



IAPD Report

MARTIN OWEN MCCANN IV

CRD# 2455442

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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

MARTIN OWEN MCCANN IV (CRD# 2455442)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INTEGRITY ALLIANCE, LLC.	CRD# 139627	11/15/2018
IA	INTEGRITY ALLIANCE, LLC	CRD# 139627	11/16/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	ONEAMERICA SECURITIES, INC.	4173	FRESNO, CA	02/27/2007 - 11/16/2018
B	ONEAMERICA SECURITIES, INC.	4173	FRESNO, CA	10/20/2004 - 11/16/2018
B	ONEAMERICA SECURITIES, INC.	4173	INDIANAPOLIS, IN	04/29/2004 - 05/20/2004

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	2
Customer Dispute	6
Termination	1
Judgment/Lien	1



Report Summary



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

Employment 1 of 1

Firm Name: **INTEGRITY ALLIANCE, LLC**
Main Address: 4135 NW URBANDALE DR
URBANDALE, IA 50322
Firm ID#: 139627

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	11/15/2018
B FINRA	General Securities Representative	Approved	11/15/2018
B Arizona	Agent	Approved	02/08/2024
B Arkansas	Agent	Approved	05/02/2022
B California	Agent	Approved	11/16/2018
IA California	Investment Adviser Representative	Approved	11/16/2018
B Florida	Agent	Approved	11/14/2025
B Nevada	Agent	Approved	11/15/2018
B Oregon	Agent	Approved	02/26/2025
B Pennsylvania	Agent	Approved	11/20/2018

Branch Office Locations

INTEGRITY ALLIANCE, LLC
5380 N Fresno Street #103
Fresno, CA 93710




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	12/30/1997

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/06/1994

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/03/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1994

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	02/27/2007 - 11/16/2018	ONEAMERICA SECURITIES, INC.	CRD# 4173	FRESNO, CA
B	10/20/2004 - 11/16/2018	ONEAMERICA SECURITIES, INC.	CRD# 4173	FRESNO, CA
B	04/29/2004 - 05/20/2004	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
IA	11/21/2000 - 07/11/2003	ONEAMERICA SECURITIES, INC.	CRD# 4173	FRESNO, CA
B	10/18/2000 - 07/11/2003	ONEAMERICA SECURITIES, INC.	CRD# 4173	INDIANAPOLIS, IN
B	10/18/2000 - 12/17/2001	AMERICAN UNITED LIFE INSURANCE COMPANY	CRD# 1075	INDIANAPOLIS, IN
B	06/12/1998 - 09/22/2000	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	05/09/1994 - 03/26/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	05/09/1994 - 03/26/1998	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

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
11/2018 - Present	Integrity Alliance, LLC	Registered Representative	Y	Fresno, CA, United States
11/2004 - 11/2018	ONEAMERICA SECURITIES, INC	REGISTERED REPRESENTATIVE	Y	FRESNO, CA, United States
09/2000 - 11/2018	AMERICAN UNITED LIFE	FINANCIAL ADVISOR/AGA	Y	FRESNO, CA, 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) Fixed Insurance; not investment related; 5380 N Fresno St, Suite103, Fresno, CA 93710; Fixed insurance; Agent; 06/27/1994; 160 hours per month; 160 hours during security hours; Sales and service of fixed insurance products.
- 2) Guardian Capital Advisors; Investment related; 5380 N Fresno St, Suite103, Fresno, CA 93710; DBA; Financial services,



Registration & Employment History



OTHER BUSINESS ACTIVITIES

insurance, annuity sales; 01/01/2025; 40+ hours per month; 40+ hours during securities trading hours; DBA - client acquisition, service, and sales

3) CenCal Equities; not investment related; 5730 N. 1st St, Suite 105-130, Fresno, CA 93710; Real Estate Rentals; Owner/President; 06/24/2020; 10 hours per month; 0 hours during security hours; Buy, sell, and manage rental properties.



