



IAPD Report

WILLIAM HENRY MCCANCE

CRD# 1382957

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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

WILLIAM HENRY MCCANCE (CRD# 1382957)

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 **09/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TRUST ADVISORY GROUP LTD	CRD# 106926	10/23/2007
B	STONEX SECURITIES INC.	CRD# 18456	09/24/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **48** 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	AGES FINANCIAL SERVICES, LTD.	15427	WOBURN, MA	09/06/2007 - 09/19/2024
IA	KLEOSSUM, INC.	154685	CONWAY, NH	03/14/2014 - 06/17/2014
B	COMMONWEALTH FINANCIAL NETWORK	8032	READING, MA	09/01/2005 - 09/06/2007

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

Employment 1 of 2

Firm Name: **STONEX SECURITIES INC.**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243
Firm ID#: 18456

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	09/24/2024
	FINRA	General Securities Representative	Approved	09/24/2024
	FINRA	Investment Banking Principal	Approved	09/24/2024
	FINRA	Investment Banking Representative	Approved	09/24/2024
	FINRA	Operations Professional	Approved	09/24/2024
	Alabama	Agent	Approved	12/13/2024
	Alaska	Agent	Approved	11/15/2024
	Arizona	Agent	Approved	02/13/2025
	Arkansas	Agent	Approved	11/18/2024
	California	Agent	Approved	11/15/2024
	Colorado	Agent	Approved	02/11/2025
	Connecticut	Agent	Approved	11/18/2024
	Delaware	Agent	Approved	01/09/2025



Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	11/20/2024
B	Florida	Agent	Approved	11/18/2024
B	Georgia	Agent	Approved	11/18/2024
B	Idaho	Agent	Approved	12/18/2024
B	Illinois	Agent	Approved	01/14/2025
B	Indiana	Agent	Approved	11/18/2024
B	Iowa	Agent	Approved	11/18/2024
B	Kansas	Agent	Approved	11/15/2024
B	Louisiana	Agent	Approved	11/15/2024
B	Maine	Agent	Approved	09/25/2024
B	Maryland	Agent	Approved	06/09/2025
B	Massachusetts	Agent	Approved	09/24/2024
B	Michigan	Agent	Approved	11/19/2024
B	Mississippi	Agent	Approved	01/02/2025
B	Montana	Agent	Approved	09/23/2026
B	Nebraska	Agent	Approved	12/23/2024
B	Nevada	Agent	Approved	11/19/2024
B	New Hampshire	Agent	Approved	12/17/2024
B	New Jersey	Agent	Approved	11/15/2024



Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	11/15/2024
B	New York	Agent	Approved	11/19/2024
B	North Carolina	Agent	Approved	11/18/2024
B	North Dakota	Agent	Approved	11/19/2024
B	Ohio	Agent	Approved	11/15/2024
B	Oklahoma	Agent	Approved	11/18/2024
B	Oregon	Agent	Approved	11/19/2024
B	Pennsylvania	Agent	Approved	11/15/2024
B	Puerto Rico	Agent	Approved	11/25/2024
B	Rhode Island	Agent	Approved	11/18/2024
B	South Carolina	Agent	Approved	01/30/2025
B	South Dakota	Agent	Approved	11/15/2024
B	Tennessee	Agent	Approved	12/13/2024
B	Texas	Agent	Approved	12/16/2024
B	Utah	Agent	Approved	01/10/2025
B	Vermont	Agent	Approved	12/16/2024
B	Virginia	Agent	Approved	02/11/2025
B	Washington	Agent	Approved	01/07/2025
B	West Virginia	Agent	Approved	12/05/2024



Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	12/18/2024
B	Wyoming	Agent	Approved	11/15/2024

Branch Office Locations

123 HAVEN STREET
SUITE 2
READING, MA 01867

Employment 2 of 2

Firm Name: **TRUST ADVISORY GROUP LTD**
Main Address: 2 PERIMETER PARK SOUTH
SUITE 500 WEST
BIRMINGHAM, AL 35243
Firm ID#: 106926

