



IAPD Report

EDGAR DAVIS MOCK III

CRD# 1309680

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.



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

EDGAR DAVIS MOCK III (CRD# 1309680)

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 **11/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MONEY MANAGEMENT ADVISORY INC.	CRD# 14983	09/04/2009
B	TRUSTMONT FINANCIAL GROUP, INC.	CRD# 18312	05/07/2018
IA	TRUSTMONT ADVISORY GROUP, INC.	CRD# 106015	10/24/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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
B	MONEY MANAGEMENT ADVISORY, INC.	14983	FEASTERVILLE, PA	02/18/1986 - 08/28/2018
B	MONARCH SECURITIES, INC.	2809	FEASTERVILLE, PA	01/28/1985 - 02/18/1986

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	2
Customer Dispute	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 **9** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 3

Firm Name: **TRUSTMONT ADVISORY GROUP, INC.**
Main Address: SCENIC DRIVE PROFESSIONAL CENTER
200 BRUSH RUN ROAD, SUITE A
GREENSBURG, PA 15601
Firm ID#: 106015

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	10/24/2025

Branch Office Locations

TRUSTMONT ADVISORY GROUP, INC.
102 W STREET RD
FEASTERVILLE, PA 19053

Employment 2 of 3

Firm Name: **TRUSTMONT FINANCIAL GROUP, INC.**
Main Address: SCENIC DRIVE PROFESSIONAL CENTER
200 BRUSH RUN ROAD, SUITE A
GREENSBURG, PA 15601
Firm ID#: 18312

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	05/07/2018
B	FINRA	General Securities Principal	Approved	05/07/2018
B	FINRA	General Securities Representative	Approved	05/07/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	05/07/2018
B	FINRA	Operations Professional	Approved	05/07/2018
B	California	Agent	Approved	05/07/2018



Qualifications

Regulator	Registration	Status	Date
B Florida	Agent	Approved	08/31/2020
B Georgia	Agent	Approved	06/01/2018
B Maryland	Agent	Approved	05/10/2018
B New Jersey	Agent	Approved	07/16/2018
B North Carolina	Agent	Approved	06/06/2018
B Pennsylvania	Agent	Approved	07/03/2018
B South Carolina	Agent	Approved	08/12/2020
B West Virginia	Agent	Approved	07/12/2018

Branch Office Locations

102 W STREET RD
FEASTERVILLE, PA 19053

102 W. STREET ROAD
FEASTERVILLE, PA 19053

Employment 3 of 3

Firm Name: **MONEY MANAGEMENT ADVISORY INC.**
Main Address: 102 W. STREET ROAD
FEASTERVILLE, PA 19053
Firm ID#: 14983

Regulator	Registration	Status	Date
IA New Jersey	Investment Adviser Representative	Approved	04/30/2012
IA Pennsylvania	Investment Adviser Representative	Approved	09/04/2009

Branch Office Locations

MONEY MANAGEMENT ADVISORY INC.
102 W. STREET ROAD
FEASTERVILLE, PA 19053





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 2 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.


Principal/Supervisory Exams

	Exam	Category	Date
	Financial and Operations Principal Examination (S27)	Series 27	05/04/1988
	General Securities Principal Examination (S24)	Series 24	04/06/1987

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	09/20/1986
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/25/1985

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/11/1986

PROFESSIONAL DESIGNATIONS

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

No information reported.



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	02/18/1986 - 08/28/2018	MONEY MANAGEMENT ADVISORY, INC.	CRD# 14983	FEASTERVILLE, PA
B	01/28/1985 - 02/18/1986	MONARCH SECURITIES, INC.	CRD# 2809	

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
05/2018 - Present	TRUSTMONT FINANCIAL GROUP, INC.	REGISTERED REPRESENTATIVE	Y	GREENSBURG, PA, United States
01/1986 - Present	MONEY MANAGEMENT ADVISORY, INC.	NOT PROVIDED	Y	FEASTERVILLE, PA, 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.

RIA-OWNER- MONEY MANAGEMENT ADVISORY INC., 102 W. STREET ROAD, FEASTERVILLE, PA 19053, SALE OF ACCIDENT, HEALTH & LIFE INSURANCE, FIXED AND FIXED INDEXED ANNUITIES. OWNER-DAVIS & ASSOCIATES, 102 W STREET RD, FEASTERVILLE, PA 19053. SHELL COMPANY FROM FATHER. NO ASSETS AT THIS TIME. OWNER-INSTITUTE FOR ESSENTIAL EDUCATION, 102 W STREET RD, FEASTERVILLE, PA 19053. BUSINESS ENTITY OWNED BY MONEY MANAGEMENT ADVISORY INC., USED FOR WORKSHOPS AND SEMINARS. CURRENTLY NOT IN USE.



