



## IAPD Report

# JEFF DUANE MARTIN

CRD# 1435507

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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

### JEFF DUANE MARTIN (CRD# 1435507)

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 **04/21/2026**.

### CURRENT EMPLOYERS

|           | Firm              | CRD#      | Registered Since |
|-----------|-------------------|-----------|------------------|
| <b>B</b>  | LPL FINANCIAL LLC | CRD# 6413 | 07/21/2021       |
| <b>IA</b> | LPL FINANCIAL LLC | CRD# 6413 | 07/21/2021       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **24** 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>IA</b> | WADDELL & REED               | 866  | TOPEKA, KS | 12/31/2001 - 07/21/2021 |
| <b>B</b>  | WADDELL & REED               | 866  | TOPEKA, KS | 06/15/2001 - 07/21/2021 |
| <b>B</b>  | PRUCO SECURITIES CORPORATION | 5685 | NEWARK, NJ | 03/14/1986 - 03/09/2001 |

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 | 3     |
| Termination      | 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 **24** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

|           | Regulator            | Registration                           | Status   | Date       |
|-----------|----------------------|--|----------|------------|
| <b>B</b>  | FINRA                | General Securities Principal           | Approved | 07/21/2021 |
| <b>B</b>  | FINRA                | General Securities Representative      | Approved | 07/21/2021 |
| <b>B</b>  | FINRA                | Invest. Co and Variable Contracts      | Approved | 07/21/2021 |
| <b>B</b>  | FINRA                | Investment Co./Variable Contracts Prin | Approved | 07/21/2021 |
| <b>B</b>  | Alabama              | Agent                                  | Approved | 09/03/2021 |
| <b>B</b>  | Arizona              | Agent                                  | Approved | 07/21/2021 |
| <b>B</b>  | California           | Agent                                  | Approved | 07/21/2021 |
| <b>B</b>  | Colorado             | Agent                                  | Approved | 07/21/2021 |
| <b>B</b>  | District of Columbia | Agent                                  | Approved | 03/06/2026 |
| <b>B</b>  | Florida              | Agent                                  | Approved | 07/21/2021 |
| <b>B</b>  | Kansas               | Agent                                  | Approved | 07/21/2021 |
| <b>IA</b> | Kansas               | Investment Adviser Representative      | Approved | 07/21/2021 |
| <b>B</b>  | Louisiana            | Agent                                  | Approved | 04/22/2026 |



### Qualifications

| Regulator                | Registration                      | Status              | Date       |
|--------------------------|-----------------------------------|---------------------|------------|
| <b>B</b> Massachusetts   | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> Missouri        | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> Nebraska        | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> Nevada          | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> New Mexico      | Agent                             | Approved            | 01/17/2022 |
| <b>B</b> New York        | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> North Carolina  | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> North Dakota    | Agent                             | Approved            | 03/19/2024 |
| <b>B</b> Ohio            | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> Oregon          | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> Rhode Island    | Agent                             | Approved            | 07/21/2021 |
| <b>B</b> South Carolina  | Agent                             | Approved            | 07/21/2021 |
| <b>IA</b> South Carolina | Investment Adviser Representative | Approved            | 07/21/2021 |
| <b>B</b> South Dakota    | Agent                             | Approved            | 06/06/2023 |
| <b>B</b> Tennessee       | Agent                             | Approved            | 09/11/2025 |
| <b>B</b> Texas           | Agent                             | Approved            | 07/21/2021 |
| <b>IA</b> Texas          | Investment Adviser Representative | Restricted Approval | 07/21/2021 |
| <b>B</b> Virginia        | Agent                             | Approved            | 07/21/2021 |



## Qualifications

### Branch Office Locations

**LPL FINANCIAL LLC**  
4848 SW 21ST ST, STE 101  
TOPEKA, KS 66604





## 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, 3 general industry/product exams, and 3 state securities law exams.**





#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
|  General Securities Principal Examination (S24)                             | Series 24 | 08/27/2001 |
|  Investment Company Products/Variable Contracts Principal Examination (S26) | Series 26 | 02/04/1992 |

