



IAPD Report

CORY JAMES CHAPMAN

CRD# 2835015

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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

CORY JAMES CHAPMAN (CRD# 2835015)

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 **03/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	EFC WEALTH MANAGEMENT FIRM LLC	CRD# 312671	05/10/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** 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	MADISON AVENUE SECURITIES, LLC	23224	Los Angeles, CA	12/14/2017 - 10/06/2021
IA	MADISON AVENUE SECURITIES, LLC	23224	Los Angeles, CA	12/14/2017 - 10/06/2021
IA	FSC SECURITIES CORPORATION	7461	LOS ANGELES, CA	12/24/2014 - 12/18/2017

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

Employment 1 of 1

Firm Name: **EFC WEALTH MANAGEMENT FIRM LLC**
Main Address: 5777 W CENTURY BLVD
SUITE 985
LOS ANGELES, CA 90045
Firm ID#: 312671

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	05/10/2021
	Nevada	Investment Adviser Representative	Approved	06/28/2022
	Texas	Investment Adviser Representative	Approved	05/17/2021

Branch Office Locations

EFC WEALTH MANAGEMENT FIRM LLC
5777 W CENTURY BLVD
SUITE 985
LOS ANGELES, CA 90045





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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/21/2004
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/30/1999

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/15/2002
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/21/1997

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/10/2001
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1998

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	12/14/2017 - 10/06/2021	MADISON AVENUE SECURITIES, LLC	CRD# 23224	Los Angeles, CA
IA	12/14/2017 - 10/06/2021	MADISON AVENUE SECURITIES, LLC	CRD# 23224	Los Angeles, CA
IA	12/24/2014 - 12/18/2017	FSC SECURITIES CORPORATION	CRD# 7461	LOS ANGELES, CA
B	08/11/2014 - 12/18/2017	FSC SECURITIES CORPORATION	CRD# 7461	LOS ANGELES, CA
IA	08/19/2014 - 12/14/2017	THE RETIREMENT GROUP, LLC	CRD# 148296	LOS ANGELES, CA
IA	08/12/2014 - 08/28/2014	FSC SECURITIES CORPORATION	CRD# 7461	LOS ANGELES, CA
B	05/19/2009 - 08/18/2014	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LOS ANGELES, CA
IA	05/19/2009 - 08/18/2014	CROWN CAPITAL SECURITIES, L.P.	CRD# 6312	LOS ANGELES, CA
B	05/26/2004 - 05/27/2009	LPL FINANCIAL CORPORATION	CRD# 6413	LOS ANGELES, CA
IA	05/26/2004 - 05/27/2009	LPL FINANCIAL CORPORATION	CRD# 6413	LOS ANGELES, CA
IA	12/17/2003 - 06/04/2004	FIRST ALLIED SECURITIES, INC.	CRD# 32444	LOS ANGELES, CA
B	10/01/2003 - 06/04/2004	FIRST ALLIED SECURITIES, INC.	CRD# 32444	SAN DIEGO, CA
B	07/30/2002 - 09/30/2003	WM FINANCIAL SERVICES, INC.	CRD# 599	IRVINE, CA
B	01/29/2001 - 08/15/2002	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	CHARLOTTE, NC
B	04/10/2002 - 08/09/2002	SAL FINANCIAL SERVICES, INC.	CRD# 18456	BIRMINGHAM, AL
B	02/08/2002 - 05/14/2002	MAS CAPITAL SECURITIES, INC.	CRD# 112386	MIAMI, FL
B	02/16/1999 - 10/06/2000	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC



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	12/24/1997 - 02/19/1999	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD

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
03/2021 - Present	EFC Wealth Management Firm, Inc.	Founder, CCO, Investment Advisor Representative	Y	LOS ANGELES, CA, United States
02/2021 - Present	Solutions One	Partner	N	LOS ANGELES, CA, United States
08/2011 - Present	Cory Chapman Success 4 Your Life	Retirement Income and Tax Strategist	N	LOS ANGELES, CA, United States
01/2003 - Present	EFC Wealth Group	Insurance Agent/Estate Document Preparer	Y	LOS ANGELES, CA, United States
12/2017 - 09/2021	MADISON AVENUE SECURITES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
12/2017 - 03/2021	MADISON AVENUE SECURITES, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, CA, United States
08/2014 - 12/2017	FSC SECURITIES	Investment Advisor Representative/Registered Representative	Y	LOS ANGELES, CA, United States
08/2014 - 12/2017	THE RETIREMENT GROUP, LLC	Investment Advisor Representative	Y	SAN DIEGO, 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) EFC WEALTH GROUP; INV RELATED: YES, SOME INSURANCE PRODUCTS CAN BE CONSIDERED INVESTMENTS; ADDRESS: 5777 W CENTURY BLVD., SUITE 985 LOS ANGELES, CA 90045; NATURE: INSURANCE PRODUCTS; POSITION:CEO TITLE/PARTNERSHIP WITH WIFE/INDEPENDENT INSURANCE AGENT; START DATE: 01/01/2003; HOURS/MONTH: 160; TRADING HOURS/MONTH: 160; DUTIES: INSURANCE SALES

