IAPD Report

MARTY MICHAEL MARTINEZ

CRD# 3091591

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

MARTY MICHAEL MARTINEZ (CRD# 3091591)

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 **04/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	05/15/2013
IA	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	05/24/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	TRICOR ADVISORY SERVICES, LLC	141775	LAS VEGAS, NV	04/17/2012 - 01/02/2013
B	TRICOR FINANCIAL, LLC	142518	LAS VEGAS, NV	02/28/2012 - 01/02/2013
B	ARQUE CAPITAL, LTD.	121192	SCOTTSDALE, AZ	10/27/2011 - 03/08/2012

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
Customer Dispute	3

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

Employment 1 of 2

Firm Name: **ALLSTATE FINANCIAL SERVICES, LLC**

Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508-1380

Firm ID#: 18272

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/15/2013
B	FINRA	Municipal Securities Principal	Approved	05/15/2013
B	FINRA	Municipal Securities Representative	Approved	05/15/2013
B	Alaska	Agent	Approved	10/02/2020
B	Arizona	Agent	Approved	07/02/2018
B	California	Agent	Approved	09/11/2018
B	Florida	Agent	Approved	06/19/2019
B	Idaho	Agent	Approved	08/02/2022
B	Illinois	Agent	Approved	01/07/2025
B	Indiana	Agent	Approved	09/23/2022
B	Michigan	Agent	Approved	11/01/2021
B	Nevada	Agent	Approved	05/17/2013
B	New Jersey	Agent	Approved	04/27/2026

Qualifications

	Regulator	Registration	Status	Date
B	Ohio	Agent	Approved	07/13/2021
B	Oregon	Agent	Approved	11/25/2019
B	South Carolina	Agent	Approved	03/06/2026
B	South Dakota	Agent	Approved	06/04/2021
B	Texas	Agent	Approved	11/30/2021
B	Utah	Agent	Approved	05/17/2022
B	Washington	Agent	Approved	04/06/2026

Branch Office Locations

1291 Galleria Dr Ste 125
Henderson, NV 89014-8632

Employment 2 of 2

Firm Name: **ALLSTATE FINANCIAL ADVISORS, LLC**

Main Address: 151 N 8TH STREET, SUITE 450
LINCOLN, NE 68508

Firm ID#: 109524

	Regulator	Registration	Status	Date
IA	Nevada	Investment Adviser Representative	Approved	05/24/2013

Branch Office Locations

ALLSTATE FINANCIAL ADVISORS, LLC
1291 Galleria Dr Ste 125
Henderson, NV 89014-8632

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	04/22/2010

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	11/23/1999
B	Municipal Securities Representative Examination (S52)	Series 52	09/14/1999

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/24/2000
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/23/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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	04/17/2012 - 01/02/2013	TRICOR ADVISORY SERVICES, LLC	CRD# 141775	LAS VEGAS, NV
B	02/28/2012 - 01/02/2013	TRICOR FINANCIAL, LLC	CRD# 142518	LAS VEGAS, NV
B	10/27/2011 - 03/08/2012	ARQUE CAPITAL, LTD.	CRD# 121192	SCOTTSDALE, AZ
IA	10/25/2010 - 01/25/2011	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	LAS VEGAS, NV
B	10/01/2010 - 01/25/2011	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	LAS VEGAS, NV
IA	08/10/2010 - 08/20/2010	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	LAS VEGAS, NV
IA	03/13/2009 - 07/26/2010	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV
B	03/04/2009 - 07/26/2010	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV
IA	07/02/2008 - 01/08/2009	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	LAS VEGAS, NV
B	06/26/2008 - 01/08/2009	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	05/08/2006 - 07/03/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV
IA	05/08/2006 - 07/03/2008	MML INVESTORS SERVICES, INC.	CRD# 10409	LAS VEGAS, NV
B	10/17/2003 - 05/08/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LAS VEGAS, NV
IA	10/17/2003 - 05/08/2006	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	LAS VEGAS, NV
B	08/05/2002 - 11/14/2003	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
IA	08/05/2002 - 11/14/2003	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	LAS VEGAS, NV

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	05/19/2000 - 08/05/2002	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	LAS VEGAS, NV
B	03/16/2000 - 08/05/2002	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	01/24/2000 - 03/01/2000	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
08/2016 - Present	Upmrkt LLC	AGENT	N	Henderson, NV, United States
05/2013 - Present	Allstate Financial Advisors, LLC	Representative	Y	Lincoln, NE, United States
05/2013 - Present	Allstate Financial Services, LLC	Agent	Y	Lincoln, NE, United States
03/2013 - Present	Allstate Insurance Co	Agent	N	Northbrook, IL, 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.

