



## IAPD Report

# RICHARD ASHLEIGH FORTUNE

CRD# 1501384

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6
Disclosure Information	7

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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

### RICHARD ASHLEIGH FORTUNE (CRD# 1501384)

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 **05/21/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017
<b>IA</b>	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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>	MSI FINANCIAL SERVICES, INC.	14251	ISELIN, NJ	07/30/2002 - 03/25/2017
<b>B</b>	MSI FINANCIAL SERVICES, INC.	14251	ISELIN, NJ	05/09/1986 - 03/25/2017
<b>B</b>	METROPOLITAN LIFE INSURANCE COMPANY 4095		BROOKLYN, NY	05/09/1986 - 07/09/2007

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	6



## 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 **37** 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>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	03/25/2017
<b>B</b>	FINRA	Investment Co./Variable Contracts Prin	Approved	03/25/2017
<b>B</b>	Alabama	Agent	Approved	02/19/2021
<b>B</b>	Arizona	Agent	Approved	03/01/2021
<b>B</b>	Arkansas	Agent	Approved	01/13/2021
<b>B</b>	California	Agent	Approved	03/25/2017
<b>B</b>	Colorado	Agent	Approved	02/22/2021
<b>B</b>	Connecticut	Agent	Approved	03/25/2017
<b>B</b>	Delaware	Agent	Approved	03/25/2017
<b>B</b>	Florida	Agent	Approved	03/25/2017
<b>B</b>	Georgia	Agent	Approved	03/25/2017
<b>B</b>	Idaho	Agent	Approved	01/20/2021
<b>B</b>	Illinois	Agent	Approved	03/04/2021



## Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	01/22/2021
B	Iowa	Agent	Approved	01/25/2021
B	Kentucky	Agent	Approved	02/24/2021
B	Louisiana	Agent	Approved	01/08/2021
B	Maine	Agent	Approved	02/12/2024
B	Maryland	Agent	Approved	11/09/2020
B	Minnesota	Agent	Approved	03/12/2021
B	Mississippi	Agent	Approved	02/22/2021
B	Missouri	Agent	Approved	05/22/2024
B	Nebraska	Agent	Approved	01/27/2021
B	New Jersey	Agent	Approved	03/25/2017
IA	New Jersey	Investment Adviser Representative	Approved	03/25/2017
B	New York	Agent	Approved	03/25/2017
B	North Carolina	Agent	Approved	03/25/2017
B	North Dakota	Agent	Approved	06/23/2025
B	Ohio	Agent	Approved	09/02/2020
B	Oklahoma	Agent	Approved	06/12/2019
B	Pennsylvania	Agent	Approved	03/25/2017
B	Rhode Island	Agent	Approved	03/25/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> South Carolina	Agent	Approved	05/09/2017
<b>B</b> South Dakota	Agent	Approved	10/03/2024
<b>B</b> Texas	Agent	Approved	02/19/2021
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	02/22/2021
<b>B</b> Utah	Agent	Approved	01/26/2021
<b>B</b> Vermont	Agent	Approved	01/20/2021
<b>B</b> Virginia	Agent	Approved	01/21/2021
<b>B</b> Washington	Agent	Approved	01/21/2021
<b>B</b> West Virginia	Agent	Approved	02/03/2022

### Branch Office Locations

**MML INVESTORS SERVICES, LLC**  
25 Independence Boulevard  
Suite 200, 2nd floor  
Warren, NJ 07059



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

#### Principal/Supervisory Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	09/11/1998

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/08/1986

#### State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	05/07/1998

### 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	07/30/2002 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	ISELIN, NJ
B	05/09/1986 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	ISELIN, NJ
B	05/09/1986 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	BROOKLYN, NY

### 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
03/2017 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	WARREN, NJ, United States
07/2016 - Present	Massachusetts Mutual Life Insurance Company	AGENT	Y	WARREN, NJ, United States
07/1983 - 03/2017	METLIFE SECURITIES INC.	NOT PROVIDED	Y	ROSELAND, NJ, United States
07/1983 - 07/2016	METROPOLITAN LIFE INSURANCE COMPANY	NOT PROVIDED	Y	ROSELAND, NJ, 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) Name: Richard A Fortune Inv rel: Y Add: 25 Independence Blvd, Suite 200, Warren, NJ 07059 Nature: Outside Insurance Sales Position Agent Start date: 1/2018 No. HR/MO: 5 No. HR/MO during sec trading: 5 Duties: Life (Term/Universal/Whole), Disability, Long-Term Care, Health and Fixed Annuities.
- 2) Name: Fortune Real Estate Partners LLC Inv rel: Y Add: 152 Liberty Corner Rd Ste 1 Warren, NJ 07059 Nature: LLC/Real Estate Position: Ownership Start date: 03/2015 No. HR/MO: 0 No. HR/MO during sec trading: 0 Describe duties: Established the LLC as an owner titled.
- 3) Name: Fortune Wealth Financial group LLC Inv rel: Y Add: 152 Liberty Corner Rd Ste 1 Warren, NJ 07059 Nature: LLC Position: Managing Member Start date: 07/2016 No. HR/MO: 50 No. HR/MO during sec trading: 40 Describe duties: LLC used for rents, expenses, taxes, etc.
- 4) NAME: The Center of Great Expectations INV REL: Y ADD: 19A Dellwood Lane, Somerset NJ 08873 NATURE: A non-profit human services organization POSITION: Treasurer START DATE: 04/24/2025 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 0 DESCRIBE DUTIES: Chairperson of the finance committee, including reviewing financial reports and budgets and reports to the board.



