



IAPD Report

ROY MATTHEW STRONG

CRD# 2340863

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5



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

ROY MATTHEW STRONG (CRD# 2340863)

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 **03/30/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STRONG FINANCIAL SERVICES	CRD# 168792	02/07/2014

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	H. BECK, INC.	1763	ROCKVILLE, MD	08/27/2010 - 11/11/2010
B	FIRST ASSET FINANCIAL INC.	139107	SALINA, KS	04/14/2010 - 05/19/2010
IA	CREATIVE FINANCIAL DESIGNS, INC.	109032	BROWNSBURG, IN	02/25/2005 - 04/04/2008

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	2



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: **STRONG FINANCIAL SERVICES**
Main Address: INDIANAPOLIS, IN
Firm ID#: 168792

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	02/07/2014

Branch Office Locations

STRONG FINANCIAL SERVICES
3905 Vincennes Road
Suite 505
Indianapolis, IN 46268



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B	General Securities Representative Examination (S7)	Series 7	06/11/1996
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B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/01/1993
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State Securities Law Exams

Exam	Category	Date
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IA	Uniform Investment Adviser Law Examination (S65)	Series 65	12/11/2013
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B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/01/1993
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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	08/27/2010 - 11/11/2010	H. BECK, INC.	CRD# 1763	ROCKVILLE, MD
B	04/14/2010 - 05/19/2010	FIRST ASSET FINANCIAL INC.	CRD# 139107	SALINA, KS
IA	02/25/2005 - 04/04/2008	CREATIVE FINANCIAL DESIGNS, INC.	CRD# 109032	BROWNSBURG, IN
B	09/28/2004 - 04/04/2008	CFD INVESTMENTS, INC.	CRD# 25427	BROWNSBURG, IN
B	04/02/2004 - 07/01/2004	OXFORD FINANCIAL GROUP	CRD# 40700	HOUSTON, TX
IA	01/15/1999 - 11/26/2003	INTERSECURITIES, INC.	CRD# 16164	BROWNSBURG, IN
B	07/02/1993 - 11/26/2003	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA

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
01/2014 - Present	STRONG FINANCIAL SERVICES, Corp.	CCO, INVESTMENT ADVISER REPRESENTATIVE	Y	Indianapolis, IN, United States
10/1987 - Present	MAPCO FINANCIAL SERVICES CORP	PRESIDENT	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.

1) MAPCO FINANCIAL SERVICES CORP, PRESIDENT SINCE 1986, OVERSEEING SALES, 40HRS/MNTH.



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	2

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:	CD INVESTMENTS, INC.
Allegations:	[CUSTOMER] ALLEGES BREACH OF FIDUCIARY DUTY, CONSTRUCTIVEFRAUD, UNSPECIFIED SECURITIES VIOLATIONS, FRAUD, CONVERSION AND RACKETEERING, IN CONNECTION WITH THE PURCHASE OFFOUR RESIDENTIAL HOES WHERE [THIRD PARTY] REFERRED THE CUSTOER TO THE MORTGAGE BROKER.
Product Type:	Other: RESIDENTIAL REAL ESTATE
Alleged Damages:	\$225,000.00
Alleged Damages Amount Explanation (if amount not exact):	THIS IS THE AMOUNT ORIGINALLY ALLEGED, THOUGH THE JUDGMENT AMOUNT HAS POVED TO BE SUBSTANTIALLY MORE.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	SUPERIOR COURT, MARION COUNT, INDIANA
Docket/Case #:	49D13-0803-PL-10480
Filing date of	03/10/2008



arbitration/CFTC reparation
or civil litigation:

Customer Complaint Information

Date Complaint Received: 03/10/2008
Complaint Pending? No
Status: Evolved into Civil litigation (the individual is a named party)
Status Date: 03/10/2008
Settlement Amount:

