IAPD Report

JAMES MOORE MCCLENNY

CRD# 2709930

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

JAMES MOORE MCCLENNY (CRD# 2709930)

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 **06/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TREK FINANCIAL	CRD# 109376	10/31/2018

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	HORTER INVESTMENT MANAGEMENT, LLC	119880	TALLAHASSEE, FL	11/30/2012 - 08/21/2018
B	NATIONWIDE SECURITIES, LLC	11173	TALLAHASSEE, FL	08/01/2008 - 12/31/2010
IA	NATIONWIDE SECURITIES, LLC	11173	TALLAHASSEE, FL	08/01/2008 - 12/31/2010

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
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TREK FINANCIAL**

Main Address: 8355 EAST HARTFORD DRIVE
SUITE 105
SCOTTSDALE, AZ 85255

Firm ID#: 109376

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	10/31/2018

Branch Office Locations

TREK FINANCIAL
1292 Timberlane Rd.
Tallahassee, FL 32312

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, 1 general industry/product exam, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/27/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/15/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/01/1996

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	11/30/2012 - 08/21/2018	HORTER INVESTMENT MANAGEMENT, LLC	CRD# 119880	TALLAHASSEE, FL
B	08/01/2008 - 12/31/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	TALLAHASSEE, FL
IA	08/01/2008 - 12/31/2010	NATIONWIDE SECURITIES, LLC	CRD# 11173	TALLAHASSEE, FL
IA	11/18/2005 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	TALLAHASSEE, FL
B	08/05/2003 - 08/01/2008	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	TALLAHASSEE, FL
IA	03/25/2003 - 05/12/2003	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	ATLANTA, GA
B	11/20/1997 - 05/12/2003	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	05/10/1996 - 08/13/1997	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	02/28/1996 - 03/28/1996	ALLMERICA INVESTMENTS, INC.	CRD# 3960	WORCESTER, MA

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
08/2018 - Present	TREK FINANCIAL	Investment Adviser Representative	Y	Scottsdale, AZ, United States
07/2016 - Present	Signet Wealth Management LLC	Owner	Y	TALLAHASSEE, FL, United States
11/2012 - 08/2018	HORTER INVESTMENT MANAGEMENT LLC	INVESTEMENT ADVISOR REPRESENTATIVE	Y	CINCINNATI, OH, United States
01/2011 - 03/2018	DEMONT INSURANCE AND FINANCIAL SERVICES	INSURANCE SALES	N	TALLAHASSEE, FL, 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.

I AM LICENSED THROUGH CRUMP, INSURANCE SERVICES IN BCBS/ FL, & ECA MARKETING IN MN TO SELL LIFE INSURANCE PRODUCTS, HEALTH INSURANCE PRODUCTS & LTC PRODUCTS. THESE ARE NOT INVESTMENT RELATED & I SPEND APPROXIMATELY 50% OF MY TIME (20 HRS/WK) IN INSURANCE SALES

LEGACY LIMOUISINE
DRIVE COCA COLA BOARD MEMBER TO BOARD OF DIRECTOR MEETINGS IN ATLANTA GA 4-5 TIMES PER YEAR
20 HRS PER QUARTER
NOT INVESTMENT RELATED.

Member of Council of Financial Educators
Financial education lecturer
Since August 2024
8 hours per month during trading hours

Stavros Center for Economic Education
Guest lecturer providing financial wellness program to FSU students
Since August 2023
Tallahassee, Florida
1-2 hours per month, 3-4 months per year

SummerCamp Homeowners Association
Board Member - not compensated
1 - 3 hours per month

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
Criminal	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 1

Reporting Source:	Individual
Regulatory Action Initiated By:	GEORGIA INSURANCE COMMISSIONER
Sanction(s) Sought:	
Date Initiated:	02/04/1998
Docket/Case Number:	98-041
Employing firm when activity occurred which led to the regulatory action:	US PLANNING GROUP HAMMOND DRIVE ATLANTA, GA
Product Type:	Insurance
Allegations:	DUE TO A CHANGE OF ADDRESS & IGNORANCE OF THE PROCESS I FAILED TO RENEW MY GEORGIA INSURANCE LICENSE IN 1997 & IT WAS CANCELLED FOR FAILURE TO RENEW
Current Status:	Final
Resolution:	Settled
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:	02/16/1998
Sanctions Ordered:	Other: N/A