## 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	6

### 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 6

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MSI Financial Services, Inc.
<b>Allegations:</b>	Plaintiff alleged violation of securities law for the advisor's failure to disclose all options available regarding plaintiff's variable annuity withdrawals commencing on or about February 2015 through October 2015.
<b>Product Type:</b>	Annuity-Variable
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	Compensatory damages in an amount to be proven at trial.

### Civil Litigation Information

<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	New Jersey Superior Court
<b>Location of Court:</b>	Middlesex County, New Jersey
<b>Docket/Case #:</b>	MID-L-4448-17
<b>Date Notice/Process Served:</b>	08/02/2017
<b>Litigation Pending?</b>	No
<b>Disposition:</b>	Settled
<b>Disposition Date:</b>	09/28/2018



**Monetary Compensation Amount:** \$67,500.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** Internal Reference 201729748.

This settlement is not an admission of any liability/wrongdoing on my part, and is not an admission of the truth of any of the Plaintiff's allegations. It was reached as a compromise between MetLife and the Plaintiff to cease the ongoing dispute. I vehemently deny all of the claimant's allegations.

### Disclosure 2 of 6

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGED THE ADVISOR MISREPRESENTED THE VARIABLE ANNUITY PURCHASED IN DECEMBER 2014. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.

**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:** 06/15/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 07/09/2015

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 3 of 6

**Reporting Source:** Individual

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

**Allegations:** CUSTOMER ALLEGED THE ADVISOR MISREPRESENTED THE FEATURES OF SEVERAL VARIABLE ANNUITIES PURCHASED IN APRIL 2011 THROUGH AUGUST 2014.



**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** IT IS BELIEVED THE POTENTIAL DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.

**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:** 03/25/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 04/20/2015

**Settlement Amount:**

**Individual Contribution Amount:**

### Disclosure 4 of 6

**Reporting Source:** Individual

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

**Allegations:** CUSTOMERS HAVE ALLEGED THE ADVISOR MISPRESENTED THE FEATURES OF SEVERAL VARIABLE ANNUITIES PURCHASED IN NOVEMBER 2009 THROUGH FEBRUARY 2012. CUSTOMERS HAVE ALLEGED DAMAGES FOR THE WAIVER OF SURRENDER PENALTIES AND SUPPLEMENTAL FEES.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** IT IS BELIEVED THE ALLEGED DAMAGES WOULD EXCEED THE REPORTING THRESHOLD.

**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:** 03/12/2015

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 06/12/2015

**Settlement Amount:****Individual Contribution Amount:****Disclosure 5 of 6****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** METLIFE**Allegations:** CUSTOMER ALLEGES THE TWO VARIABLE ANNUITIES SHE PURCHASED IN DECEMBER 2007 WERE PRESENTED IN AN INAPPROPRIATE AND UNETHICAL MANNER AND THE CONTRACTS WERE UNSUITABLE. NO SPECIFIC COMPENSATORY DAMAGES WERE ALLEGED.**Product Type:** Annuity(ies) - Variable**Alleged Damages:** \$0.00**Customer Complaint Information****Date Complaint Received:** 02/08/2008**Complaint Pending?** No**Status:** Denied**Status Date:** 04/03/2008**Settlement Amount:****Individual Contribution Amount:****Disclosure 6 of 6****Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** METLIFE**Allegations:** CLIENT HAS ALLEGED THAT THE VARIABLE ANNUITY CONTRACT RECEIVED DOES NOT CONFORM TO THE FINANCIAL VEHICLE THAT WAS DISCUSSED AND AGREED UPON IN JANUARY OF 2007. NO SPECIFIC COMPENSATORY DAMAGES HAVE BEEN ALLEGED. A SETTLEMENT HAS BEEN MADE AS AN ACCOMMODATION.**Product Type:** Annuity(ies) - Variable**Alleged Damages:** \$0.00**Customer Complaint Information****Date Complaint Received:** 06/29/2007**Complaint Pending?** No**Status:** Settled**Status Date:** 10/02/2008**Settlement Amount:** \$724,800.00



**Individual Contribution Amount:** \$0.00



## End of Report

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