IAPD Report

MAX SCOTT ABRAMS

CRD# 1611366

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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

MAX SCOTT ABRAMS (CRD# 1611366)

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 **04/18/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MONEY MANAGERS, INC.	CRD# 151602	02/11/2022

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	LOCATION	03/09/1990 - 06/12/1990
B	IDS LIFE INSURANCE COMPANY	6321	LOCATION	03/09/1990 - 06/12/1990
B	WALT SECURITIES, INC.	15171	LOCATION	09/29/1988 - 07/17/1989

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
Criminal	1
Financial	1

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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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MONEY MANAGERS, INC.**

Main Address: 7495 W AZURE DRIVE
110
LAS VEGAS, NV 89130

Firm ID#: 151602

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	02/11/2022

Branch Office Locations

MONEY MANAGERS, INC.
438 E. KATELLA AVE.
SUITE 217
ORANGE, CA 92867

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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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	National Commodity Futures Examination (S3)	Series 3	05/19/1988
B	General Securities Representative Examination (S7)	Series 7	12/20/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/05/2022
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/06/1987

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

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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	03/09/1990 - 06/12/1990	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	
B	03/09/1990 - 06/12/1990	IDS LIFE INSURANCE COMPANY	CRD# 6321	
B	09/29/1988 - 07/17/1989	WALT SECURITIES, INC.	CRD# 15171	
B	12/26/1986 - 04/21/1987	THE STUART-JAMES COMPANY, INC.	CRD# 11691	

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
02/2022 - Present	MONEY MANAGERS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	LAS VEGAS, NV, United States
10/2020 - 10/2023	ACC MORTGAGE	LOAN OFFICER	N	TORRANCE, CA, United States
03/2021 - 08/2022	HOMEBAY / LENOX LOANS	MORTGAGE	N	SANTA ANA, CA, United States
11/2020 - 03/2021	SUN WEST MORTGAGE	LOAN OFFICER	N	BUENA PARK, CA, United States
03/2020 - 10/2020	ABRAMS GROUP	SELF EMPLOYED	N	IRVINE, CA, United States
07/2019 - 03/2020	ALLIANCE TAX ADVOCATE	TAX ANALYST	N	SANTA ANA, CA, United States
11/2018 - 07/2019	ABRAMS FINANCE GROUP	SELF EMPLOYED	N	IRVINE, CA, United States
01/2018 - 10/2018	MR COOPER INC	LOAN OFFICER	N	SANTA ANA, CA, United States
07/2017 - 12/2017	ABRAMS FINANCE GROUP	SELF EMPLOYED	N	IRVINE, CA, United States
03/2017 - 07/2017	MERIDIEN ENERGY GROUP	SHAREHOLDER SERVICES	Y	IRVINE, CA, United States
07/2015 - 02/2017	PERFECT POWER SYSTEMS	SALES MANAGER	N	LOS ANGELES, CA, United States

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Registration & Employment History

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.

LIONSGATE REALTY; NOT INVESTMENT-RELATED; CA; REAL ESTATE BROKER; APPROX. 4 HRS/MO OUTSIDE TRADING HOURS.
ABRAMS FINANCE GROUP; NOT INVESTMENT-RELATED; CA; ACCOUNTING SERVICES; APPROX. 4 HRS/MO OUTSIDE TRADING HOURS.
EMORTGAGE CAPITAL; NOT INVESTMENT-RELATED; CA; MORTGAGE FUNDING; APPROXIMATELY 8 HRS/MO OUTSIDETRADING HOURS,

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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.

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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
Criminal	1
Financial	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:	Individual
Regulatory Action Initiated By:	NEW MEXICO STATE DEPARTMENT OF SECURITIES
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	05/01/1989
Docket/Case Number:	05/89 05-89
Employing firm when activity occurred which led to the regulatory action:	WALT SECURITIES / 1ST VENTURE CAPITAL DEVELOPMENT CORP
Product Type:	Equity - OTC
Other Product Type(s):	PRIVATE SECURITIES, PRIVATE PLACEMENTS AND IPO'S
Allegations:	GROUP OF MULTI-LEVEL MARKETERS BOUGHT SHARES PRIVATELY IN THE COMPANY WHOSE PRODUCTS THEY SOLD. WHEN THEY DID NOT RECEIVE THEIR STOCK CERTIFICATES IN A TIMELY FASHION, THEY REGISTERED COMPLAINTS AT THE LOCAL REGULATORY OFFICES IN NEW MEXICO.
Current Status:	Final
Resolution:	Consent
Resolution Date:	10/31/1989
Sanctions Ordered:	Cease and Desist/Injunction

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Other Sanctions Ordered:	NONE
Sanction Details:	NONE
Broker Statement	ORDERED NOT TO SELL UNREGISTERED SECURITIES IN THE STATE OF NEW MEXICO. EFFECTIVE OCTOBER 1989. ALSO ORDERED NOT TO SELL SECURITIES IN THE STATE OF NEW MEXICO WITHOUT BEING REGISTERED WITH THE STATE.

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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:	HARBOR MUNICIPAL COURT, NEWPORT BEACH, CA
Charge Date:	07/10/1979
Charge Details:	CHARGED WITH 1 COUNT FELONGY POSSESSION OF PSYLOCYBIN MUSHROOMS (LESS THAN 1 OZ) AND 1 COUNT MISDEMENOR - POSSESSION OF MARIJAUNA (LESS THAN 1 OZ.). FOUND NOT GUILTY FOR THE FIRST COUNT. THE CHARGE WAS DROPPED BY THE DA. THE SECOND COUNT FOR POSSESSION OF LESS THAN 1 OZ. OF MARIJUANA, PLEAD GUILTY, PAID A $25 FINE.
Felony?	Yes
Current Status:	Final
Status Date:	09/15/1979
Disposition Details:	COUNT 1 - DISMISSED (A) COUNT 2 - FINED (F)- $25.00 - PAID 09/15/1979 (G)
Broker Statement	WHILE PARKED IN A VEHICLE WITH A FRIEND, THE NEWPORT POLICE ASKED US OUT OF THE VEHICLE AND SEARCHED IT AS WELL AS US, FINDING THE MUSHROOMS AND MARIJUANA. I WAS 19 YEARS OLD AT THE TIME.

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Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	11/20/2019
Organization Investment-Related?	
Type of Court:	DISTRICT COURT
Name of Court:	CENTRAL DISTRICT COURT
Location of Court:	CALIFORNIA
Docket/Case #:	BK1914545
Action Pending?	No
Disposition:	Discharged
Disposition Date:	03/09/2020

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End of Report

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