IAPD Report

IRA MARK HERMANN

CRD# 1485932

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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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

IRA MARK HERMANN (CRD# 1485932)

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 **10/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	10/31/2013
B	MML INVESTORS SERVICES, LLC	CRD# 10409	11/01/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **38** 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	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	2881	NEWPORT BEACH, CA	01/17/2008 - 10/31/2013
B	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	2881	NEWPORT BEACH, CA	11/28/1986 - 10/31/2013
B	ROBERT W. BAIRD & CO. INCORPORATED	8158	MILWAUKEE, WI	09/15/1993 - 01/01/2002

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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/01/2013
B	FINRA	Invest. Co and Variable Contracts	Approved	11/01/2013
B	Alabama	Agent	Approved	02/16/2023
B	Arizona	Agent	Approved	01/14/2014
B	Arkansas	Agent	Approved	05/25/2021
IA	California	Investment Adviser Representative	Approved	10/31/2013
B	California	Agent	Approved	11/04/2013
B	Colorado	Agent	Approved	11/28/2016
B	Connecticut	Agent	Approved	01/25/2022
B	District of Columbia	Agent	Approved	08/25/2025
B	Florida	Agent	Approved	11/12/2019
B	Georgia	Agent	Approved	03/18/2021
B	Hawaii	Agent	Approved	01/09/2014

Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	09/29/2021
B	Illinois	Agent	Approved	01/08/2014
B	Indiana	Agent	Approved	03/01/2023
B	Iowa	Agent	Approved	10/10/2025
B	Kentucky	Agent	Approved	09/25/2023
B	Maryland	Agent	Approved	02/15/2019
B	Massachusetts	Agent	Approved	06/30/2025
B	Michigan	Agent	Approved	04/18/2022
B	Missouri	Agent	Approved	10/15/2020
B	Montana	Agent	Approved	01/12/2022
B	Nebraska	Agent	Approved	10/06/2022
B	Nevada	Agent	Approved	01/16/2014
B	New Hampshire	Agent	Approved	03/08/2023
B	New Jersey	Agent	Approved	12/03/2020
B	New Mexico	Agent	Approved	10/04/2022
B	New York	Agent	Approved	11/29/2016
B	North Carolina	Agent	Approved	08/02/2019
B	Ohio	Agent	Approved	07/01/2020
B	Oregon	Agent	Approved	05/23/2018

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	10/15/2024
B	South Carolina	Agent	Approved	06/16/2020
B	Tennessee	Agent	Approved	11/22/2021
B	Texas	Agent	Approved	09/28/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	10/03/2017
B	Utah	Agent	Approved	08/07/2020
B	Vermont	Agent	Approved	12/15/2022
B	Virginia	Agent	Approved	11/21/2017
B	Washington	Agent	Approved	01/03/2014
B	Wisconsin	Agent	Approved	11/29/2017

Branch Office Locations

MML INVESTORS SERVICES, LLC
4675 MACARTHUR COURT
SUITE 1050
NEWPORT BEACH, CA 92660

MML INVESTORS SERVICES, LLC
LAGUNA NIGUEL, CA

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, 3 general industry/product exams, and 1 state securities law exam.

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	02/16/2006
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/27/2000

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/14/1993

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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	01/17/2008 - 10/31/2013	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	NEWPORT BEACH, CA
B	11/28/1986 - 10/31/2013	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	NEWPORT BEACH, CA
B	09/15/1993 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI
B	05/12/1986 - 12/31/1988	MUTUAL BENEFIT FINANCIAL SERVICE COMPANY	CRD# 4882	

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
10/2013 - Present	MASSMUTUAL LIFE INSURANCE COMPANY	AGENT	Y	NEWPORT BEACH, CA, United States
10/2013 - Present	MML INVESTORS SERVICES LLC	REGISTERED REPRESENTATIVE	Y	NEWPORT BEACH, CA, 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.

NAME: IRA HERMANN INV REL: Y ADD: 4695 MACARTHUR BLVD STE 1000 NEWPORT BEACH CA 92660 NATURE: INSURANCE POSITION: AGENT START DATE: 5/81 NO. HR/MO: 10 NO. HR/MO DURING SEC TRADING: 6-10 (2) NAME: PORTSMOUTH VA INV REL: Y ADD: 24631 BENJAMIN CIR DANA POINT CA 92626 NATURE: BUYING AND REPAIRING PROPERTY, THEN RENTING AND/OR SELLING POSITION: PARTNER/OWNER START DATE: 12/03/2021 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 0 DUTIES: ASSISTING WITH PURCHASE,REPAIR AND SELLING OF PROPERTY (3) NAME: FIRST FINANCIAL RESOURCES GROUP, LLC INV REL: Y ADD: 4695 MACARTHUR COURT #1000 NEWPORT BEACH CA 92660 NATURE: LIFE INSURANCE POSITION: INSURANCE AGENT START DATE: 6/17/2022 NO HRS/MO: 1 NO HRS/MO DUR TRADING: 1 DUTIES: INSURANCE AGENT, THIS IS A PRODUCER GROUP COMPRISED OF OTHER INSURANCE AGENTS FROM THE AROUND THE INDUSTRY AND COUNTRY FORMED TO ASSIST MEMBERS WITH THE NEGOTIATION OF MORE FAVORABLE INSURANCE UNDERWRITING DECISIONS AND MORE FAVORABLE COMMISSION PAYOUTS FROM THE INSURANCE COMPANIES THEY DEAL WITH. (4) NAME: FIRST FINANCIAL RESOURCES GROUP, LLC INV REL: Y ADD: 100 SPECTRUM CENTER DR SUITE #400 IRVINE CA 92618 NATURE: MINORITY OWNER OF AN INSURANCE PRODUCER GROUP POSITION: MINORITY OWNER START DATE: 6/17/2022 NO HRS/MO: 0 NO HRS/MO DUR TRADING: 0 DUTIES: NO SPECIFIC DUTIES, RESPONSIBILITIES OR OBLIGATIONS. BY VIRTURE OF BEING A MEMBER OF THE INSURANCE PRODUCER GROUP I AM ALSO PART OWNER (5) NAME: JMJ FUNDING GROUP, INC INV REL: Y ADD: 12377 LEWIS ST STE 202 GARDEN GROVE CA 92840 NATURE: BUYING PROPERTY, REPAIRING/RENTING, AND /OR SELLING POSITION:INVESTOR START DATE: 8/5/2022 NO HRS/MO: 1 NO HRS/M DUR TRADING: 0 DUTIES: PROVIDING CAPITAL TO HELP BUY AND SELL CONDOS. I WILL HAVE NO INVOLVEMENT OF PICKING OUT REAL ESTATE (6) NAME: CAR