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	2
Customer Dispute	6
Termination	1
Judgment/Lien	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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	CALIFORNIA
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	09/18/2003
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	TLC INVESTMENT & TRADE CO.
Product Type:	Other
Other Product Type(s):	PROMISSORY NOTES, REAL ESTATE INVESTMENT AGREEMENTS AND INVESTMENT CONTRACTS
Allegations:	A DESIST-AND-REFRAIN ORDER WAS ISSUED ON SEPTEMBER 18, 2003 AS A RESULT OF MCCANN'S OFFER AND SALE OF TLC SECURITIES BY MEANS OF MISREPRESENTATIONS. THE SALES WERE PART OF A SCHEME THAT RAISED \$156 MILLION NATIONWIDE FROM MORE THAN 1800 INVESTORS. IT WAS THE SUBJECT OF AN SEC LAWSUIT FILED IN OCTOBER 2000. VIOLATION OF SECTIONS 25110, 25210,AND 25401 OF THE CALIFORNIA CORPORATIONS CODE.
Current Status:	Final



Resolution: Order

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: 09/18/2003

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: DESIST AND REFRAIN ORDER FINAL 9-18-2004 (CA CORPORATIONS CODE SECTION 25532 (D)).

Reporting Source: Firm

Regulatory Action Initiated By: STATE OF CALIFORNIA, DEPARTMENT OF CORPORATIONS

Sanction(s) Sought: Cease and Desist

Other Sanction(s) Sought:

Date Initiated: 09/18/2003

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: TLC INVESTMENT & TRADE CO.

Product Type: Investment Contract(s)

Other Product Type(s):

Allegations: OFFERED AND SOLD INVESTMENT CONTRACTS IN THE FORM OF PROMISSORY NOTES.

Current Status: Final

Resolution: Order

Resolution Date: 09/18/2003

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: MR. MCCANN WAS ORDERED TO DESIST AND REFRAIN FROM FROM OFFERING OR SELLING ANY SECURITY IN THE STATE OF CALIFORNIA.

Firm Statement ALTHOUGH THE ORDER WAS DATED SEPTEMBER 18, 2003 OUR FIRM DID NOT RECEIVE A COPY FROM THE STATE OF CALIFORNIA UNTIL MAY 17, 2004.

Reporting Source: Individual

Regulatory Action Initiated By: CALIFORNIA DEPARTMENT OF CORPORATIONS



Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	09/18/2003
Docket/Case Number:	LBB 2027-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	PRUCO SECURITIES
Product Type:	Investment Contract(s)
Other Product Type(s):	TAX LIEN CERTIFICATES AND OPPORTUNITY PROPERTIES
Allegations:	I DID NOT HAVE PROPER APPROVAL FROM PRUCO SECURITIES TO SELL THESE PRODUCTS AND I DID NOT HAVE THE PROPER LICENSE TO SELL THESE PRODUCTS. IN CONNECTION WITH THE SALE OF THE TLC INVESTMENTS I MISREPRESENTED OR OMITTED MATERIAL FACTS. THE CEASE AND DESIST ORDER ALSO ALLEGED THAT I PERFORMED LITTLE DUE DILIGENCE ON THE PRODUCT.
Current Status:	Final
Resolution:	Order
Resolution Date:	08/10/2004
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	REVOKED CALIFORNIA INSURANCE LICENSE AND ISSUED A RESTRICTED INSURANCE LICENSE TO ACT AS A LIFE AGENT AND A FIRE AND CASUALTY BROKER AGENT.
Sanction Details:	MY LICENSE IS RESTRICTED AND SUBJECT TO THE CONDITION OF OBEYING ALL LAWS AND REGULATIONS.
Disclosure 2 of 2	
Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Date Initiated:	01/30/2003
Docket/Case Number:	C01030002
Employing firm when activity occurred which led to the regulatory action:	PRUCO SECURITIES CORPORATION
Product Type:	No Product
Allegations:	NASD RULES 2110 AND 3030 - RESPONDENT PARTICIPATED IN OUTSIDE BUSINESS ACTIVITIES AND FAILED TO PROVIDE PROMPT WRITTEN NOTIFICATION TO HIS MEMBER FIRM.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 07/16/2003

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MCCANN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE MONTHS AND FINED \$38,841.21. THE FINE INCLUDES \$34,841.21 IN COMPENSATION RECEIVED BY MCCANN. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. SUSPENSION EFFECTIVE AT OPENING OF BUSINESS AUGUST 18, 2003, TO CLOSE OF BUSINESS JANUARY 17, 2004. FINES PAID.

Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought: Disgorgement

Other Sanction(s) Sought:

Date Initiated: 01/30/2003

Docket/Case Number: C01030002

Employing firm when activity occurred which led to the regulatory action: PRUDENTIAL LIFE & PRUCO SECURITIES

Product Type: Other

Other Product Type(s): PROMISSORY NOTE

Allegations: ALLEGATIONS ARE AS FOLLOWS: VIOLATIONS OF RULES 3030 & 2110 OF THE "CODE" FAILURE TO REPORT "OUTSIDE BUSINESS ACTIVITIES" ON FORM U4 AND FAILED TO PROVIDE PROMPT WRITTEN NOTIFICATION TO HIS MEMBER FIRM.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 07/16/2003

Sanctions Ordered: Monetary/Fine \$38,841.21
Suspension

Other Sanctions Ordered:

Sanction Details: WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MCCANN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF



FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR FIVE MONTHS AND FINED \$38,841.21. THE FINE INCLUDES \$34,841.21 IN COMPENSATION RECEIVED BY MCCANN. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. SUSPENSION EFFECTIVE AT OPENING OF BUSINESS AUGUST 18, 2003 TO CLOSE OF BUSINESS JANUARY 17, 2004.

Broker Statement

I AM NOT OBJECTING TO THE CHARGE BECAUSE I AM ACCEPTING RESPONSIBILITY FOR THE FAILURE TO TIMELY AMEND MY FORM U4. I DO NOT BELIEVE THE CHARGE AS STATED IS FACTUALLY ACCURATE AND IT DOES NOT REFLECT THE TRUE STATE OF PRUDENTIAL'S KNOWLEDGE OF THE ACTIVITY. I DID NOT BECOME AN AGENT OF TLC OR FIRST CHOICE UNTIL AFTER MY EMPLOYMENT WITH PRUDENTIAL WAS TERMINATE IN AUG. 2000. I DID NOT RECIEVE COMPENSATION AS AN APPOINTED AGENT FOR TLC AMERICA OR FIRST CHOICE MANAGEMENT SERVICE INC. DURING THE PERIOD OF NOV. 1999 THROUGH AUG. 2000. MY FIRST INVOLVEMENT WITH TLC WAS IN NOV. 1999 WHEN I REFERRED A CUSTOMER TO ANOTHER PRUDENTIAL AGENT RELATIVE TO TLC. DURING JAN. 2000, I HAD A CONVERSATION WITH MY THEN MANAGING DIRECTOR, STEVE BATES, REGARDING TLC. MR BATES ADVISED ME TO HAVE MY WIFE BE THE AGENT SO THAT I WOULD NOT HAVE TO LIST IT AS AN OUTSIDE ACTIVITY ON MY FORM U4. I FOLLOWED MR. BATES ADVICE. ACCORDINGLY, ALTHOUGH MY WIFE'S ACTIVITY WAS NOT LISTED ON MY FORM U4, PRUDENTIAL'S MANAGING DIRECTOR IN FRESNO WAS AWARE OF MY INVOLVEMENT. I REFERRED TWO MORE PEOPLE TO THE OTHER PRUDENTIAL AGENT IN JAN AND FEB 2000. ALSO WITH REGARD TO TLC I RECEIVED REFERRAL FEES FROM THAT AGENT. MY WIFE RECEIVED ONE COMMISSION CHECK FROM FIRST CHOICE MANAGEMENT SERVICES, INC. AND THAT WAS IN MARCH 2000. DESPITE PRUDENTIAL'S INFORMATION CONCERNING THE ACTIVITY OF SEVERAL OF IT'S AGENTS IN FRESNO HAVING SOME INVOLVEMENT WITH FIRST CHOICE AND TLC, IT DID NOTHING TO REACH OUT AND HELP THOSE AGENTS COMPLY WITH NASD REGULATIONS, TO ASCERTAIN THE TRUE STATUS OF THESE PRODUCTS OR ADVISE CLIENTS CONCERNING THE PRODUCTS. PRIOR TO MY INVOLVEMENT WITH FIRST CHOICE AND TLC, I WAS GIVEN COPIES OF TWO LETTERS OF LEGAL OPINION CONCERNING THE PRODUCTS WHICH INDICATED THEY WERE NOT SECURITIES. HAD I NOT HAD THE ASSURANCES OF THE LETTERS, THE INVOLVEMENT OF OTHER EXPERIENCED AGENTS AND THE DISCUSSION WITH MY MANAGING DIRECTOR, I WOULD NOT HAVE REFERRED CLIENTS.