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	2
Customer Dispute	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 2

Reporting Source:	Individual
Regulatory Action Initiated By:	SECURITIES DIVISION OF THE OFFICE OF THE MARYLAND ATTORNEY GENERAL
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/14/2010
Docket/Case Number:	2009-0430
Employing firm when activity occurred which led to the regulatory action:	MONEY MANAGEMENT ADVISORY, INC.
Product Type:	No Product
Allegations:	IN JANUARY 2010, THE MARYLAND SECURITIES COMMISSIONER IMPOSED A \$5,000 FINE AND REGISTRATION FEES IN THE AMOUNT OF \$2,400 FOR YEARS 2003-2008 AGAINST EDGAR MOCK AND GEORGE KLANDER AND MONEY MANAGEMENT ADVISORY. THE FINE AND REGISTRATION FEES WERE PAID JANUARY 12, 2010. EDGAR MOCK AND GEORGE KLANDER VIOLATED SECTION 11-401 OF THE MARYLAND SECURITIES ACT BY TRANSACTING BUSINESS AS AN UNREGISTERED INVESTMENT ADVISER. MONEY MANAGEMENT ADVISORY VIOLATED SECTION 11-402 OF THE SECURITIES ACT BY EMPLOYING UNREGISTERED INVESTMENT ADVISER REPRESENTATIVES. THE FIRM IS CURRENTLY REGISTERED IN MARYLAND.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

01/14/2010

Sanctions Ordered:

Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$5,000.00

Portion Levied against individual:

\$5,000.00

Payment Plan:

NONE

Is Payment Plan Current:

Date Paid by individual:

01/06/2010

Was any portion of penalty waived?

No

Amount Waived:

Disclosure 2 of 2

Reporting Source:

Regulator

Regulatory Action Initiated By:

FINRA

Sanction(s) Sought:

Other: N/A

Date Initiated:

01/27/2010

Docket/Case Number:

[2009016258201](#)

Employing firm when activity occurred which led to the regulatory action:

MONEY MANAGEMENT ADVISORY, INC.

Product Type:

No Product

Allegations:

FINRA RULE 2010, NASD RULES 2110, 3012, 3013, 3110, AND INTERPRETATIVE MATERIAL-3013: MOCK PREPARED FALSE DOCUMENTS RELATING TO HIS MEMBER FIRM'S ANNUAL REPORTS OF ITS SUPERVISORY CONTROL SYSTEM AND ANNUAL CERTIFICATION OF ITS COMPLIANCE AND SUPERVISORY PROCESSES, WHICH HE LATER PROVIDED TO FINRA. MOCK BACKDATED THE DOCUMENTS TO MAKE THEM APPEAR THAT THEY WERE PREPARED AND EXECUTED ON EARLIER DATES.

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:

01/27/2010

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY PRINCIPAL
Duration: ONE YEAR
Start Date: 02/16/2010
End Date: 02/15/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current: No
Date Paid by individual: 02/02/2010
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, MOCK CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY PRINCIPAL CAPACITY FOR ONE YEAR. THE SUSPENSION IS IN EFFECT FROM FEBRUARY 16, 2010, THROUGH FEBRUARY 15, 2011.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: N/A
Date Initiated: 01/27/2010



Docket/Case Number: [2009016258201](#)

Employing firm when activity occurred which led to the regulatory action: MONEY MANAGEMENT ADVISORY, INC.

Product Type: No Product

Allegations: IN JANUARY 2010, FINRA IMPOSED A \$5,000 FINE AND 1 YEAR SUSPENSION AGAINST EDGAR MOCK. MR. MOCK VIOLATED FINRA RULE 2010, AND NASD RULES 2110, 3012, 2013, 3110 AND IM-3013 BY BACKDATING DOCUMENTS RELATING TO THE FIRM'S ANNUAL CERTIFICATION OF IT'S COMPLIANCE AND SUPERVISORY PROCESSES FOR THE YEARS 2005-2007 WHICH HE PROVIDED TO FINRA IN JANUARY 2009. THE FINE AND SUSPENSION WERE SATISFIED AND MR. MOCK IS CURRENTLY PRESIDENT AND REGISTERED PRINCIPAL FOR MONEY MANAGEMENT ADVISORY, INC.

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: 01/27/2010

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY PRINCIPAL

Duration: ONE YEAR

Start Date: 02/16/2010

End Date: 02/15/2011

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: NONE

Is Payment Plan Current: No

Date Paid by individual: 02/01/2010

Was any portion of penalty waived? No

Amount Waived:



Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Money Management Advisory, Inc.

Allegations: 2012- June 2017, alleged unsuitable securities, common law fraud, breach of fiduciary duty, unjust enrichment, the failure to supervise, and violation of the Pennsylvania Unfair Trade Practices and Consumer Protection Law

Product Type: Annuity-Variable

Alleged Damages: \$375,717.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 20-01706

Date Notice/Process Served: 06/02/2020

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/09/2021

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$5,000.00



End of Report

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