IAPD Report

MARTIN DAVIS HENSLEY

CRD# 2297110

Section Title	Page(s)

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

MARTIN DAVIS HENSLEY (CRD# 2297110)

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 **01/13/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	02/12/2021

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	CAPITAL FINANCIAL ADVISORY GROUP, LLC	144374	APEX, NC	03/29/2017 - 11/26/2025
IA	FREEDOM INVESTMENT MANAGEMENT, INC.	126052	Apex, NC	10/27/2021 - 07/31/2025
IA	JB FITZ INC.	282646	FUQUAY, NC	04/04/2016 - 02/06/2017

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	2
Termination	1
Judgment/Lien	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FOUNDATIONS INVESTMENT ADVISORS LLC**

Main Address: 4050 E. COTTON CENTER BLVD.
SUITE 40
PHOENIX, AZ 85040

Firm ID#: 175083

	Regulator	Registration	Status	Date
IA	North Carolina	Investment Adviser Representative	Approved	02/12/2021

Branch Office Locations

FOUNDATIONS INVESTMENT ADVISORS LLC
2530 MERIDIAN PARKWAY
SUITE 432
DURHAM, NC 27713

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, 0 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
No information reported.		

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	04/02/2002
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/12/1994

PROFESSIONAL DESIGNATIONS

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

No information reported.

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	03/29/2017 - 11/26/2025	CAPITAL FINANCIAL ADVISORY GROUP, LLC	CRD# 144374	APEX, NC
IA	10/27/2021 - 07/31/2025	FREEDOM INVESTMENT MANAGEMENT, INC.	CRD# 126052	Apex, NC
IA	04/04/2016 - 02/06/2017	JB FITZ INC.	CRD# 282646	FUQUAY, NC
IA	04/22/2015 - 04/13/2016	BROOKSTONE CAPITAL MANAGEMENT LLC	CRD# 141413	MORRISVILLE, NC
IA	06/26/2013 - 08/27/2013	AXA ADVISORS, LLC	CRD# 6627	RALEIGH, NC
IA	09/18/2012 - 07/16/2013	GORDON ASSET MANAGEMENT, LLC	CRD# 118471	DURHAM, NC
IA	07/18/2011 - 02/08/2012	WINTHROP CAPITAL MANAGEMENT	CRD# 145216	RALEIGH, NC
IA	04/19/2011 - 06/22/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	RALEIGH, NC
IA	09/10/2010 - 04/13/2011	LPL FINANCIAL LLC	CRD# 6413	RALEIGH, NC
IA	05/06/2010 - 09/01/2010	FAMILY OFFICE GROUP LLC	CRD# 147275	PINEHURST, NC
IA	08/04/2009 - 04/27/2010	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	RALEIGH, NC
IA	06/06/2007 - 08/05/2009	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	RALEIGH, NC
IA	03/01/2005 - 06/06/2007	WACHOVIA SECURITIES, LLC	CRD# 19616	DURHAM, NC
IA	04/08/2002 - 03/02/2005	BB&T INVESTMENT SERVICES, INC.	CRD# 33856	CHARLOTTE, NC

Registration & Employment History

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
01/2026 - Present	FOUNDATIONS INVESTMENT ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	PHOENIX, AZ, United States
10/2018 - 01/2026	FOUNDATIONS INVESTMENT ADVISORS LLC	SOLICITOR	Y	PHOENIX, AZ, United States
08/2021 - 11/2025	EQIS Capital Management, Inc.	Solicitor	Y	San Rafael, CA, United States
02/2017 - 11/2025	Capital Financial Advisory Group	Investment Adviser	Y	Apex, NC, United States
04/2015 - 02/2017	BROOKSTONE CAPITAL MANAGEMENT	Investment Advisor	Y	Fuquay, NC, United States
03/2016 - 01/2017	J B Fitz Inc.	Investment Adviser Representative	Y	Fuquay, NC, 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.

