IAPD Report

BRENT WOOD KOCH

CRD# 1336567

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

BRENT WOOD KOCH (CRD# 1336567)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EQUITABLE ADVISORS, LLC	CRD# 6627	09/02/1988
IA	EQUITABLE ADVISORS, LLC	CRD# 6627	05/18/2000

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	BCJ CAPITAL MANAGEMENT	109376	IRVINE, CA	08/07/2012 - 03/29/2016
B	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY	09/02/1988 - 01/05/2000
B	WARREN & BROWN ASSOCIATES, INC.	13410	NEW YORK, NY	02/21/1985 - 01/30/1987

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
Customer Dispute	4

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

Employment 1 of 1

Firm Name: **EQUITABLE ADVISORS, LLC**

Main Address: 1345 AVENUE OF THE AMERICAS
NEW YORK, NY 10105

Firm ID#: 6627

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/02/1988
B	Arizona	Agent	Approved	02/06/2002
B	California	Agent	Approved	09/02/1988
IA	California	Investment Adviser Representative	Approved	05/18/2000
B	Colorado	Agent	Approved	08/12/2025
B	Connecticut	Agent	Approved	01/24/2017
B	Florida	Agent	Approved	01/23/2012
B	Georgia	Agent	Approved	01/08/2018
B	Illinois	Agent	Approved	08/14/2025
B	Indiana	Agent	Approved	01/23/2012
B	Maryland	Agent	Approved	09/08/2023
B	Massachusetts	Agent	Approved	11/15/2021
B	Minnesota	Agent	Approved	03/13/2025

Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	01/21/1998
B	New Hampshire	Agent	Approved	03/13/2025
B	New Jersey	Agent	Approved	08/21/2015
B	New Mexico	Agent	Approved	04/18/2014
B	New York	Agent	Approved	01/19/2012
B	North Carolina	Agent	Approved	04/06/2023
B	Ohio	Agent	Approved	03/17/2025
B	Oregon	Agent	Approved	03/29/2019
B	Pennsylvania	Agent	Approved	11/10/2023
B	South Carolina	Agent	Approved	03/14/2024
B	South Dakota	Agent	Approved	10/13/2023
B	Tennessee	Agent	Approved	11/12/2019
B	Texas	Agent	Approved	11/17/2010
IA	Texas	Investment Adviser Representative	Restricted Approval	12/06/2010
B	Utah	Agent	Approved	10/12/1994
B	Virginia	Agent	Approved	01/23/2012
B	Washington	Agent	Approved	12/05/2024
B	Wisconsin	Agent	Approved	08/13/2025

Qualifications

	Regulator	Registration	Status	Date
B	Wyoming	Agent	Approved	12/19/2013

Branch Office Locations

EQUITABLE ADVISORS, LLC
2050 MAIN STREET
SUITE 520
IRVINE, CA 92614

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

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

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	02/16/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/21/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/02/1984

PROFESSIONAL DESIGNATIONS

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

No information reported.

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	08/07/2012 - 03/29/2016	BCJ CAPITAL MANAGEMENT	CRD# 109376	IRVINE, CA
B	09/02/1988 - 01/05/2000	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	02/21/1985 - 01/30/1987	WARREN & BROWN ASSOCIATES, INC.	CRD# 13410	

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
01/2000 - Present	EQUITABLE ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, United States
01/2000 - 06/2020	AXA ADVISORS, LLC	REGISTERED REPRESENTATIVE	Y	NEW YORK, NY, 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. OUTSIDE FIXED BUSINESS. 2. PARAMOUNT STRATEGIES GROUP, OWNER, GROUP MEDICAL INSURANCE. 3. VICE PRESIDENT, MEMBER OF THE BOARD FOR EQUITABLE AGENTS REINSURANCE COMPANY (ARC). 4. MEMBER, PARTIAL OWNER OF SANGFORD LAND UTAH, LLC. INVESTMENT IN LAND AND REAL ESTATE (PERSONAL INVESTMENTS ONLY). 5. partial houseboat owner, Lake Powell, LLC. 6720 North Scottsdale Road, Suite 170, Scottsdale, AZ 8253. 6. Owner, WMS Management Inc. 17595 Harvard Ave Suite C10001, Irvine, CA 92614. Group Medical Insurance. 7. Trustee of family trust. 8. Life Settlement Broker with Ashar Group, LLC, Located at: 1800 Pembrook Drive, Ste. 240, Orlando, FL 32810. 9. Owner of Fanactivate, LLC. Located at: 17595 Harvard Avenue, Suite C1001, Irvine, CA 92614, sport media platform, Not Investment Related.