Registration & Employment History

OTHER BUSINESS ACTIVITIES

WASHES LAND MANAGEMENT CO LLC INV REL: Y ADD:602 AVENIDA DE LA ESTRELLA SAN CLEMENTE CA NATURE: RENOVATING APARTMENT BUILDING AND RENTING TO TENANTS POSITION: INVESTOR & OWNER START DATE: 9/15/2022 NO HRS/MO:1 NO HRS/MO DUR TRADING: 0 DUTIES: I WILL PROVIDE THE CAPTIAL FOR THE INITIAL INVESTMENT AND RENOVATIONS. ONCE READY TO RENT TO TENANTS, I WILL RECIEVE RENTAL INCOME. I WILL NOT HAVE ANY DUITIES IN PROPERTY MANAGEMENT (7) NAME: SEAVIEW TERRACE APARTMENTS INV REL: Y ADD: 602 AVENIDA DE LA ESTRELLA SAN CLEMENTE CA NATURE: RENOVATING APARTMENT BUILDING AND RENTING TO TENANTS POSITION: INVESTOR START DATE: 9/15/2022 NO HRS/ MO: 1 NO HRS/MO DUR TRADING: 0 DUTIES: CAR WASHES LAND MANAGEMENT CO LLC OF WHICH I AM 50% OWNER, WILL PROVIDE CAPITAL OF THE INTITIAL INVESTMENT RENNOVATE THE APARTMENTS BEFORE PUTTING ON THE MARKET TO RENT TO TENANTS (8) NAME: APIZZA DOHO INV REL: Y ADD: 34255 CA-1 SUITE 101-2 , DANA POINT CA 92629 NATURE: A PIZZA RESTAURANT POSITION: INVESTOR START DATE: 12/19/2022 NO HRS/MO: 1 NO HRS/ MO DUR TRADING: 0 DUTIES: I AM PROVIDING $100K IN CAPITAL, BUT HAVE NO SAY IN ANY MANAGEMENT OR DAY TO DAY OPERATIONS. (9) NAME: THE HERMANN FINANCIAL GROUP, LLC INV REL: Y ADD: 4695 MACARTHUR COURT, SUITE 1000 NEWPORT BEACH CA 92660 NATURE: CORPORATION CREATED TO HAVE BUSINESS REVENUE FLOW INTO POSITION: OWNER START DATE: 02/01/2023 NO HRS/MO:40 NO HRS/MO DUR TRADING: 40 DUTIES: I OWN THE CORPORATION AND WILL HAVE ALL BUSINESS REVENUE FLOW THROUGH THE CORPORATION.

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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/05/2002
Docket/Case Number:	C02020004
Employing firm when activity occurred which led to the regulatory action:	ROBERT W. BAIRD & CO., INC. AND NORTHWESTERN MUTUAL INVESTMENT SERVIDES.
Product Type:	Other
Other Product Type(s):	UNKNOWN TYPE OF SECURITIES
Allegations:	NASD RULES 2110 AND 3040 - WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, HERMANN CONSENTED TO THE FINDINGS THAT HE ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PRIOR WRITTEN NOTICE TO HIS MEMBER FIRMS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	02/05/2002
Sanctions Ordered:	Monetary/Fine $5,000.00 Suspension
Other Sanctions Ordered:	

Sanction Details:	SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 30 DAYS. ** THE SUSPENSION IS EFFECTIVE MARCH 18, 2002 TO APRIL 16, 2002.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD REGULATION
Sanction(s) Sought:	Suspension Other: FINE OF $5000
Date Initiated:	12/07/2001
Docket/Case Number:	C02020004
Employing firm when activity occurred which led to the regulatory action:	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC (ROBERT W. BAIRD & CO)
Product Type:	Other: UNKNOWN TYPE OF SECURITIES
Allegations:	NASD RULES 2110 AND 3040 - WIHTOUT ADMITTING OR DENYING THE ALLEGATIONS, I CONSENTED TO THE FINDINGS THAT I ENGAGED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PRIOR WRITTEN NOTICE TO MY MEMBER FIRMS.
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?	Yes
Resolution Date:	02/05/2002
Sanctions Ordered:	Suspension Other: SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER, IN ANY CAPACITY, FOR A PERIOD OF 30 DAYS. SUSPENSION WAS EFFECTIVE MARCH 18, 2002 TO APRIL 16, 2002
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	NASD MEMBER
Duration:	30 DAYS
Start Date:	03/18/2002
End Date:	04/16/2002

End of Report

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