



IAPD Report

STANLEY WHITTLESEY

CRD# 1556793

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

STANLEY WHITTLESEY (CRD# 1556793)

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 **02/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CAPITAL FINANCIAL MANAGEMENT, INC.	CRD# 123625	07/14/1993
B	EBH SECURITIES, INC.	CRD# 36592	07/21/1994

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	MARINER FINANCIAL SERVICES, INC.	8292	LARGO, FL	07/13/1993 - 08/02/1994
B	FIRST AMERICAN NATIONAL SECURITIES, INC.	10111	LARGO, FL	03/09/1987 - 06/25/1987

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
Criminal	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **EBH SECURITIES, INC.**
Main Address: 6525 E. 82ND ST. SUITE 209
INDIANAPOLIS, IN 46250
Firm ID#: 36592

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	07/21/1994
B FINRA	Investment Co./Variable Contracts Prin	Approved	07/21/1994
B FINRA	Operations Professional	Approved	12/16/2011
B FINRA	Introducing BD/Finan Operation Principal	Approved	10/27/2015
B Georgia	Agent	Approved	06/09/1995
B Indiana	Agent	Approved	01/02/1996
B Kentucky	Agent	Approved	07/18/1996
B Ohio	Agent	Approved	01/01/1996

Branch Office Locations

6525 E. 82ND ST. SUITE 209
INDIANAPOLIS, IN 46250

Employment 2 of 2

Firm Name: **CAPITAL FINANCIAL MANAGEMENT, INC.**
Main Address: 6525 E. 82ND ST. SUITE 209
INDIANAPOLIS, IN 46250
Firm ID#: 123625



Qualifications

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	07/14/1993

Branch Office Locations

CAPITAL FINANCIAL MANAGEMENT, INC.

6525 E. 82ND ST.
SUITE 209
INDIANAPOLIS, IN 46250



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	10/27/2015
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/07/1994

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/09/1993

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	07/06/1993

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
B	07/13/1993 - 08/02/1994	MARINER FINANCIAL SERVICES, INC.	CRD# 8292	LARGO, FL
B	03/09/1987 - 06/25/1987	FIRST AMERICAN NATIONAL SECURITIES, INC.	CRD# 10111	

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
05/1994 - Present	EBH SECURITIES, INC.	NOT PROVIDED	Y	INDIANAPOLIS, IN, United States
04/1993 - Present	CAPITAL FINANCIAL MANAGEMENT, INC	OTHER - DIRECTOR, OFFICER, EMPLOYEE	N	INDIANAPOLIS, IN, United States
01/1976 - Present	US GOVERNMENT (ARMY)	OTHER - ARMY OFFICER	N	INDIANAPOLIS, IN, 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.

CAPITAL FINANCIAL MANAGEMENT, INC-OWN 100% OF OUTSTANDING SHARES. PRESIDENT, INSURANCE AGENT, & INVESTMENT ADVISOR.

Investment related: The firm does not offer or sell financial products through this company. The firm offers securities through EBH Securities, Inc.

Address: 6525 E. 82nd St Suite 209 Indianapolis, IN 46250

Nature of business: The firm is a financial planning company, Registered as an Investment Advisory Firm

Position: President and financial advisor

Title: President

Start date: 1992

Approximate number of hours/month devoted to business: 4-8 hours

Number of hours devoted during securities trading hours: 4-8

Duties: Act as an Investment Advisor to individuals. Perform administrative duties within the business



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADVANCED FUNDING GROUP, LLC MANAGING DIRECTOR
Business is not investment related

Address: 6525 E. 82nd St Suite 209, Indianapolis, IN 46250

Nature of business: Pre-Settlement funding

Position: Managing Director

Title: Managing Director

Start Date: April 2007

Approximate number of hours/month devoted to business: 16-20 hours

Duties: provide individual customers with pre-settlement funding during their pending lawsuit.
Conduct administrative duties within the business.

Rental Properties (2)

Address: 4453 Pepperidge circle and 3537 Luewan DR
Indianapolis, IN 46226 Indianapolis, IN 46235

Nature of business: rental properties, this business is not investment -related

Position: Owner of properties

Start Date: purchased properties in 2008

Approximate number of hours per month devoted to business: 2-3 hours

Number of hours devoted during securities trading hours: 0-1 hour

Duties: Manage properties, conduct administrative duties of the business



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
------	-------

Criminal	1
----------	---

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	COURT Not Provided
Charge Date:	11/06/1972
Charge Details:	PETTY LARCENY AND POSSESSION OF BURGLARY TOOLS; FOR STEALING A TAPE PLAYER OUT OF A CAR
Felony?	
Current Status:	Final
Status Date:	11/24/1972
Disposition Details:	THE CASE WAS "FILED AWAY"-FINED IN THE AMOUNT OF \$105.00
Broker Statement	Not Provided



End of Report

This page is intentionally left blank.