ALLIANZ LIFE,
ADDRESS-N/A,
NON INVESTMENT RELATED,
INSURANCE AGENT,
SERVICE MY EXISTING ALLIANZ LIFE ANNUITY CLIENTS. (NON-SALES AGENT),
10%,

TRAILING COMMISSIONS FROM EVERLAKE, LBL, WILTON RE, AND THE STANDARD
POSITION: Agent NATURE: Servicing Allstate legacy business for Everlake, LBL, Wilton RE, and The Standard accounts.
INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 07/01/2025
ADDRESS: 1291 Galleria Drive Ste 125, Henderson NV 89014, United States
DESCRIPTION: Servicing customers for Allstate legacy business.

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
Criminal	1
Customer Dispute	3

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
Organization Name (if charge(s) were brought against an organization over which individual exercised control):	N/A
Court Details:	HARBOR JUDICAL DISTRICT MUNICIPAL COURT/ORANGE COUNTY, CA CASE 391M03098
Charge Date:	03/05/1991
Charge Details:	VANDELISM-MISDEMEANOR-PLEAD GUILTY DISORDERLY CONDUCT-MISDEMEANOR-PLEAD GUILTY FALSE REPRESENTATION TO PEACE OFFICER-MISDEMEANOR-PLEAD GUILTY
Felony?	No
Current Status:	Final
Status Date:	02/25/1999
Disposition Details:	THE GUILTY PLEA FOR THE CHARGES IN 23-B HAS BEEN SET ASIDE AND VACATED AND A PLEA OF NOT GUILTY HAS BEEN ENTERED. THE COMPLAINT HAS BEEN DISMISSED A RESTITUTION FINE IN THE AMOUNT OF $400.00 WAS PAID IN FULL ON 8/15/91.
Broker Statement	I WAS AT A FRATERNITY PARTY WHERE ALCHOL WAS SERVED. THE ALLEGED DISORDERLY CONDUCT WAS AN ALTERCATION BETWEEN MYSELF AND ANOTHER INDIVIDUAL THAT WAS ATTENDING THE FRAT PARTY. A CAR WAS DENTED IN THE MIDST OF THE ALTERCATION.

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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMERS ALLEGED THAT THE REPRESENTATIVE WAS INVOLVED IN EXCHANGING EXISTING ANNUITES FROM ANOTHER FIRM INTO NEW VARIABLE ANNUITIES, IN SEPTEMBER AND OCTOBER 2008, IN WHICH THE SURRENDER CHARGES WERE NOT CLEARLY EXPLAINED. CUSTOMERS HAVE ALLEGED DAMAGES AS NOTED BELOW.
Product Type:	Annuity-Variable
Alleged Damages:	$46,863.37
Alleged Damages Amount Explanation (if amount not exact):	PLUS 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:	04/18/2011
Complaint Pending?	No
Status:	Denied
Status Date:	07/01/2011
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	NEW ENGLAND SECURITIES
Allegations:	CUSTOMERS ALLEGED THAT THE REPRESENTATIVE WAS INVOLVED IN EXCHANGING EXISTING ANNUITIES FROM ANOTHER FIRM INTO NEW VARIABLE ANNUITIES, IN SEPTEMBER AND OCTOBER 2008, IN WHICH THE SURRENDER CHARGES WERE NOT CLEARLY EXPLAINED. CUSTOMERS HAVE ALLEGED DAMAGES AS NOTED BELOW.