**Individual Contribution
Amount:**

Civil Litigation Information

Type of Court: State Court
Name of Court: MARION COUNTY SUPERIOR COURT
Location of Court: MARION COUNTY, IN
Docket/Case #: 49D13-0803-PL-10480
Date Notice/Process Served: 03/10/2008
Litigation Pending? No
Disposition: Monetary Judgment to Customer
Disposition Date: 09/30/2010
**Monetary Compensation
Amount:** \$643,200.00
**Individual Contribution
Amount:** \$643,200.00
Firm Statement AWARD ALSO INCLUDES ATTORNEYS FEES, COSTS AND EXPENSES, AND
PREJUDGMENT INTEREST.

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Reporting Source: Individual
**Employing firm when
activities occurred which led
to the complaint:** CFD INVESTMENTS, INC.
Allegations: [CUSTOMER] ALLEGES BREACH OF FUDICIARY DUTY, CONSTRUCTIVE
FRAUD, UNSPECIFIED SECURITIES VIOLATIONS, FRAUD, CONVERSION
AND RACKETEERING, IN CONNECTION WITH THE PURCHASE OF FOUR
RESIDENTIAL HOMES WHERE MR. STRONG REFERRED THE CUSTOMER
TO THE MORTGAGE BROKER.
Product Type: Other: RESIDENTIAL REAL ESTATE
Alleged Damages: \$225,000.00
**Alleged Damages Amount
Explanation (if amount not
exact):** THIS IS THE AMOUNT ORIGINALLY ALLEGED, THOUGH THE JUDGEMENT
AMOUNT HAS PROVED TO BE SUBSTANTIALLY MORE.
Is this an oral complaint? No
Is this a written complaint? No



Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: SUPERIOR COURT, MARION COUNTY, INDIANA

Docket/Case #: 49D13-0803-PL-10480

Filing date of arbitration/CFTC reparation or civil litigation: 03/10/2008

Customer Complaint Information

Date Complaint Received: 03/10/2008

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 03/10/2008

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: SUPERIOR COURT

Name of Court: SUPERIOR COURT IN MARION COUNTY

Location of Court: MARION COUNTY, INDIANA

Docket/Case #: 49D13-0803-PL-10480

Date Notice/Process Served: 03/10/2008

Litigation Pending? No

Disposition: Monetary Judgment to Customer

Disposition Date: 09/30/2010

Monetary Compensation Amount: \$643,200.00

Individual Contribution Amount: \$643,200.00

Broker Statement

CLIENT, ON THE ADVISE OF ESTATE PLANNING ATTORNEY, INSTRUCTED ME TO LIQUIDATE SECURITIES INVESTMENTS SO THAT SHE COULD PURCHASE REAL PROPERTY. I MADE A REFERRAL TO THE MORTGAGE BROKER. THE CLIENT WAS UNHAPPY WITH THE REAL ESTATE PURCHASES AND FILED A CIVIL ACTION. THE COMPLAINT AND THE TRIAL DID NOT MATCH. THE PLAINTIFF ADMITTED TO THE FACT THAT SHE INSTRUCTED ME TO SELL SECURITIES AND ASSETS SHE/HUSBAND HAD AND THE 100% OF THE MONEY WENT INTO HER BANK ACCOUNT PER HER ELDER LAW ATTORNEY. THE OTHER DEFENDANTS FILED BANKRUPTCY TO AVOID THE TRIAL. MY ONLY INVOLVEMENT WAS RECOMMENDING A PERSON SHE COULD TALK TO HELP HER. SHE DECIDED TO WORK WITH THEM.

Disclosure 2 of 2

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: INTERSECURITIES, INC

Allegations: REGARDING TWO CHARITABLE GIFT ANNUITIES PURCHASED IN NOVEMBER 1996 AND OCTOBER 2001, THE CUSTOMER ALLEGES MULTIPLE VIOLATIONS OF INDIANA AND FEDERAL SECURITIES REGULATIONS, BREACH OF FIDUCIARY DUTY, FRAUD, CONSTRUCTIVE FRAUD AND UNSUITABILITY.