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
Customer Dispute	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES THAT WE ADVISED HIM TO CASH OUT OF HIS CURRENT LIFE INSURANCE POLICY IN ORDER TO INVEST HIS FUNDS WITH AXA. CLIENT FURTHER ALLEGES AS A RESULT OF THE MISMANAGEMENT OF HIS FUNDS HE LOST THE ENTIRE CASH VALUE OF HIS INITIAL LIFE INSURANCE POLICY.
Product Type:	Mutual Fund(s)
Other Product Type(s):	SECURITY ACCOUNT
Alleged Damages:	$87,000.00

Customer Complaint Information

Date Complaint Received:	04/10/2007
Complaint Pending?	No
Status:	Denied
Status Date:	06/04/2007
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER'S COMPLAINT.

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES THEY WERE MISREPRESENTED IN THE SALE OF A 1999 VARIABLE LIFE INSURANCE POLICY. CLIENT ALLEGES THEY HAVE PAID $25,000 OR MORE IN EXCESS OF NORMAL AND CUSTOMARY PREMIUMS. CLIENT ALLEGES THE AGENT FAILED TO PROPERLY DISCLOSE RELEVANT TERMS OF THE POLICY. ALTHOUGH THERE ARE NO DAMAGES SPECIFIED, CLIENT WOULD LIKE TO CONVERT THE REFERENCED POLICIES INTO THE MOST COMPETITIVE POLICIES OFFERED ON A COMMISSION FREE BASIS.
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	11/19/2004
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/20/2005
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO CONTINUE REVIEWING THE MATTER AND IS THEREFORE CLOSING THE FILE AT THIS TIME.

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AXA ADVISORS
Allegations:	CLIENT ALLEGES SHE WAS INFORMED THAT HER 2000 ISSUE VARIABLE LIFE INSURANCE POLICY WAS UNSUITABLE CONSIDERING HER AGE AND CIRCUMSTANCES. CLIENT REQUESTED ASSURANCES REGARDING THE STATUS OF HER POLICY, BUT DID NOT SPECIFY ANY AMOUNT OF DAMAGES.
Product Type:	Insurance
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	04/06/2004
Complaint Pending?	No
Status:	Denied
Status Date:	05/11/2004
Settlement Amount:	

Individual Contribution Amount:	
Broker Statement	THE FIRM FOUND NO BASIS TO THE CUSTOMER COMPLAINT.

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EQUITABLE LIFE
Allegations:	CLIENT ALLEGES MISREPRESENTATION, FALSIFYING OF DOCUMENTS, GROSS NEGLIGENCE AND THEFT DURING THE PURCHASE OF A 1998 ISSUE VARIABLE ANNUITY. CLIENT REQUESTED THE REFUND OF $1,500 AND A WAIVER OF EXIT FEES.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$1,500.00

Customer Complaint Information

Date Complaint Received:	02/18/2000
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	08/24/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	IN ORDER TO INVESTIGATE THE ALLEGATIONS MADE BY MR. MADORE THE EQUITABLE LIFE REQUESTED ADDITIONAL INFORMATION AND SUPPORTING DOCUMENTATION FROM MR. MADORE'S COMPANY, US DIGITAL CORPORATION. US DIGITAL RESPONDED THAT THEY WERE UNWILLING TO PROVIDE ANY FURTHER INFORMATION OR DOCUMENTATION. BASED ON US DIGITAL'S FAILURE TO COOPERATE, EQUITABLE LIFE CLOSED ITS FILE WITHOUT TAKING ANY ACTION.

End of Report

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