	Regulator	Registration	Status	Date
IA	Massachusetts	Investment Adviser Representative	Approved	10/23/2007

Branch Office Locations

TRUST ADVISORY GROUP LTD
123 HAVEN STREET
SUITE 2
READING, MA 01867



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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	10/18/1999

General Industry/Product Exams

	Exam	Category	Date
B	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
B	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/20/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/26/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/21/1985



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
B	09/06/2007 - 09/19/2024	AGES FINANCIAL SERVICES, LTD.	CRD# 15427	WOBURN, MA
IA	03/14/2014 - 06/17/2014	KLEOSSUM, INC.	CRD# 154685	CONWAY, NH
B	09/01/2005 - 09/06/2007	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	READING, MA
B	03/19/2002 - 08/31/2005	HARTFORD EQUITY SALES COMPANY INC.	CRD# 6604	HARTFORD, CT
B	01/05/2000 - 11/30/2001	ADVISORY GROUP EQUITY SERVICES LTD.	CRD# 15427	READING, MA
B	03/04/1993 - 12/23/1999	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	03/04/1993 - 12/23/1999	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY
B	01/01/1993 - 02/16/1993	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	CRD# 7059	NEW YORK, NY
B	02/23/1990 - 12/24/1990	JANNEY MONTGOMERY SCOTT INC.	CRD# 463	PHILADELPHIA, PA
B	09/12/1988 - 02/27/1990	JOHNSTON, LEMON & CO. INCORPORATED	CRD# 473	WASHINGTON, DC
B	10/30/1985 - 09/21/1988	DREXEL BURNHAM LAMBERT INCORPORATED	CRD# 7323	

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
09/2024 - Present	StoneX Securities Inc.	Registered Representative	Y	Reading, MA, United States
10/2007 - Present	TRUST ADVISORY GROUP LTD	PRESIDENT	Y	READING, MA, United States
09/2005 - Present	WHM FINANCIAL SERVICES	REPRESENTATIVE	Y	REDING, MA, United States
09/2007 - 09/2024	AGES Financial Services, Ltd.	REGISTERED REPRESENTATIVE	Y	Reading, MA, United States



Registration & Employment History



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) TAG-AGES LLC; Investment Related; 123 Haven Street, Reading, MA 01867; OSJ Management Company; Managing member; 8/15/24; 8 hrs/month during trading hours; accounting, payroll

2) TAG Group, Inc.; Investment Related; 123 Haven Street, Reading, MA 01867; Holding Company; President and Chairman; 08/13/2007; 4 hrs/month during trading hours; winding down operation. sold 2 assets 9/2024. closing last asset. distributing sale proceeds



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:	AGES FINANCIAL SERVICES, LTD.
Allegations:	In an amended statement of claim, claimants, through counsel, alleged unsuitable investments in GWG L Bonds
Product Type:	Debt-Corporate
Alleged Damages:	\$154,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Services Arbitration
Docket/Case #:	23-00540
Filing date of arbitration/CFTC reparation or civil litigation:	03/03/2023

Customer Complaint Information

Date Complaint Received:	12/06/2024
Complaint Pending?	No



Status: Settled

Status Date: 01/10/2025

Settlement Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 23-00540

Date Notice/Process Served: 12/06/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/10/2025

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00

Broker Statement Mr. McCance was added as a respondent after the original broker-dealer respondent became defunct. He was not claimants' broker nor did he have any involvement in the sale of the investment to claimants. The matter was settled to avoid the uncertainty and cost of litigation. Mr. McCance did not personally contribute to the settlement

Disclosure 2 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AGES FINANCIAL SERVICES, LTD.

Allegations: Claimants allege they are seeking damages as a result of a failure of the full satisfaction of the arbitration award rendered in FINRA Matter No. 22-01490.