FULL COURT WEALTH; INVESTMENT RELATED; 2530 MERIDIAN PARKWAY SUITE 432 DURHAM, NC 27713; INSURANCE SALES; POSITION: INSURANCE SALES; START DATE: 01/12/2026; 30 HRS/WEEK DEVOTED TO OTHER BUSINESS; OFFER INSURANCE PLANS TO PROSPECTIVE CLIENTS

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	2
Termination	1
Judgment/Lien	1

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	BB&T INVESTMENT SERVICES, INC.
Allegations:	CLIENT INVESTED IN 1998. IN 2007 HE WENT TO MEET WITH MR. HENSLEY AND DISCOVERED THAT HE HAD LEFT BBTIS AND ALLEGES THAT HE DISCOVERED A LARGE PORTION OF HIS FUNDS WERE MISSING. CLIENT ALLEGES THAT AFTER TWO WEEKS OF INVESTIGATION HE WAS TOLD HIS MONEY WAS FOUND. CLIENT ALLEGES THAT HE WAS TOLD THE CHECK HAD BEEN IN A DRAWER FOR TWO YEARS AND THAT HIS FUNDS WERE NEGLECTED. CLIENT ALLEGES THAT HE BELIEVES MR. HENSLEY WAS STEALING/EMBEZZLING MONEY FROM HIS MUTUAL FUNDS.
Product Type:	Mutual Fund
Alleged Damages:	$14,504.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT STATES THAT OUR FIRM SHOULD BE LIABLE FOR THE PERFORMANCE LOSS IN THE ACCOUNT. ABOVE FIGURE WAS THE LOSS AS OF 5-22-09.
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:	05/21/2009
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2009
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Firm Statement	THERE WERE NOT ANY FUNDS MISSING DUE TO MR. HENSLEY'S ACTIONS OR THOSE OF OUR FIRM. THE FUNDS IN QUESTIONS WERE SENT TO THE CLIENT BY CHECK FROM THE MUTUAL FUND COMPANY ON APRIL 29, 2004 TO THE ADDRESS PROVIDED BY THE CLIENT. IN 2007 THE CLIENT STATED HE NEVER RECEIVED THAT CHECK. ONCE IT WAS VERIFIED THAT THE CHECK HAD NEVER BEEN CASHED BY THE CLIENT THE CHECK WAS REISSUED BY THE FUND COMPANY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	BB&T INVESTMENT SEVICES, INC
Allegations:	CLIENT INVESTED IN 1998. IN 2007 HE WENT TO MEET WITH MR. HENSLEY AND DISCOVERED THAT HE HAD LEFT BBTIS AND ALLEGES THAT HE DISCOVERED A LARGE PORTION OF HIS FUNDS WERE MISSING. CLIENT ALLEGES THAT AFTER TWO WEEKS OF INVESTIGATION HE WAS TOLD HIS MONEY WAS FOUND. CLIENT ALLEGES THAT HE WAS TOLD THE CHECK HAD BEEN IN A DRAWER FOR TWO YEARS AND THAT HIS FUNDS WERE NEGLECTED. CLIENT ALLEGES THAT HE BELIEVES MR.HENSLEY WAS STEALING/EMBEZZLING MONEY FROM HIS MUTUAL FUNDS.
Product Type:	Mutual Fund
Alleged Damages:	$14,504.00
Alleged Damages Amount Explanation (if amount not exact):	CLIENT STATES THAT OUR FIRM SHOULD BE LIABLE FOR THE PERFORMANCE LOSS IN THE ACCOUNT. ABOVE FIGURE WAS THE LOSS AS OF 5- 22- 09.
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:	05/21/2009
Complaint Pending?	No
Status:	Denied
Status Date:	05/29/2009
Settlement Amount:	$0.00
Individual Contribution	$0.00

Amount:

Broker Statement THERE WERE NOT ANY FUNDS MISSING DUE TO MR.HENSLEY'S ACTIONS OR THOSE OF OUR FIRM.MR. HENSLEY DID NOT AND COULD NOT HAVE EMBEZZLED ANY FUNDS FROM [CUSTOMER'S] MUTUAL FUND ACCOUNT. THE FUNDS IN QUESTION WERE SENT TO THE CLIENT BY CHECK FROM THE MUTUAL FUND COMPANY ON APRIL 29,2004 TO THE ADDRESS PROVIDED BY THE CLIENT. IN 2007 THE CLIENT STATED HE NEVER RECEIVED THAT CHECK.ONCE IT WAS VERIFIED THAT THE CHECK HAD NEVER BEEN CASHED BY THE CLIENT,THE CHECK WAS REISSUED BY THE FUND COMPANY.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: BB&T INVESTMENT SERVICES, INC.