#### General Industry/Product Exams

| Exam   | Category | Date       |
|--|----------|------------|
|  Securities Industry Essentials Examination (SIE)                               | SIE      | 10/01/2018 |
|  General Securities Representative Examination (S7)                             | Series 7 | 10/18/2000 |
|  Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 03/13/1986 |

#### State Securities Law Exams

| Exam  | Category  | Date       |
|---|-----------|------------|
|   Uniform Combined State Law Examination (S66) | Series 66 | 10/31/2001 |
|  Uniform Investment Adviser Law Examination (S65)  | Series 65 | 12/27/1999 |
|  Uniform Securities Agent State Law Examination (S63)  | Series 63 | 12/18/1985 |

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor



representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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 | 12/31/2001 - 07/21/2021 | WADDELL & REED                              | CRD# 866  | TOPEKA, KS      |
| B  | 06/15/2001 - 07/21/2021 | WADDELL & REED                              | CRD# 866  | TOPEKA, KS      |
| B  | 03/14/1986 - 03/09/2001 | PRUCO SECURITIES CORPORATION                | CRD# 5685 | NEWARK, NJ      |
| B  | 03/14/1986 - 12/10/1993 | THE PRUDENTIAL INSURANCE COMPANY OF AMERICA | CRD# 680  | NEWARK, NJ      |

### 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         |
|-------------------|---|-------------------|--------------------|---------------------------|
| 07/2021 - Present | LPL FINANCIAL LLC                                       | Financial Advisor | Y                  | TOPEKA, KS, United States |
| 02/2019 - 07/2021 | ARROWEALTH FINANCIAL LLC                                | DIRECTOR          | Y                  | TOPEKA, KS, United States |
| 04/2012 - 07/2021 | SALES & MARKETING EXECUTIVES OF TOPEKA                  | BOARD MEMBER      | N                  | TOPEKA, KS, United States |
| 02/2002 - 07/2021 | VARIOUS INSURANCE CARRIERS FOR W & R INSURANCE AGENCIES | INSURANCE AGENT   | Y                  | TOPEKA, KS, United States |
| 05/2001 - 07/2021 | WADDELL & REED, INC.                                    | ASSOCIATED PERSON | Y                  | TOPEKA, KS, United States |
| 09/2014 - 05/2021 | TOPEKA BLUES SOCIETY                                    | 2014 BOARD MEMBER | N                  | TOPEKA, KS, United States |
| 01/2018 - 05/2019 | C7J INC   | PRESIDENT         | N                  | TOPEKA, KS, United States |
| 04/2015 - 09/2018 | TOP OF THE TOWER INC                                    | BOARD MEMBER      | N                  | TOPEKA, KS, 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) 02/16/2019 - Business Entity For Tax/Investment Purposes Only / ArroWealth Financial, LLC / Not Investment Related / 0Hrs/Mo / Topeka, KS 66604



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

2) 02/16/2019 - DBA for LPL Business (entity for LPL business) / ArroWealth Financial, LLC / Investment Related / 0Hrs/Mo / Topeka, KS 66604

3) 12/08/2025 - CJ7 LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Topeka, KS - Start Date 12/08/2025 - 4 hours per month/ 0 hours during trading



## 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 | 3     |
| Termination      | 1     |

### 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 3

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Firm   |
| <b>Employing firm when activities occurred which led to the complaint:</b> | PRUCO SECURITIES, LLC.   |
| <b>Allegations:</b>  | REGARDING THE 2001 PURCHASE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN AND SUITABILITY. |
| <b>Product Type:</b>   | Insurance  |
| <b>Alleged Damages:</b>  | \$0.00   |

### Customer Complaint Information

|  |  |
|--|--|
| <b>Date Complaint Received:</b>        | 05/21/2008   |
| <b>Complaint Pending?</b>              | No   |
| <b>Status:</b>                         | Settled  |
| <b>Status Date:</b>                    | 11/20/2008   |
| <b>Settlement Amount:</b>              | \$162,089.80   |
| <b>Individual Contribution Amount:</b> | \$0.00   |
| <b>Firm Statement</b>                  | THIS MATTER IS BEING REPORTED CONSISTENT WITH FINRA RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE. |



**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUCO SECURITIES INC.

**Allegations:** REGARDING THE 2001 PURCHASE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY. THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN AND SUITABILITY