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 6

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS MATTER IS A PRELITIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY FIRST CHOICE MANAGEMENT SERVICES IN THE AMOUNT OF \$78000. FIRST CHOICE IS NOTE A PRUDENTIAL PRODUCT.

Product Type: No Product

Alleged Damages: \$78,000.00

Customer Complaint Information

Date Complaint Received: 11/11/2002

Complaint Pending? No

Status: Closed/No Action

Status Date: 11/05/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLIENT IS NOT MY CLIENT. I DON'T KNOW WHO THIS CLIENT IS AND I'VE NEVER DONE BUSINESS WITH THIS CLIENT.

Disclosure 2 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS MATTER IS A PRE-LITIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY FIRST CHOICE MANAGEMENT SERVICES IN THE AMOUNT OF \$78,000. FIRST CHOICE IS NOTE A PRUDENTIAL PRODUCT.

Product Type: No Product

Alleged Damages: \$78,000.00

Customer Complaint Information

Date Complaint Received: 11/11/2002

Complaint Pending? No



Status: Closed/No Action

Status Date: 11/05/2003

Settlement Amount:

Individual Contribution Amount:
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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS MATTER IS A PRELITIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY FIRST CHOICE MANAGEMENT SERVICES IN THE AMOUNT OF \$78,000. FIRST CHOICE IS NOTE A PRUDENTIAL PRODUCT.

Product Type: No Product

Alleged Damages: \$78,000.00

Customer Complaint Information

Date Complaint Received: 11/11/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY TLC AMERICA, INC. AND FIRST CHOICE MANAGEMENT SERVICES, INC. TLC AND FIRST CHOICE ARE NOT PRUDENTIAL PRODUCTS. PRUDENTIAL TURNED DOWN THE SETTLEMENT OF THIS MATTER. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/16/2000

Complaint Pending? No

Status: Denied

Status Date: 05/16/2001

Settlement Amount: \$0.00



Individual Contribution Amount: \$0.00

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRICO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY PRUCO SECURITIES. THIS MATTER WAS A PRE-LIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY TLC AMERICA, INC AND FIRST CHOICE MANAGEMENT SERVICES INC. TLC AND FIRST CHOICE ARE NOT PRUDENTIAL PRODUCTS. PRUDENTIAL TURNED DPOWN THE SETTLEMENT ON THIS MATTER.

Product Type: No Product
Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 11/16/2000
Complaint Pending? No
Status: Denied
Status Date: 05/19/2001
Settlement Amount: \$0.00

Individual Contribution Amount:

Disclosure 4 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY FIRST CHOICE MANAGEMENT SERVICES, INC. FIRST CHOICE IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/17/2000
Complaint Pending? No
Status: Settled



Status Date: 04/23/2001

Settlement Amount: \$196,731.80

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES

Allegations: AGENT IS UNAWARE OF THE ALLEGATIONS

Product Type: Other

Other Product Type(s): AUTOMOTIVE LOAN CONTRACTS

Alleged Damages: \$196,731.80

Customer Complaint Information

Date Complaint Received: 10/01/2000

Complaint Pending? No

Status: Settled

Status Date: 10/01/2001

Settlement Amount: \$196,731.80

Individual Contribution Amount: \$0.00

Disclosure 5 of 6

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT KENT LUBRATICH AND MARTIN MCCANN SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY TLC AMERICA. TLC IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENT TO PRUDENTIAL. DAMAGES UNSPECIFIED.

Product Type: No Product

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 04/05/2001

Complaint Pending? No

Status: Settled

Status Date: 05/02/2001



Status Date: 03/23/2001
Settlement Amount: \$26,970.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES
Allegations: AGENT IS UNAWARE OF ALLEGATIONS
Product Type: Other
Other Product Type(s): UNKNOWN
Alleged Damages: \$26,970.00

Customer Complaint Information

Date Complaint Received: 10/01/2000
Complaint Pending? No
Status: Settled
Status Date: 10/01/2000
Settlement Amount: \$26,970.00
Individual Contribution Amount: \$0.00

Broker Statement B/D RECEIVED DISCLOSURE LETTER. MARTIN MCCANN IS NOT AWARE OF THIS CLAIM AND HAS NO INFORMATION. PER MARTIN MCCANN THESE PEOPLE WERE NOT HIS CLIENTS NOR HAS HE HEARD OF THEM BEFORE. HE IS NOT AWARE OF THESE PEOPLE BEING CLIENTS OF PRUDENTIAL OR ANY OF PRUDENTIAL'S AGENTS EITHER CURRENTLY EMPLOYED OR FORMERLY EMPLOYED.

