



IAPD Report

JAMES MATTHEW MARTIN

CRD# 2760601

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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

JAMES MATTHEW MARTIN (CRD# 2760601)

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 **01/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	11/01/2021

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	AMERITAS ADVISORY SERVICES	14869	FT WORTH, TX	01/24/2020 - 11/01/2021
IA	ALLIED FINANCIAL CONSULTANT LLC	158812	FORT WORTH, TX	09/20/2011 - 04/07/2020
IA	MML INVESTORS SERVICES, LLC	10409	FORT WORTH, TX	02/11/2005 - 03/15/2011

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	4



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: **AMERITAS ADVISORY SERVICES, LLC**
Main Address: 5900 O STREET
LINCOLN, NE 68510
Firm ID#: 317245

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/01/2021

Branch Office Locations

AMERITAS ADVISORY SERVICES, LLC
Newark, TX



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	12/08/2003
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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
IA	01/24/2020 - 11/01/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	FT WORTH, TX
IA	09/20/2011 - 04/07/2020	ALLIED FINANCIAL CONSULTANT LLC	CRD# 158812	FORT WORTH, TX
IA	02/11/2005 - 03/15/2011	MML INVESTORS SERVICES, LLC	CRD# 10409	FORT WORTH, TX
IA	01/21/2004 - 02/09/2005	MONY SECURITIES CORPORATION	CRD# 4386	FT WORTH, TX

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
11/2021 - Present	AMERITAS ADVISORY SERVICES, LLC	Mass Transfer	Y	LINCOLN, NE, United States
09/2019 - Present	Ameritas Life Insurance Corp	Agent	Y	Lincoln, NE, United States
01/2011 - Present	FINANCIAL ADVISER NETWORK	OWNER/GENERAL AGENT	Y	Newark, TX, United States
01/2020 - 11/2021	Ameritas Investment Company, LLC	INVESTMENT ADVISOR	Y	Lincoln, NE, United States
08/2011 - 04/2020	ALLIED FINANCIAL CONSULTANT LLC (158812)	MANAGING MEMBER	Y	FORT WORTH, TX, 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.

FINANCIAL ADVISER NETWORK; SAME AS BRANCH; INV REL; INSURANCE SALES; OWNER/GENERAL AGENT; START DATE=01/2011; HRS/MO=160; TRADING HRS/MO=40; DIRECT ALL HIRING, MARKETING, PRODUCT PLACEMENT, AND EXPENSE MANAGEMENT FOR AGENCY;



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	4

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	ALLIED FINANCIAL CONSULTANTS, LLC
Allegations:	CITATION CAUSE NO. 017-315450-20 FILED IN THE DISTRICT COURT OF TARRANT COUNTY, TEXAS ALLEGING MISREPRESENTATIONS AND EXCESSIVE TRADE ACTIVITY IN INVESTMENTS RESULTING IN FINANCIAL LOSS.
Product Type:	No Product
Alleged Damages:	\$1,000,000.00

Civil Litigation Information

Type of Court:	JUDICIAL DISTRICT COURT
Name of Court:	DISTRICT COURT TARRANT COUNTY TEXAS
Location of Court:	TARRANT COUNTY, TEXAS
Docket/Case #:	CAUSE NO. 017-315450-20
Date Notice/Process Served:	04/13/2020
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/30/2024
Monetary Compensation Amount:	\$140,000.00
Individual Contribution	\$2,500.00

**Amount:****Disclosure 2 of 4**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: THE COMPLAINANT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED A FIXED ANNUITY ISSUED IN 2010, WHICH WAS FUNDED BY A BROKERAGE ACCOUNT.

Product Type: Annuity-Fixed
Money Market Fund

Alleged Damages: \$2,289,000.00

Alleged Damages Amount Explanation (if amount not exact): COMPLAINANT HAS ALLEGED ACTUAL DAMAGES OF \$218,000 AND PUNITIVE DAMAGES IN THE AMOUNT EQUAL TO THE LESSER OF \$2,071,000 OR 9.5 TIMES THE AMOUNT OF ACTUAL DAMAGES AWARDED, PLUS FEES, COSTS AND INTEREST.

