



## IAPD Report

# CRAIG ALAN NOCHUMSON

CRD# 2528867

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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

### CRAIG ALAN NOCHUMSON (CRD# 2528867)

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 **09/22/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	01/06/2012
<b>IA</b>	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	01/06/2012

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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>IA</b>	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	TUCSON, AZ	04/25/2008 - 01/06/2012
<b>B</b>	WORLD GROUP SECURITIES, INC.	114473	TUCSON, AZ	07/11/2005 - 01/06/2012
<b>B</b>	PFS INVESTMENTS INC.	10111	DULUTH, GA	08/31/1994 - 03/26/2004

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
Criminal	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 5 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**  
Main Address: TWO LIBERTY PLACE  
50 SOUTH 16TH STREET, SUITE 3700  
PHILADELPHIA, PA 19102  
Firm ID#: 16164

Regulator	Registration	Status	Date
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	01/06/2012
<b>B</b> FINRA	Investment Co./Variable Contracts Prin	Approved	01/06/2012
<b>B</b> Arizona	Agent	Approved	01/06/2012
<b>IA</b> Arizona	Investment Adviser Representative	Approved	01/06/2012
<b>B</b> California	Agent	Approved	01/06/2012
<b>B</b> New Jersey	Agent	Approved	09/23/2025
<b>IA</b> New Jersey	Investment Adviser Representative	Approved	09/23/2025
<b>B</b> New Mexico	Agent	Approved	10/24/2024
<b>B</b> South Dakota	Agent	Approved	07/19/2019

### Branch Office Locations

**TRANSAMERICA FINANCIAL ADVISORS, LLC**  
2560 E 10TH STREET  
Tucson, AZ 85716



## 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
Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/13/1998

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/26/1994

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/27/2008
Uniform Securities Agent State Law Examination (S63)	Series 63	10/07/1994

### 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	04/25/2008 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	TUCSON, AZ
B	07/11/2005 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	TUCSON, AZ
B	08/31/1994 - 03/26/2004	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

### 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
06/2025 - Present	MEMBER AT LARGE - LA CIMA ESPLENDORA HOA	Member at Large - Voting only	Y	tucson, AZ, United States
04/2023 - Present	CRSweets DBA Bobazona	50% partner	Y	Tucson, AZ, United States
09/2022 - Present	POWER 22	Sales Referrer	Y	Chandler, AZ, United States
07/2020 - Present	Net Law Group Inc	Sales	Y	Tucson, AZ, United States
01/2018 - Present	WealthWave	NA	Y	Duluth, GA, United States
01/2012 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP/INVESTMENT ADVISOR REP.	Y	TUCSON, AZ, United States
05/2008 - Present	HEALTH INSURANCE SALES	HEALTH INSURANCE SALES	Y	TUCSON, AZ, United States
06/2004 - Present	WORLD FINANCIAL GROUP	AGENT	Y	TUCSON, AZ, United States
06/2004 - 03/2022	Debtmerica	Referrer	N	Tucson, AZ, United States



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

Health Insurance Sales / 0604-Present / Investment Related: No / 5005 Sunnier Circle #45, Tucson, AZ 85704 / Independent Contactor / Health Insurance / Hrs Work Monthly: 10% / Sec Trading Hrs: 5% / Sales of Health Insurance

Net Law Group Inc. / 0720-Present / Investment Related: No / 6979 E Broadway, #127, Tucson, AZ 85710 / Sales / Sales - Net Law / Hrs Work: 2 / Sec trading Hrs: 1 / offer new law services

POWER 22 POSITION: Sales Referrer NATURE: Solar Power Sales Referral Program INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 09/01/2022 ADDRESS: 1490 S Price Rd, Suite 204, Chandler AZ 85248, United States DESCRIPTION: Give lead to company for follow up sales call

CRSWEETS DBA BOBAZONA

POSITION: 50% partner NATURE: Boba drink and gelato shop INVESTMENT RELATED: No NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 2 START DATE: 04/01/2023 ADDRESS: 8140 S Houghton Rd, #120, Tucson AZ 85747, United States DESCRIPTION: Managing the store and people, customer service

MEMBER AT LARGE - LA CIMA ESPLENDORA HOA

POSITION: Member at Large - Voting only NATURE: Member at Large - Voting ONLY position - for my homeowners association INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 06/20/2025 ADDRESS: La Cima Esplendor, tucson AZ 85730, United States DESCRIPTION: None other than to cast tie breaking vote if board is tied. I have nothing to do with the finance of the association or board



## 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
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Criminal	1
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### Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	THE EIGHTEENTH JUDICIAL CIRCUIT, COUNTY OF DUPAGE, STATE OF IL, CASE NUMBER IS 03-CF1544
<b>Charge Date:</b>	06/11/2003
<b>Charge Details:</b>	INDECENT SOLCITATION OF A CHILD IN VIOLATION OF CHAPTER 720 PARAGRAPH 5/11-6 (A) OF THE IL STATUTES. -(1) ONE COUNT; 2 FELONY CHARGE; 3 PLEA OF NOT GUILTY:REDUCED TO LESSEER INCLUDED CHARGE MISDEMEANOR ATTEMPT INDECENT SOLICITATION W/CHILD; AND CHARGE NOT INVESTMENT RELATED.
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	05/03/2005
<b>Disposition Details:</b>	A.FOUND NOT GUILTY OF FELONY, FOUND GUILTY OF "LESSER INCLUDED MISDEMEANOR CHARGE OF ATTEMPT" B. 4/12/04. C.1YR CONDITIONAL DISCHARGE, 1SA MEETING/WEEK, 6DAYS DUPAGE JAIL D. NO PROBATION E.4/12/04 F. NO FINE G. NO FINE - CONDITIONAL DISCHARGE TERMINATED SATISFACTORILY - 4/11/05 APPELLATE COURT AFFAIRMED TRIAL COOURT DECISION. CASE CLOSED. NO FURTHER ACTION.
<b>Broker Statement</b>	THE ALLEGED VIOLATION TOOK PLACE ON JUNE 10 2003. I WAS ARRESTED IN A PARK IN ADDISON, IL NEAR MY CAR IN A PARKING LOT NO ONE ELSE WAS WITH ME AND I WAS DOING NOTHING ELLIGAL AT THE TIME.AFTER TRIAL FOUND NOT GUILTY OF THE ORIGINAL CHARGE-FOUND GUILTY OF LESSER INCLUDED CLASS A MISDEMEANOR CHARGE-ATTEMT(ED) (INDECENT SOLICITATION OF A CHILD) IN VIOLATION OF CHAPTER 720 PARAGRAPH 5/8-4 OF THE IL STATUTES, CASE UNDER APPEAL  APPELLATE COURT AFFAIRMED TRIAL COOURT DECISION. CASE CLOSED. NO FURTHER ACTION.



## End of Report

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