(2) EFC WEALTH MANAGEMENT DBA EFC WEALTH GROUP; INV RELATED:YES; ADDRESS:5777 W CENTURY BLVD., SUITE 985 LOS ANGELES, CA 90045; NATURE: FIXED INSURANCE BUSINESS; POSITION: INSURANCE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

AGENT/INDEPENDENT CONTRACTOR; START DATE: 01/01/2003; HOURS/MONTH: 160; TRADING HOURS/MONTH:160; DUTIES: INSURANCE SALES IN CONJUNCTION WITH ADVISORY BUSINESS.

(3) CORY CHAPMAN/SUCCESS 4 UR LIFE; INV RELATED:NO; ADDRESS: 5678 W 63RD STREET LOS ANGELES, CA 90056; NATURE: a retirement income and tax specialist PROVIDING PERSONAL DEVELOPMENT THROUGH SEMINARS, WORKSHOPS, AUDIOS, BOOKS AND SPEAKING EVENTS; POSITION: PERSONAL DEVELOPMENT COACH, HIGH PERFORMANCE COACHING, SEMINARS, AUDIOS, BOOKS; START DATE:08/11/2011; HOURS/MONTH: AS NEEDED (NO SET HOURS); TRADING HOURS/MONTH: AS NEEDED (NO SET HOURS); DUTIES: PROVIDE COACHING AND PERSONAL DEVELOPMENT TO CLIENTS THROUGH SEMINARS, workshops, AUDIOS, BOOKS AND SPEAKING EVENTS

(4) Mr. Chapman is a REAL ESTATE AGENT; START DATE:07/12/2012; HOURS/MONTH:36; TRADING HOURS/MONTH:0; DUTIES: REAL ESTATE PURCHASE & SALES

(5) ADVISORWORKS ONLINE SERVICES; INVESTMENT-RELATED: YES; ADDRESS: 5777 W Century Blvd., Suite 985, LOS ANGELES, CA 90045; NATURE: TECH COMPANY FOR AUTOMATED INDUSTRY SALES & MARKETING; POSITION: STRATEGIST AND CONSULTANT; START DATE: 07/15/2019; HOURS/MONTH: 40; TRADING HOURS/MONTH: 0; DUTIES: CAMPAIGN STRATEGIES AND MARKETING IMPLEMENTATION.

(6) CORY J. CHAPMAN; MR. CHAPMAN PROVIDES A FREE FINANCIAL EDUCATIONAL PROGRAM TO THE PUBLIC CALLED THE LOS ANGELES ADULT FINANCIAL EDUCATION ("LAAFE") PROGRAM. IT IS NOT INVESTMENT-RELATED. MR. CHAPMAN RECEIVES NO COMPENSATION. HE BEGAN INSTRUCTING LAAFE COURSES IN MARCH 2023. HE DEVOTES APPROXIMATELY 3 HOURS PER MONTH OR 1 SATURDAY CLASS PER MONTH. COURSES TAKE PLACE AT PEPPERDINE UNIVERSITY IN LOS ANGELES, CA.



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	1

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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	FSC Securities Corporation
Allegations:	Customer alleged misrepresentation concerning the purchase of a variable annuity in 2015.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Alleged damages 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:	04/18/2016
Complaint Pending?	No
Status:	Denied
Status Date:	05/24/2016
Settlement Amount:	



**Individual Contribution
Amount:**

Broker Statement

I recommended the purchase of a variable annuity to the client for a portion of her assets after evaluating her current financials, investment objectives and financial needs. Full disclosure was provided at meetings and through the product prospectus prior to purchase. The client attested she understood and approved the recommendation. The complaint is without merit.



End of Report

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