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: 03/28/2011

Complaint Pending? No

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

Status Date: 03/27/2012

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: Federal Court

Name of Court: CIRCUIT COURT OF POPE COUNTY

Location of Court: POPE COUNTY, ARKANSAS

Docket/Case #: CV-2012-126

Date Notice/Process Served: 03/27/2012

Litigation Pending? No

Disposition: Settled

Disposition Date: 10/16/2012

Monetary Compensation Amount: \$35,000.00

Individual Contribution Amount: \$0.00



Firm Statement INTERNAL ID #201216719

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: THE COMPLAINT ALLEGES THAT THE REPRESENTATIVE MISREPRESENTED A FIXED ANNUITY ISSUED IN 2010, WHICH WAS FUNDED BY A BROKERAGE ACCOUNT.

Product Type: Annuity-Fixed
Money Market Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC AMOUNT HAS BEEN ALLEGED. THE FIRM HAS DETERMINED THAT POTENTIAL DAMAGES COULD EXCEED \$5,000.

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: 03/28/2011

Complaint Pending? No

Status: Denied

Status Date: 05/27/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, LLC

Allegations: COMPLAINANTS ALLEGE THAT STARTING IN MARCH 2006 JAMES MARTIN MADE FALSE REPRESENTATIONS THAT INDUCED THEM TO ENGAGE IN OPTIONS TRADING.

Product Type: Options

Alleged Damages: \$10,000,000.00

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: 03/15/2010
Complaint Pending? No
Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date: 04/15/2010
Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 10-01261
Date Notice/Process Served: 04/15/2010
Arbitration Pending? No
Disposition: Settled
Disposition Date: 07/27/2011
Monetary Compensation Amount: \$625,000.00
Individual Contribution Amount: \$0.00
Firm Statement CASE # 201013466

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MML INVESTORS SERVICES, INC.
Allegations: COMPLAINANTS ALLEGE THAT STARTING IN MARCH 2006 JAMES MARTIN MADE FALSE REPRESENTATIONS THAT INDUCED THEM TO ENGAGE IN OPTIONS TRADING.
Product Type: Options
Alleged Damages: \$10,000,000.00
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: 03/15/2010
Complaint Pending? No
Status: Settled
Status Date: 07/27/2011



Settlement Amount: \$625,000.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 10-01261

Date Notice/Process Served: 04/15/2010

Arbitration Pending? No

Disposition: Settled

Disposition Date: 07/27/2011

Monetary Compensation Amount: \$625,000.00

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Firm

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

Allegations: CUSTOMERS ALLEGE THAT IT TOOK 2 1/2 YEARS TO PROCESS THE CHANGE IN INVESTMENT ALLOCATIONS AS REQUESTED. CUSTOMERS HAVE REQUESTED THE RETURN OF ALL MONIES PUT INTO THE POLICIES. DAMAGES UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 02/22/2005

Complaint Pending? No

Status: Settled

Status Date: 04/06/2005

Settlement Amount: \$4,824.82

Individual Contribution Amount: \$0.00

Firm Statement FIRM AGREED TO THE CANCELLATION OF TWO VARIABLE UNIVERSAL LIFE POLICIES AS IF THEY HAD NEVER BEEN ISSUED, LESS THE SURRENDER PROCEEDS. CUSTOMERS WERE ISSUED A TOTAL REFUND OF \$4824.82.

Reporting Source: Individual



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

Allegations: CUSTOMERS ALLEGE THAT IT TOOK 2 1/2 YEARS TO PROCESS THE CHANGE IN INVESTMENT ALLOCATIONS AS REQUESTED. CUSTOMERS HAVE REQUESTED THE RETURN OF ALL MONIES PUT INTO THE POLICIES. DAMAGES UNSPECIFIED.

Product Type: Insurance

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/30/2005

Complaint Pending? No

Status: Settled

Status Date: 04/06/2005

Settlement Amount: \$4,824.82

Individual Contribution Amount: \$0.00



End of Report

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