Product Type: Other

Other Product Type(s): CHARITABLE GIFT ANNUITY

Alleged Damages: \$575,000.00

Customer Complaint Information

Date Complaint Received: 09/17/2003

Complaint Pending? No

Status: Settled

Status Date: 02/08/2004

Settlement Amount: \$332,400.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: ISI

Allegations: REGARDING TWO CHARITABLE GIFT ANNUITIES PURCHASED IN NOVEMBER 1996 AND OCTOBER 2001, THE CUSTOMER ALLEGES MULTIPLE VIOLATIONS OF INDIANA AND FEDERAL SECURITIES REGULATIONS, BREACH OF FIDUCIARY DUTY, FRAUD, CONSTRUCTIVE FRAUD, AND UNSUITABILITY.

Product Type: Other: CHARITABLE GIFT ANNUITY

Alleged Damages: \$575,000.00

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: 09/17/2003

Complaint Pending? No

Status: Settled

Status Date: 03/25/2004

Settlement Amount: \$325,000.00



Individual Contribution Amount: \$0.00



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 2

Reporting Source: Firm

Firm Name: CFD INVESTMENTS, INC.

Termination Type: Discharged

Termination Date: 04/04/2008

Allegations: BASED ON INFORMATION OBTAINED THROUGH AN INTERNAL REVIEW, IT APPEARS THAT ROY STRONG, WHILE BEING UNDER HEIGHTENED SUPERVISION WITH THE FIRM, ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT HAVING PROVIDED NOTICE TO OR HAVING RECEIVED THE APPROVAL OF THE FIRM.

Product Type: Other

Other Product Types: THIS MATTER RELATES TO THE SALE OF REAL ESTATE. THIS MATTER IS NOT INVESTMENT RELATED.

Reporting Source: Individual

Firm Name: CFD INVESTMENTS, INC.

Termination Type: Discharged

Termination Date: 04/04/2008

Allegations: BASED ON INFORMATION OBTAINED THROUGH AN INTERNAL REVIEW, IT APPEARS THAT ROY STRONG, WHILE BEING UNDER HEIGHTENED SUPERVISION WITH THE FIRM, ENGAGED IN AN OUTSIDE BUSINESS ACTIVITY WITHOUT HAVING PROVIDED NOTICE TO OR HAVING RECEIVED THE APPROVAL OF THE FIRM.

Product Type: Other: THIS MATTER RELATES TO THE SALE OF REAL ESTATE. THIS MATTER IS NOT INVESTMENT RELATED.

Disclosure 2 of 2

Reporting Source: Individual

Firm Name: I S I

Termination Type: Permitted to Resign

Termination Date: 11/26/2003

Allegations: REGARDING TWO CHARITABLE GIFT ANNUITIES PURCHASE IN NOVEMBER 1996 AND OCTOBER 2001, THE CUSTOMER ALLEGES MULTIPLE VIOLATIONS OF INDIANA AND FEDERAL SECURITIES REGULATIONS, BREACH OF FIDUCIARY DUTY, FRAUD, CONSTRUCTIVE FRAUD, AND UNSUITABILITY.

Product Type: Other

Other Product Types: CHARITABLE GIFT ANNUITY



Broker Statement

I WAS TERMINATED FOR SELLING AWAY A FIXED RATE CHARITABLE GIFT ANNUITY. THE CLIENT CHOSE THE ANNUITY, 100% OF THE INVESTMENT MONEY WENT TO THE FOUNDATION. THE STATE OF ARIZONA FORCED THE FOUNDATION INTO RECEIVERSHIP, AS A RESULT THE FOUNDATION STOPPED PAYING. THE CLIENT SUED ME WHEN ALL I WAS IS A CONDUIT FOR THEM. I FEEL I HAVE BEEN VICTIMIZED IN THE SITUATION.



End of Report

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