



## IAPD Report

# DERICK LEON GANT

CRD# 2206717

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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

### DERICK LEON GANT (CRD# 2206717)

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 **01/13/2023**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GANT INVESTMENT ADVISORS, INC.	CRD# 120467	02/19/2009

### 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
IA	WUNDERLICH SECURITIES, INC.	2543	TOLEDO, OH	11/02/2007 - 08/02/2010
B	WUNDERLICH SECURITIES, INC.	2543	TOLEDO, OH	10/26/2007 - 08/02/2010
B	MUTUAL SERVICE CORPORATION	4806	TOLEDO, OH	02/16/2001 - 11/01/2007

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
Regulatory Event	1
Judgment/Lien	5



## 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: **GANT INVESTMENT ADVISORS, INC.**  
Main Address: 5577 AIRPORT HWY., SUITE 200  
TOLEDO, OH 43615  
Firm ID#: 120467

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	02/19/2009

### Branch Office Locations

**GANT INVESTMENT ADVISORS, INC.**  
5577 AIRPORT HWY., SUITE 200  
TOLEDO, OH 43615



## 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 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/26/2000

#### General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination (S7)	Series 7	12/27/1993
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/22/1992

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	09/20/1999
Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1992

### 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	11/02/2007 - 08/02/2010	WUNDERLICH SECURITIES, INC.	CRD# 2543	TOLEDO, OH
B	10/26/2007 - 08/02/2010	WUNDERLICH SECURITIES, INC.	CRD# 2543	TOLEDO, OH
B	02/16/2001 - 11/01/2007	MUTUAL SERVICE CORPORATION	CRD# 4806	TOLEDO, OH
IA	08/09/1999 - 12/31/2006	GANT INVESTMENT ADVISORS, INC.	CRD# 120467	TOLEDO, OH
B	01/23/1992 - 02/21/2001	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ

### 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
01/2009 - Present	Gant Investment Advisors Inc.	Owner / Operator	Y	Toledo, OH, 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.

BUDGET PLANNING AND DEBT REDUCTION CONSULTING Smart Money Management

NAME: GANT INVESTMENT ADVISORS,INC.-INV REL: YES-MARKETING-STARTED: 01/16/09.

NAME: INSURANCE/ANNUITY -INV REL: YES -STARTED 1/2/09



## 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
Judgment/Lien	5

### 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:** OHIO

**Sanction(s) Sought:** Other: Order no. 07-024 Terminated Division Order No. 06-212

**Date Initiated:** 09/25/2006

**Docket/Case Number:** 06-212

#### URL for Regulatory Action:

**Employing firm when activity occurred which led to the regulatory action:** GANT INVESTMENT ADVISORS, INC.

**Product Type:** No Product

**Allegations:** THE OHIO DIVISION OF SECURITIES HAS ISSUED A SUMMARY SUSPENSION ORDER AND A NOTICE OF INTENT TO REVOKE TO DERICK GANT AND GANT INVESTMENT ADVISORS, INC. DERICK GANT IS THE SOLE OWNER OF GANT INVESTMENT ADVISORS, INC., AN OHIO LICENSED IA. THE OHIO DIVISION OF SECURITIES ALLEGES THAT GANT HAS MADE REPEATED MISREPRESENTATIONS TO THE DIVISION BETWEEN 2002 AND 2006 CONCERNING THE STATUS OF THE FINANCIAL DOCUMENTS RELATING TO HIS INVESTMENT ADVISER. THE DIVISION ALLEGES THAT MR. GANT REPRESENTED TO THE DIVISION THAT HIS ACCOUNTANT WOULD PREPARE TRIAL BALANCES AND FINANCIAL STATEMENTS WHICH WOULD BE PROVIDED QUARTERLY AS REQUIRED, OR THAT HIS ACCOUNTANT WAS IN THE PROCESS OF PREPARING THE REQUISITE FINANCIAL STATEMENTS. IN FACT, MR. GANT HAD NEVER REQUESTED THAT HIS ACCOUNTANT PREPARE THE NECESSARY FINANCIAL RECORDS



AS REQUIRED UNDER OHIO'S INVESTMENT ADVISER BOOKS AND RECORDS LAW. THE DIVISION ALLEGES THAT MR. GANT HAS VIOLATED OAC RULE 1301:6-3-44(E)(1)(C) IN THAT HE MADE FALSE REPRESENTATIONS TO THE DIVISION IN THE COURSE OF ANY DIVISION INQUIRY INTO THE CONDUCT OF THE INVESTMENT ADVISER'S BUSINESS. THE DIVISION FURTHER ALLEGES THAT GANT'S CONDUCT FALLS WITHIN THE PURVIEW OF RC 1707.19(A)(4) AND (10)(B). THE DIVISION ALLEGES THAT MR. GANT'S LACK OF GOOD BUSINESS REPUTE IS SUFFICIENT CAUSE FOR THE SUSPENSION AND REVOCATION OF HIS INVESTMENT ADVISER, GANT INVESTMENT ADVISORS, INC.

