IAPD Report

GARY ARNOLD TICKEL

CRD# 1100279

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

GARY ARNOLD TICKEL (CRD# 1100279)

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 **08/28/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	INPLAY GLOBAL ADVISORS	CRD# 168190	11/05/2013
B	FMN CAPITAL CORPORATION	CRD# 38105	12/10/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and 1 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	FINANCIAL MANAGEMENT NETWORK INC	110454	MISSION VIEJO, CA	12/10/2014 - 06/17/2024
IA	FUTU WEALTH ADVISORS, INC.	310790	PALO ALTO, CA	10/04/2022 - 07/25/2023
B	MOOMOO FINANCIAL INC.	283078	PALO ALTO, CA	01/19/2018 - 07/25/2023

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
Judgment/Lien	2

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 **1** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **FMN CAPITAL CORPORATION**

Main Address: 26041 ACERO
MISSION VIEJO, CA 92691

Firm ID#: 38105

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	12/10/2014
B	FINRA	General Securities Principal	Approved	12/10/2014
B	FINRA	General Securities Representative	Approved	12/10/2014
B	FINRA	General Securities Sales Supervisor	Approved	12/10/2014
B	FINRA	Municipal Securities Principal	Approved	12/10/2014
B	FINRA	Municipal Securities Representative	Approved	12/10/2014
B	FINRA	Registered Options Principal	Approved	12/10/2014
B	FINRA	Operations Professional	Approved	10/01/2018
B	FINRA	Investment Banking Representative	Approved	11/29/2022
B	FINRA	Limited Representative-Prvt Scrts Ofrngs	Approved	11/29/2022
B	FINRA	Private Securities Offerings Principal	Approved	11/29/2022
B	FINRA	Investment Banking Principal	Approved	07/31/2023
B	FINRA	Securities Trader	Approved	07/31/2023

Qualifications

	Regulator	Registration	Status	Date
B	FINRA	Securities Trader Principal	Approved	07/31/2023
B	California	Agent	Approved	12/10/2014

Branch Office Locations

26041 ACERO
MISSION VIEJO, CA 92691

Employment 2 of 2

Firm Name: **INPLAY GLOBAL ADVISORS**

Main Address: ONTARIO, CA

Firm ID#: 168190

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/05/2013

Branch Office Locations

INPLAY GLOBAL ADVISORS
1613 CHELSEA RD 838
SAN MARINO, CA 91108

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 8 principal/supervisory exams, 10 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	NFA Branch Manager Examination (S30)	Series 30	05/27/2021
B	Municipal Securities Principal Examination (S53)	Series 53	10/25/2010
B	Registered Options Principal Examination (S4)	Series 4	08/28/2000
B	Financial and Operations Principal Examination (S27)	Series 27	09/14/1998
B	General Securities Principal Examination (S24)	Series 24	06/13/1997
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/15/1994

General Industry/Product Exams

	Exam	Category	Date
B	Limited Representative-Private Securities Offerings (S82TO)	Series 82TO	01/02/2023
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	09/24/2020
B	National Commodity Futures Examination (S3)	Series 3	09/10/2020

Qualifications

PASSED INDUSTRY EXAMS

General Industry/Product Exams

	Exam	Category	Date
B	Securities Trader Exam (S57TO)	Series 57TO	02/04/2019
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Interest Rate Options Examination (S5)	Series 5	11/20/1985
B	General Securities Representative Examination (S7)	Series 7	03/19/1983
B	Foreign Currency Options Examination (S15)	Series 15	03/07/1983

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/03/2010
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/05/1983