Allegations: CUSTOMER CLAIMS REP DID NOT ROLL OVER HIS DECEDENT IRA WITHIN 60 DAY TIME FRAME. ACCORDING TO IRS PUBLICATION 590 THERE IS NO 60 DAY WINDOW BECAUSE THE CLIENT CANNOT ROLL OVER A DECEDENT IRA ACCOUNT. THE CLIENT LIQUIDATED HIS FATHER'S IRA ACCOUNT AT ANOTHER FIRM AND THEN BROUGHT A PERSONAL CHECK TO THE REP INSTEAD OF INITIATING A TRANSFER AS IRS RULES REQUIRE. THE REP MET WITH THE CLIENT AND GAVE HIM INSTRUCTIONS TO CONTACT THE PREVIOUS FIRM WHO HELD THE IRA AS WELL AS A TAX ADVISOR SO THE CLIENT COULD TRY TO GET THEM TO REVERSE THE LIQUIDATION. THE CLIENT WAS GOING TO GO BACK TO THE PREVIOUS FIRM AND GET THE ACCOUNT CORRECTED THEN MEET WITH OUR REP TO ESTABLISH THE ACCOUNT. AS OF 5/21/02 WE HAVE NOT HEARD OR MET WITH THE CLIENT TO ESTABLISH AN ACCOUNT FOR HIM.

Product Type: Mutual Fund(s)

Alleged Damages: $185,400.00

Customer Complaint Information

Date Complaint Received: 05/21/2002

Complaint Pending? No

Status: Denied

Status Date: 06/04/2002

Settlement Amount:

Individual Contribution Amount:

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Firm
Firm Name:	PEAK BROKERAGE SERVICES, LLC
Termination Type:	Discharged
Termination Date:	06/01/2015
Allegations:	PEAK BROKERAGE SERVICES CONDUCTED AN INTERNAL REVIEW INTO MR. HENSLEY'S OUTSIDE BUSINESS ACTIVITIES. THE INTERNAL REVIEW FOUND THAT MR. HENSLEY BECAME REGISTERED WITH AN INVESTMENT ADVISER FIRM WITHOUT PROVIDING PRIOR NOTICE TO, OR RECEIVING APPROVAL FROM, PEAK BROKERAGE SERVICES.
Product Type:	No Product

Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	JB Fitz Inc (dissolved 3/6/2020)
Judgment/Lien Amount:	$16,300.00
Judgment/Lien Type:	Civil
Date Filed with Court:	07/12/2018
Date Individual Learned:	07/18/2018
Type of Court:	State Court
Name of Court:	Wake County District Court
Location of Court:	Raleigh, NC
Docket/Case #:	18CVD 3800
Judgment/Lien Outstanding?	Yes
Broker Statement	JB Fitz, Inc filed a lawsuit againist Mr. Hensley for breach of contract . Mr. Hensley had entered into a contract with JB Fitz, Inc in which Mr. Hensley recieved commissions for the insurance products he sold. One of Mr. Hensley's terminated an insurance product after more than one year. JB Fitz, Inc then demanded that Mr. Hensley payback the commission. JB Fitz, Inc filed a lawsuit againist Mr. Hensley, but Mr. Hensley failed to respond to the lawsuit so the judgement was entered. JB Fitz is longer in business and dissolved on March 6, 2020. On March 11, 2020 Mr. Steven Burch (President of JB Fitz) was arrested for disability fraud (Case no. 5:20-cr-00117-BO-1). Mr. Hensley wanted to reach to Mr. Burch to resolve this matter, but Mr. Hensley was interviewed by the FBI and to not to contact Mr. Burch under any circumstances.

End of Report

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