**Current Status:** Final  
**Resolution:** Order no. 07-024 Terminated Division Order No. 06-212

**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:** 02/12/2007

**Sanctions Ordered:** Other: Order no. 07-024 Terminated Division Order No. 06-212

**Regulator Statement** MR. GANT'S INVESTMENT ADVISER REPRESENTATIVE LICENSE HAS BEEN SUMMARILY SUSPENDED. THE DIVISION HAS ISSUED A NOTICE ORDER TO MR. GANT SUMMARILY SUSPENDING HIS LICENSE AND NOTIFYING HIM OF THE DIVISION'S INTENT TO REVOKE HIS LICENSE.

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** OHIO DEPARTMENT OF COMMERCE, DIVISION OF SECURITIES

**Sanction(s) Sought:** Suspension  
**Other Sanction(s) Sought:** INVESTMENT ADVISOR REPRESENTATIVE LICENSE

**Date Initiated:** 09/25/2006

**Docket/Case Number:** 06-212

**Employing firm when activity occurred which led to the regulatory action:** MUTUAL SERVICE CORPORATION

**Product Type:** Other

**Other Product Type(s):**

**Allegations:** THE STATE ALLEGES THAT RESPONDENT VIOLATED OHIO ADMIN. CODE RULES 1301:6-3-15.1(E) (1) (A) (B) AND (F), 1301:6-3-15.1(E)5 AND 1301: 6-3-44 (E) (1) (C).

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 02/12/2007

**Sanctions Ordered:**

**Other Sanctions Ordered:**



**Sanction Details:**

FINAL ORDER ISSUED 07-024 TO TERMINATE ORDER NO. 06-212.  
RESPONDENTS AGREE NOT TO DO SECURITIES BUSINESS OR COLLECT  
FEES AS GANT INVESTMENT ADVISORS, INC. OR AS AN INVESTMENT  
ADVISOR REPRESENTATIVE OF GANT INVESTMENT ADVISORS, INC. UNTIL  
01/01/2009 AND ONLY UPON RECEIVING APPROPRIATE LICENSURE TO  
CONDUCT BUSINESS UNDER THE OHIO SECURITIES ACT.



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 5

**Reporting Source:** Individual  
**Judgment/Lien Holder:** Capital One  
**Judgment/Lien Amount:** \$3,850.00  
**Judgment/Lien Type:** Civil  
**Date Filed with Court:** 08/13/2018  
**Date Individual Learned:** 06/25/2022  
**Type of Court:** State Court  
**Name of Court:** Lucas County Court  
**Location of Court:** Toledo  
**Docket/Case #:** G-4801-210808329  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Card was stolen and used, the court sent documents to an incorrect address and a default settlement was determined in favor of the debt holder. Currently Challenging the validity of the debt, but no reply 1/11/2023

### Disclosure 2 of 5

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Ohio  
**Judgment/Lien Amount:** \$578.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 03/24/2018  
**Date Individual Learned:** 04/06/2018  
**Type of Court:** State Court  
**Name of Court:** Lucas  
**Location of Court:** Lucas County  
**Docket/Case #:** 2011705998  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Working to resolve and pay this debt.

### Disclosure 3 of 5

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Ohio  
**Judgment/Lien Amount:** \$1,152.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/25/2018



**Date Individual Learned:** 05/04/2018  
**Type of Court:** State Court  
**Name of Court:** Lucas  
**Location of Court:** Lucas County  
**Docket/Case #:** 2101705998  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Working to settle and pay with the state

**Disclosure 4 of 5**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Ohio  
**Judgment/Lien Amount:** \$15,968.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 04/27/2018  
**Date Individual Learned:** 05/31/2018  
**Type of Court:** State Court  
**Name of Court:** Lucas County  
**Location of Court:** Lucas County  
**Docket/Case #:** 201805550  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Working to resolve a settlement with ex-spouse and state auditor.

**Disclosure 5 of 5**

**Reporting Source:** Individual  
**Judgment/Lien Holder:** State of Ohio  
**Judgment/Lien Amount:** \$13,969.00  
**Judgment/Lien Type:** Tax  
**Date Filed with Court:** 03/24/2017  
**Date Individual Learned:** 04/29/2017  
**Type of Court:** State Court  
**Name of Court:** Lucas County  
**Location of Court:** Lucas County  
**Judgment/Lien Outstanding?** Yes  
**Broker Statement** Working towards a settlement payment with ex-spouse and the state.



## End of Report

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