Disclosure 6 of 6

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES
Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MARTIN O. MCCANN AND CALS. ROBERTS SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY TLC AMERICA, INC. TLC IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENTS TO PRUDENTIAL. DAMAGES UNSPECIFIED.
Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information



Date Complaint Received: 11/18/2000
Complaint Pending? No
Status: Settled
Status Date: 04/03/2001
Settlement Amount: \$249,907.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES

Allegations: THIS CASE RESULTED FROM AN OUTREACH PROJECT INITIATED BY THE COMPANY. THIS MATTER WAS A PRE-LITIGATION DEMAND ALLEGING THAT MARTIN O. MCCANN AND CALS ROBERTS SOLD UNREGISTERED SECURITIES AND/OR PROMISSORY NOTES ISSUED BY TLC AMERICA INC. TLC IS NOT A PRUDENTIAL PRODUCT. PRUDENTIAL SETTLED THIS MATTER PRIOR TO THE INITIATION OF ARBITRATION. THERE WAS NO ADMISSION OF LIABILITY BY PRUDENTIAL. THE CLAIMANT ASSIGNED ALL CLAIMS HE HAS AGAINST THE AGENTS TO PRUDENTIAL.

Product Type: No Product
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/18/2000
Complaint Pending? No
Status: Settled
Status Date: 04/03/2001
Settlement Amount: \$249,907.00
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 1

Reporting Source: Individual

Firm Name: PRUDENTIAL

Termination Type: Voluntary Resignation

Termination Date: 08/26/2000

Allegations: ACTUAL ALLEGATIONS ARE UNKNOWN TO ME AT THIS TIME; HOWEVER, BOX 15 ON FORM U5 WAS CHECKED "YES" WHEN I RECEIVED MY COPY OF FORM U5.

Product Type: Other

Other Product Types: TAX LIEN CERTIFICATES, OPPORTUNITY PROPERTIES- FROM TLC AMERICA

Broker Statement

IN OCTOBER OR NOVEMBER OF 1999, I WAS INTRODUCED TO AN INVESTMENT PRODUCT THAT DID NOT REQUIRE A SECURITIES LICENSE TO SELL AND YIELDED 14% TO THE CLIENT. THE INTRODUCTION CAME FROM AN AGENT THAT WAS IN MY UNIT AT PRUDENTIAL AT THE TIME. HIS NAME IS CAL ROBERTS AND HE LATER QUIT PRUDENTIAL AND WENT ON HIS OWN. THE INVESTMENT WAS TAX LIEN CERTIFICATES AND OPPORTUNITY PROPERTIES FROM A COMPANY IN BREA, CALIFORNIA NAMES TLC AMERICA. TLC AMERICA WAS BEING MARKETED THROUGH AN INSURANCE BROKERAGE HOUSE NAMED INSURANCE SERVICES NETWORK OR ISN FOR SHORT. AFTER LEARNING OF THE PRODUCT, I THOUGHT IT PROPER FOR 3 CLIENTS AND MADE A REFERRAL TO CAL ROBERTS WHO PLACED THE BUSINESS AND RECEIVED A COMMISSION FROM TLC AMERICA. I DID NOT RECEIVE A COMMISSION FROM TLC NOR DID I HAVE AN APPOINTMENT. I RECENTLY WAS APPOINTED WITH TLC ON 9/21/2000. SINCE PLACING THE BUSINESS, THERE HAVE BEEN NO PROBLEMS WITH THE INVESTMENTS OR CLIENTS. THE NET RESULT IS THAT I DID NOT DISCLOSE ANYTHING ON MY FORM U4 AS IT RELATED TO TLC BECAUSE I DID NOT SEE WHERE IT WAS NECESSARY SINCE I DID NOT RECEIVE COMMISSIONS NOR DID I HAVE AN APPOINTMENT WITH TLC.



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:	Internal Revenue Service
Judgment/Lien Amount:	\$166,703.60
Judgment/Lien Type:	Tax
Date Filed with Court:	01/29/2026
Date Individual Learned:	01/29/2026
Type of Court:	Federal Court
Name of Court:	Federal
Location of Court:	Fresno, CA
Judgment/Lien Outstanding?	Yes



End of Report

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