



## IAPD Report

# ARLIE WILSON GREEN III

CRD# 1433044

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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

### ARLIE WILSON GREEN III (CRD# 1433044)

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 **11/24/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FORTRESS WEALTH MANAGEMENT, INC.	CRD# 110279	04/17/2012
IA	SAGEVIEW ADVISORY GROUP, LLC	CRD# 126777	12/22/2021
IA	FARTHER	CRD# 302050	11/24/2025

### QUALIFICATIONS

This representative is currently registered in **0** 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	MJM401K, LLC	133701	Culver City, CA	01/12/2018 - 12/14/2021
IA	FINANCIAL WEST INVESTMENT GROUP, INC.	16668	THOUSAND OAKS, CA	09/17/2003 - 07/07/2004
B	FINANCIAL WEST GROUP	16668	RENO, NV	06/11/2003 - 07/07/2004

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



## 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 **0** SRO(s) through his or her employer(s).

#### Employment 1 of 3

Firm Name: **FARTHER**  
Main Address: 345 CALIFORNIA STREET  
SUITE 600  
SAN FRANCISCO, CA 94104  
Firm ID#: 302050

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	11/24/2025
IA Texas	Investment Adviser Representative	Restricted Approval	12/01/2025

#### Branch Office Locations

**FARTHER**  
9696 Culver Blvd  
Suite 301  
Culver City, CA 90232

#### Employment 2 of 3

Firm Name: **SAGEVIEW ADVISORY GROUP, LLC**  
Main Address: 4000 MACARTHUR BLVD.  
SUITE 1050  
NEWPORT BEACH, CA 92660  
Firm ID#: 126777

Regulator	Registration	Status	Date
IA Arizona	Investment Adviser Representative	Approved	08/15/2023
IA California	Investment Adviser Representative	Approved	12/22/2021
IA Texas	Investment Adviser Representative	Restricted Approval	12/22/2021



## Qualifications

### Branch Office Locations

**SAGEVIEW ADVISORY GROUP, LLC**

9696 Culver Blvd  
Suite 208  
Culver City, CA 90232

### Employment 3 of 3

Firm Name: **FORTRESS WEALTH MANAGEMENT, INC.**

Main Address: 9696 CULVER BLVD SUITE 301  
CULVER CITY, CA 90232

Firm ID#: 110279

Regulator	Registration	Status	Date
IA California	Investment Adviser Representative	Approved	04/17/2012
IA Texas	Investment Adviser Representative	Restricted Approval	02/20/2018

### Branch Office Locations

**FORTRESS WEALTH MANAGEMENT, INC.**

9696 CULVER BLVD SUITE 301  
CULVER CITY, CA 90232



## 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, 1 general industry/product exam, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7)	Series 7	06/09/2003

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/16/2012
IA B Uniform Combined State Law Examination (S66)	Series 66	09/03/2003

### 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
IA	01/12/2018 - 12/14/2021	MJM401K, LLC	CRD# 133701	Culver City, CA
IA	09/17/2003 - 07/07/2004	FINANCIAL WEST INVESTMENT GROUP, INC.	CRD# 16668	THOUSAND OAKS, CA
B	06/11/2003 - 07/07/2004	FINANCIAL WEST GROUP	CRD# 16668	RENO, NV

### 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
11/2025 - Present	Farther	Principal, Wealth Advisor	Y	Culver City, CA, United States
02/2022 - Present	SageView Advisory Group, LLC	Vice President	Y	Culver City, CA, United States
08/2012 - Present	Fortress Wealth Management, Inc.	President	Y	Culver City, CA, United States
10/2008 - 02/2022	MJM401K, LLC	Chief Investment Officer	Y	Phoenix, AZ, 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.

Fortress Wealth Management, Inc.; Yes, Investment-Related; 9696 Culver Blvd, Suite 208, Culver City, CA 90232; Investment advising for wealth clients (individuals); Owner, President and Managing Principle; 2012; approximately 60 hours per month; approximately 2-4 hours/day on average during trading hours; Run the operations of the firm, facilitate relationships between advisers and clients/prospects, directly advise individual clients.

Sageview Advisory Group; Is the business investment related: Yes; Location of the business: 4000 MacArthur Blvd, Suite 1050 Newport Beach CA 92660 USA; oba street address: 4000 MacArthur Blvd, Suite 1050;oba city: Newport Beach;oba state: CA;oba zip code: 92660; oba country: USA; Description of the business: Advisory services to corporate defined contribution retirement plans; Position Title: Consultant; Responsibilities Duties: Consultant to individual 401k Plans. Duties include investment selection monitoring, participant education and plan level operational consulting; Start date with business: 2021-07-01;Hours per month devoted to business during trading hours: 30; Hours per month devoted to business outside trading hours: 50; Percentage of total yearly compensation expected to be derived from the business: 50; Will an IRS form for income earned be received: Yes.



## 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

### 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:** CALIFORNIA

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 02/22/1995

**Docket/Case Number:**

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

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** FAILURE TO PAY RENEWAL FEE

**Current Status:** Final

**Resolution:** Order

**Resolution Date:** 02/22/1995

**Sanctions Ordered:** Revocation/Expulsion/Denial

**Other Sanctions Ordered:**

**Sanction Details:** INVESTMENT ADVISER CERTIFICATE SUMMARILY REVOKED FOR NON-PAYMENT OF RENEWAL FEE.

**Regulator Statement** CONTACT: MARILYN STEVENS (916)327-0308.



**Reporting Source:** Individual  
**Regulatory Action Initiated By:** STATE OF CALIFORNIA  
**Sanction(s) Sought:** Revocation  
**Other Sanction(s) Sought:**  
**Date Initiated:** 02/22/1995  
**Docket/Case Number:** NOT PROVIDED  
**Employing firm when activity occurred which led to the regulatory action:** NONE  
**Product Type:** Other  
**Other Product Type(s):** NONE  
**Allegations:** FAILURE TO PAY RENEWAL FEE  
**Current Status:** Final  
**Resolution:** Other  
**Resolution Date:** 02/22/1995  
**Sanctions Ordered:** Revocation/Expulsion/Denial  
**Other Sanctions Ordered:**  
**Sanction Details:** INVESTMENT ADVISOR CERTIFICATE REVOKED  
**Broker Statement** MY INTENTION WAS TO LET MY ADVISOR CERTIFICATE LAPSE. I DID NOT NEED IT AT THAT TIME AS I WAS NOT SELLING COMMISSIONABLE PRODUCTS.



## End of Report

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