSTER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED $5,000, SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR TWO YEARS AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE SUSPENSION IN ANY PRINCIPAL CAPACITY IS IN EFFECT FROM AUGUST 4, 2008, THROUGH AUGUST 3, 2010. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM AUGUST 4, 2008, THROUGH SEPTEMBER 2, 2008. FINES PAID ON 04/27/2009.

Reporting Source:	Firm
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE
Date Initiated:	07/14/2008
Docket/Case Number:	20060071978-01
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	MR. WEBSTER COMPLETED AND SUBMITTED TWO DETACHED OFFICE EXAMINATION WORKBOOKS TO PARK AVENUE SECURITIES IN 2005, REPRESENTING THAT HE HAD CONDUCTED EXAMINATIONS OF THE DES MOINES, IOWA PARK AVENUE NON-BRANCH OFFICE WHICH HE WAS RESPONSIBLE FOR EXAMINING BY ON-SITE VISITS. WEBSTER HAD NOT CONDUCTED OR COMPLETED EXAMINATIONS THAT WOULD LEAD TO THE SUBMISSION OF A COMPLETED WORKBOOK. MR. WEBSTER'S CONDUCT VIOLATED NASD CONDUCT RULE 2110.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/14/2008
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	1. A TWO-YEAR SUSPENSION FROM ACTING IN ANY PRINCIPAL CAPACITY WITH ANY FINRA MEMBER, FROM AUGUST 4, 2008 THROUGH AUGUST 3, 2010. 2. A 30-DAY CALENDAR SUSPENSION FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FROM AUGUST 4, 2008 THROUGH SEPTEMBER 2, 2008. 3. A FINE OF $5,000

Reporting Source:	Individual

Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE
Date Initiated:	07/14/2008
Docket/Case Number:	20060071978-01
Employing firm when activity occurred which led to the regulatory action:	PARK AVENUE SECURITIES
Product Type:	No Product
Other Product Type(s):	
Allegations:	MR. WEBSTER COMPLETED AND SUBMITTED TWO DETACHED OFFICE EXAMINATION WORKBOOKS TO PARK AVENUE SECURITIES IN 2005, REPRESENTING THAT HE HAD CONDUCTED EXAMINATIONS OF THE DES MOINES, IOWA PARK AVENUE NON-BRANCH OFFICE WHICH HE WAS RESPONSIBLE FOR EXAMINING BY ON-SITE VISITS. WEBSTER HAD NOT CONDUCTED OR COMPLETED EXAMINATIONS THAT WOULD LEAD TO THE SUBMISSION OF A COMPLETED WORKBOOK. MR. WEBSTER'S CONDUCT VIOLATED NASD CONDUCT RULE 2110.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/14/2008
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	1. A TWO-YEAR SUSPENSION FROM ACTING IN ANY PRINCIPAL CAPACITY WITH ANY FINRA MEMBER, FROM AUGUST 4, 2008 THROUGH AUGUST 3, 2010. 2. A 30-DAY CALENDAR SUSPENSION FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FROM AUGUST 4, 2008 THROUGH SEPTEMBER 2, 2008. 3. A FINE OF $5,000

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	PARK AVENUE SECURITIES LLC
Termination Type:	Discharged
Termination Date:	12/06/2006
Allegations:	MR. WEBSTER FAILED TO FOLLOW FIRM POLICIES AND PROCEDURES RELATIVE TO DETACHED OFFICE EXAMINATIONS.
Product Type:	No Product
Other Product Types:	

Reporting Source:	Individual
Firm Name:	PARK AVENUE SECURITIES
Termination Type:	Discharged
Termination Date:	12/06/2006
Allegations:	FAILURE TO FOLLOW FIRM POLICIES AND PROCEDURES REGARDING SUPERVISION RELATIVE TO DETACHED OFFICE EXAMINATIONS
Product Type:	No Product
Other Product Types:	

End of Report

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