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

User Guidance

www.adviserinfo.sec.gov

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	12/10/2014 - 06/17/2024	FINANCIAL MANAGEMENT NETWORK INC	CRD# 110454	MISSION VIEJO, CA
IA	10/04/2022 - 07/25/2023	FUTU WEALTH ADVISORS, INC.	CRD# 310790	PALO ALTO, CA
B	01/19/2018 - 07/25/2023	MOOMOO FINANCIAL INC.	CRD# 283078	PALO ALTO, CA
B	05/28/2019 - 09/03/2020	FUTU CLEARING INC	CRD# 298769	DALLAS, TX
B	12/07/2016 - 08/07/2018	FORTREND SECURITIES, INC.	CRD# 32949	San Francisco, CA
B	10/20/2017 - 11/08/2017	BOUSTEAD SECURITIES, LLC	CRD# 141391	IRVINE, CA
B	06/15/2017 - 11/08/2017	FINTECH CLEARING, LLC	CRD# 134742	IRVINE, CA
B	01/07/2016 - 06/15/2017	SHARESPOST FINANCIAL CORPORATION	CRD# 134596	SAN FRANCISCO, CA
B	01/02/2015 - 08/28/2015	MORRIS FINANCIAL, INC.	CRD# 18561	NEWPORT BEACH, CA
B	11/03/2014 - 06/09/2015	CAPNET SECURITIES CORPORATION	CRD# 23669	HOUSTON, TX
B	07/31/2012 - 11/13/2012	TNP SECURITIES, LLC	CRD# 149178	COSTA MESA, CA
IA	05/12/2010 - 06/14/2011	MCL FINANCIAL GROUP, INC.	CRD# 41180	SANTA ANA, CA
B	01/04/2010 - 06/14/2011	MCL FINANCIAL GROUP, INC.	CRD# 41180	SANTA ANA, CA
B	05/01/2007 - 01/08/2010	BENEFIT FUNDING SERVICES, LLC	CRD# 44079	WOODLAND HILLS, CA
B	04/18/2007 - 01/08/2010	SECOND STREET SECURITIES, INC.	CRD# 42404	SAN FRANCISCO, CA

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/16/2007 - 12/09/2008	LINEAR FINANCIAL SERVICES, INC.	CRD# 133389	SANTA ANA, CA
B	09/22/2006 - 01/04/2007	INVESTMENT SECURITY CORPORATION	CRD# 47536	CALABASAS, CA
IA	08/14/2003 - 11/30/2004	TIMES SECURITIES, INC.	CRD# 118813	EL MONTE, CA
B	09/18/2002 - 11/30/2004	TIMES SECURITIES, INC.	CRD# 118813	EL MONTE, CA
B	09/03/1998 - 10/02/2000	MILESTONE FINANCIAL SERVICES, INC.	CRD# 43295	BOHEMIA, NY
B	05/30/1997 - 02/27/1998	BLOCK TRADING INC.	CRD# 36666	HOUSTON, TX
B	10/10/1994 - 03/07/1997	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	05/12/1987 - 10/12/1994	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	07/19/1985 - 05/08/1987	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	
B	03/22/1983 - 11/06/1985	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	

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
12/2014 - Present	FMN CAPITAL CORPORATION	FINOP	Y	MISSION VIEJO, CA, United States
06/2013 - Present	INPLAY GLOBAL ADVISORS	SENIOR PORTFOLIO MANAGER, INACTIVE	Y	SAN MARINO, CA, United States
06/2011 - Present	CATHAY MANAGEMENT & RESEARCH	GENERAL MANAGER	Y	SAN MARINO, CA, United States
12/2014 - 06/2024	Financial Management Network Inc	BD Affiliate Duties	Y	Mission Viejo, CA, United States
07/2020 - 06/2023	Futu Wealth Advisors Inc	Advisory Principal	Y	Palo Alto, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
06/2020 - 06/2023	Futu Futures Inc	Chief Operating Officer	Y	Palo Alto, CA, United States
06/2017 - 06/2023	MOOMOO FINANCIAL INC	Registered Principal/CAO	Y	Palo Alto, CA, United States
05/2019 - 09/2020	Futu Clearing Inc	General Securities Principal	Y	Palo Alto, CA, United States
12/2016 - 08/2018	FORTREND SECURITIES INC	General Securities Principal	Y	Melbourne, Australia
10/2017 - 11/2017	BOUSTEAD SECURITIES, LLC	FINOP	Y	IRVINE, CA, United States
06/2017 - 11/2017	FINTECH CLEARING, LLC	FINOP/CFO	Y	Irvine, CA, United States
01/2016 - 06/2017	SharesPost Financial Corporation	Financial and Operations Principal	Y	San Francisco, CA, 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.