**Product Type:** Insurance

**Alleged Damages:** \$0.00

### Customer Complaint Information

**Date Complaint Received:** 05/21/2008

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 11/20/2008

**Settlement Amount:** \$162,089.80

**Individual Contribution Amount:** \$0.00

**Broker Statement** THE MATTER IS BEING REPORTED CONSISTENT WITH FINRA RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY (PRUCO SECURITIES) MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

### Disclosure 2 of 3

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** PRUCO SECURITIES

**Allegations:** PLAINTIFFS [CUSTOMERS] ALLEGE FRAUD AGAINST DEFENDANT MARTIN IN CONNECTION WITH THE SALE OF LIFE INSURANCE POLICIES AND ALLEGES COMPENSATORY DAMAGES AND PUNITIVE DAMAGES IN EXCESS OF \$100,000.00

**Product Type:** Insurance

**Alleged Damages:**

### Customer Complaint Information

**Date Complaint Received:** 06/05/2001

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 06/05/2001

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information



**Court Details:** CIRCUIT COURT, FORTY-FIRST JUDICIAL CIRCUIT, MACON COUNTY, MISSOURI #CV101-91CC

**Date Notice/Process Served:** 06/05/2001

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/13/2002

**Monetary Compensation Amount:** \$281,135.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** PRUDENTIAL

**Allegations:** CLASS ACTION LAW SUIT INVOLVED FIVE FAMILIES IN SAME TOWN WITH DIFFERENT AGENTS WHERE I AM THE SUPERVISOR.

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** VARIABLE UNIVERSAL LIFE

**Alleged Damages:** \$200,000.00

### Customer Complaint Information

**Date Complaint Received:** 05/07/2001

**Complaint Pending?** No

**Status:** Litigation

**Status Date:** 05/07/2001

**Settlement Amount:**

**Individual Contribution Amount:**

### Civil Litigation Information

**Court Details:** CASE NO. CV 101-91CC  
IN THE CIRCUIT COURT, FORTY-FIRST JUDICIAL CIRCUIT, MACON COUNTY, MISSOURI.

**Date Notice/Process Served:** 07/11/2001

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 06/13/2002

**Monetary Compensation Amount:** \$281,135.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** PRUDENTIAL UPDATED THE FORM U5 FOR RR ON NOVEMBER 16, 2005, ALERTING RR TO UPDATE HIS FORM U4.



**Disclosure 3 of 3**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** THE PRUDENTIAL

**Allegations:** ALLEGED SHE WAS TOLD POLICY WOULD RETIRE BEFORE SHE DID. RR WAS NOT SELLING AGENT, BUT DID ASSIST IN CASE.

**Product Type:** Insurance

**Alleged Damages:** \$16,000.00

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 04/30/2001

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/30/2001

**Settlement Amount:** \$17,500.38

**Individual Contribution Amount:** \$0.00

**Broker Statement** IN AN ATTEMPT TO CLEAN-UP THIS ITEM, RR CONTACTED PRUCO, WHO WAS UNABLE TO LOCATE THE COMPLAINT FILE AND HAD NEVER DISCLOSED THIS MATTER ON THE RR'S U5. DATE OF SETTLEMENT IS APPROXIMATE AS RR IS UNABLE TO VERIFY THE DATE.



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### Disclosure 1 of 1

|                             |   |
|-----------------------------|---|
| <b>Reporting Source:</b>    | Individual  |
| <b>Firm Name:</b>           | PRUCO SECURITIES CORPORATION  |
| <b>Termination Type:</b>    | Voluntary Resignation   |
| <b>Termination Date:</b>    | 03/02/2001  |
| <b>Allegations:</b>         | BUSINESS CARDS WITH DESIGNATIONS THAT HAD NOT BEEN RECIEVED YET.  |
| <b>Product Type:</b>        | No Product  |
| <b>Other Product Types:</b> |   |
| <b>Broker Statement</b>     | VOLUNTARY RESIGNATION. RESIGNATION AND THIS INCIDENT ARE NOT RELATED. I HAD BEEN SEARCHING FOR A DIFFERENT CAREER PATH. |



## End of Report

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