Product Type: No Product

Alleged Damages: \$1,148,131.60

Arbitration Information

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

Docket/Case #: 24-02192

Date Notice/Process Served: 10/15/2024

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/07/2025



Monetary Compensation Amount: \$106,000.00

Individual Contribution Amount: \$0.00

Disclosure 3 of 4

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: Advisory Group Equity Services, Ltd.

Allegations: Breach of fiduciary duty and negligence 12/15/2009

Product Type: Oil & Gas

Alleged Damages: \$95,000.00

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 15-03107

Filing date of arbitration/CFTC reparation or civil litigation: 11/09/2015

Customer Complaint Information

Date Complaint Received: 11/27/2015

Complaint Pending? No

Status: Settled

Status Date: 02/01/2016

Settlement Amount: \$11,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

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

Docket/Case #: 15-03107

Date Notice/Process Served: 11/27/2015

Arbitration Pending? No

Disposition: Settled

Disposition Date: 02/01/2016

Monetary Compensation Amount: \$11,000.00



Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: HARTFORD EQUITY SALES COMPANY INC.

Allegations: THE SUIT ALLEGED THAT THE POLICY WAS UNSUITABLE GIVEN THE CLIENT'S HEALTH STATUS AND HIS NEEDS, OBJECTIVES AND ESTATE PLAN AT THE TIME.

Product Type: Insurance

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): TO BE DETERMINED

Is this an oral complaint? No

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: COMMONWEALTH OF MASSACHUSETTS TRIAL COURT, SUPERIOR COURT DEPT, MIDDLESEX, SS

Docket/Case #: 07-1037

Filing date of arbitration/CFTC reparation or civil litigation: 03/19/2007

Customer Complaint Information

Date Complaint Received: 12/16/2006

Complaint Pending? No

Status: Settled

Status Date: 06/29/2010

Settlement Amount: \$287,500.00

Individual Contribution Amount: \$0.00

Firm Statement THE SUIT SPECIFICALLY NAMED, AMONG OTHERS, HARTFORD LIFE AND ANNUITY INSURANCE COMPANY. ALTHOUGH MR. MCCANCE WAS NOT A NAMED DEFENDANT IN THIS MATTER, HE WAS MENTIONED IN THE BODY OF THE SUIT WHICH RESULTED IN THIS AMENDMENT BEING FILED. THERE WAS NO FINDING OF WRONGDOING BY MR. MCCANCE AND HE WASN'T ASKED TO FINANCIALLY CONTRIBUTE TO THE SETTLEMENT.

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Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:	HARTFORD EQUITY SALES COMPANY INC
Allegations:	THE SUIT ALLEDGED THAT THE POLICY WAS UNSUITABLE GIVEN THE CLIENT'S HEALTH STATUS AND HIS NEEDS, OBJECTIVES AND ESTATE PLAN.
Product Type:	Other: LIFE INSURANCE
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	I AM UNAWARE BECAUSE I WAS NOT NAMED IN THIS SUIT SO I AM NOT PRIVY TO ANY INFORMATION.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	COMMONWEALTH OF MASSACHUSETTS SUPERIOR COURT MIDDLESEX
Docket/Case #:	07-1037
Filing date of arbitration/CFTC reparation or civil litigation:	03/19/2007
Customer Complaint Information	
Date Complaint Received:	12/16/2006
Complaint Pending?	No
Status:	Settled
Status Date:	06/29/2010
Settlement Amount:	\$287,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	THE SUIT WAS BETWEEN HARTFORD LIFE AND A REGISTERED REPRESENTATIVE. I WAS NOT A NAMED DEFENDANT AND ONLY ACTED IN MY CAPACITY AS AN EMPLOYEE OF HARTFORD LIFE. I PAID NO PORTION OF THE SETTLEMENT OR ANY ATTORNEY FEES.



End of Report

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