FMN CAPITAL CORPORATION, INVESTMENT RELATED, MISSION VIEJO CA 92691, FINOP 12/2014- PRESENT, APPROX 18 HRS/MONTH, NOT DURING TRADING HOURS, FINANCIAL AND OPERATIONS COMPLIANCE.

INPLAY GLOBAL ADVISORS, INVESTMENT RELATED, ONTARIO CA 91761, SENIOR PORTFOLIO MANAGER, 06/2013-PRESENT, APPROX 8 HRS/MONTH, NOT DURING TRADING HOURS, MAINTAINS CALIFORNIA ONLY ADVISOR.

DATA COLLIDER TECHNOLOGY LLC, NOT INVESTMENT RELATED, SHERIDAN WY 82801, DATA CENTER COLOCATION STARTUP, FOUNDER, 07/2024- PRESENT, APPROX 96 HRS/ MONTH, NOT DURING TRADING HOURS, PRE-LAUNCH DUTIES, RULE 506(b) FIRST SALE YET TO OCCUR (01/2025).

CATHAY MANAGEMENT & RESEARCH, NOT INVESTMENT-RELATED, SAN MARINO CA 91108 & MANASSAS PARK VA 20111, COMPLIANCE & ACCOUNTING, FOUNDER, 09/1997 TO 12/2003, 01/2004 TO 12/2006, 06/2011 TO 12/2018, 01/2019-PRESENT, APPROX 16 HRS/MONTH, NOT DURING TRADING HOURS, INCLUDES LIASON TO J & K LIMITED PARTNERSHIP STWD, ALEXANDRIA, VA 22302, ACCOUNTING & REG AGENT FOR EDENBERRY LLC, ONTARIO CA 9176.

REGCOMMAND, NOT INVESTMENT-RELATED, SAN MARINO CA 91108, COMPLIANCE & ACCOUNTING, COFOUNDER, 05/2013-PRESENT, APPROX 4 HRS/MONTH, NOT DURING TRADING HOURS, AUDIT SUPPORT.

SHENANDOAH RANGERS BENEFIT CORP, NOT INVESTMENT RELATED, BECKLEY WV 25801, HELPING LOCAL AREA, COFOUNDER, 07/2019 TO PRESENT, APPROX 2 HRS/MONTH, NOT DURING TRADING HOURS, ORGANIZER VOLUNTEER.

RANCHERO RANGERS BENEFIT CORP, NOT INVESTMENT RELATED, ALBUQUERQUE NM 87107, HELPING LOCAL AREA COFOUNDER, 03/2021 TO PRESENT, APPROX 2 HRS/MONTH, NOT DURING TRADING HOURS, ORGANIZER

Registration & Employment History

OTHER BUSINESS ACTIVITIES

VOLUNTEER.

CASCADE RANGERS BENEFIT CORP, NOT INVESTMENT RELATED, SALEM OR 97301, HELPING LOCA AREA, COFOUNDER, 12/2021 TO PRESENT, APPROX 2 HRS/MOTH, NOT DURING TRADING OURS, ORGANIZER VOLUNTEER.

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
Judgment/Lien	2

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of California
Judgment/Lien Amount:	$4,685.73
Judgment/Lien Type:	Tax
Date Filed with Court:	07/11/2025
Date Individual Learned:	08/28/2025
Type of Court:	State Court
Name of Court:	State of California
Location of Court:	Los Angeles County
Docket/Case #:	20250464808
Judgment/Lien Outstanding?	Yes
Broker Statement	Pending resolution

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	R. Constantine
Judgment/Lien Amount:	$7,835.00
Judgment/Lien Type:	Civil
Date Filed with Court:	06/27/2016
Date Individual Learned:	07/22/2016
Type of Court:	County
Name of Court:	Riverside Superior Court

Location of Court:	Hemet, Riverside County, California
Docket/Case #:	HES1600234
Judgment/Lien Outstanding?	Yes
Broker Statement	car loan dispute

End of Report

This page is intentionally left blank.