Broker Statement	I WAS ORIGINALLY LICENSE WITH ALLMERICA FINANCIAL. I LEFT ALLMERICA IN MARCH 1996 & SIGNED A BROKER'S CONTRACT WITH PROVIDENT MUTUAL & 1717 CAPITAL MANAGEMENT THROUGH AGENCY 45 IN ATLANTA. IF FILED A LETTER TO THE GEORGIA INSURANCE COMMISSIONER'S OFFICE, OUTLINING THE MOVE ALONG WITH MY NEW BUSINESS ADDRESS, WITH ELIZABETH ABBOT, THE LICENSING & NEW BUSINESS MANAGER FOR AGENCY 45. IN NOVEMBER 1996, MS. ABBOT REQUESTED SIGNATURE AND CHECKS FOR MY LICENSE RENEWAL, WHICH I PAID WITH A CHECK TO 1717 CAPITAL MANAGEMENT. UNBEKNOWST TO ME, THIS ONLY COVERED MY SECURITIES LICENSE RENEWAL (IT WAS MY FIRST YEAR IN THE BUSINESS AND I HAD NEVER HAD TO RENEW MY LICENSE BEFORE). APPARENTLY, MS. ABBOT WHO LEFT THE AGENCY SHORTLY THEREAFTER, NEVER PROCESS MY LETTER OF NOTIFICATION AND CHANGE OF ADDRESS FROM ALLMERICA FINANCIAL TO PROVIDENT MUTUAL AND 1717 CAPITAL MANAGEMENT. BECAUSE OF THIS, ALL OF MY INSURANCE LICENSE RENEWAL NOTICES FROM THE GEORGIA INSURANCE DEPARTMENT'S OFFICE WERE MAILED TO ALLMERICA FINANCIAL; THE KIND PEOPLE AT ALLMERICA NEVER FORWARDED ANY OF THE RENEWAL NOTICES TO ME. I WAS INITIALLY MADE AWARE OF MY LICENSE'S DELINQUENCY WHEN I RECEIVED A CANCELLATION NOTICE FROM 1717 CAPITAL MANAGEMENT IN SEPTEMBER, 1997, WHICH REVOKED MY SECURITIES LICENSE BECAUSE MY INSURANCE LICENSE HAD EXPIRED. I IMMEDIATELY NOTIFIED THE GEORGIA INSURANCE COMMISSIONER'S OFFICE TO BEGIN THE REINSTATEMENT PROCESS, WHICH TOOK 5 MONTHS. MY LICENSE WAS REINSTATED ON FEBRUARY 16, 1998 WITH A $150 FINE FOR FAILURE TO TIMELY RENEW. I APPEALED THE FINE AND AFTER PROVIDING THE CASE HISTORY, THE FINE WAS WAIVED.

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

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	STATE OF FLORIDA
Location of Court:	LEON COUNTY
Docket/Case #:	78-CF-269
Charge Date:	04/01/1978
Charge(s) 1 of 1	
Formal Charge(s)/Description:	LARCENY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO PLEA, CHARGES WERE DISMISSED BEFORE TRIAL DUE TO LACK OF EVIDENCE
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	05/03/1978
Disposition Date:	05/03/1978
Sentence/Penalty:	CHARGES WERE DISMISSED ON MAY 3, 1978 DUE TO LACK OF EVIDENCE
Broker Statement	ON APRIL 1, 1978, I ALONG WITH TWO FRIENDS WERE ARRESTED & WRONGFULLY CHARGED WITH AUTO LARCENY IN TALLAHASSEE, FL THE CHARGES WERE DISMISSED ON MAY 3, 1978 DUE TO LACK OF EVIDENCE

End of Report

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