Product Type:	Annuity-Variable
Alleged Damages:	$46,863.37
Alleged Damages Amount Explanation (if amount not exact):	PLUS 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:	04/18/2011
Complaint Pending?	No
Status:	Denied
Status Date:	07/01/2011
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC.
Allegations:	COMPLAINANTS ALLEGE THAT THE PRODUCER ENTICED THEM TO PURCHASE A WHOLE LIFE POLICY IN 2010 AND PAY THE PREMIUMS BY SELLING SECURITIES FROM THEIR BROKERAGE ACCOUNT. THEY ALLEGE THAT THIS ARRANGEMENT WILL CAUSE SIGNIFICANT LOSSES AND THAT THE POLICY IS UNSUITABLE.
Product Type:	Insurance Other: BROKERAGE ACCOUNT
Alleged Damages:	$1,200,000.00
Alleged Damages Amount Explanation (if amount not exact):	COMPLAIANTS PROJECT THEY WILL LOSE THIS AMOUNT OVER THE NEXT FIVE YEARS DUE TO THE FUNDING ARRANGEMENT OF THIS WHOLE LIFE POLICY.
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:	11/24/2010
Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)

Status Date: 10/17/2011

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: Federal Court

Name of Court: DISTRICT COURT CLARK COUNTY NEVADA

Location of Court: CLARK COUNTY NEVADA

Docket/Case #: A-11-649187

Date Notice/Process Served: 10/17/2011

Litigation Pending? No

Disposition: Settled

Disposition Date: 03/28/2013

Monetary Compensation Amount: $250,000.00

Individual Contribution Amount: $56,250.00

Firm Statement INTERNAL CASE #201115974

Reporting Source: Individual

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

Allegations: COMPLAINANTS ALLEGE THAT THE PRODUCER ENTICED THEM TO PURCHASE A WHOLE LIFE POLICY
IN 2010 AND PAY THE PREMIUMS BY SELLING SECURITIES FROM THEIR BROKERAGE ACCOUNT. THEY
ALLEGE THAT THIS ARRANGEMENT WILL CAUSE SIGNIFICANT LOSSES AND THAT THE POLICY IS
UNSUITABLE.

Product Type: Insurance
Other: BROKERAGE ACCOUNT

Alleged Damages: $1,200,000.00

Alleged Damages Amount Explanation (if amount not exact): COMPLAIANTS PROJECT THEY WILL LOSE THIS AMOUNT OVER THE NEXT FIVE YEARS DUE TO THE FUNDING ARRANGEMENT OF THIS WHOLE LIFE POLICY.

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: 11/24/2010

Complaint Pending?	No
Status:	Evolved into Civil litigation (the individual is a named party)
Status Date:	07/20/2011
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	DISTRICT COURT CLARK COUNTY NEVADA
Location of Court:	CLARK COUNTY NEVADA
Docket/Case #:	A-11-649187
Date Notice/Process Served:	10/17/2011
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	03/28/2013
Monetary Compensation Amount:	$250,000.00
Individual Contribution Amount:	$56,250.00
Broker Statement	REGISTERED REP WAS ONE OF 5 PARTIES TO THIS COMPLAINT AND WAS NOT INVOLVED IN THE OTHER PARTIES TRANSACTIONS WITH THE CLIENTS. I VEHEMENTLY DENIED ALL ALLEGATIONS AGAINST ME, BUT WAS ADVISED TO BE PART OF THE TOTAL SETTLEMENT, AND AS A RESULT, THE CASE WAS DISMISSED WITH PREJUDICE WITH ALL PARTIES MUTUALLY SATISFIED. PER MMLISI-INTERNAL CASE #201115974 REGISTERED REP STATES THAT THE CLIENTS WERE INTERESTED IN PURCHASING A WHOLE LIFE INSURANCE PRODUCT. REGISTERED REP STATES THE HE PRESENTED THE CLIENTS WITH ILLUSTRATIONS(PREPARED BY MASS MUTUAL) SHOWING HOW THE POLICY WOULD OPERATE OVER TIME AND THE VARIOUS OPTIONS FOR PAYING PREMIUMS. AFTER SEVERAL MEETINGS, THE CLIENTS DECIDED TO PURCHASE THE POLICY, WHICH WAS REASONABLE AND SUITABLE FOR THE CLIENTS NEEDS. AFTER A SUBSEQUENT MEETING WITH A PRODUCER FROM A COMPETING INSURANCE COMPANY, SEVERAL MONTHS LATER, THE CLIENTS DECIDED TO LET THE POLICY LAPSE AND PURCHASE A DIFFERENT POLICY FROM A DIFFERENT INSURER, FROM ANOTHER PRODUCER. REGISTERED REP DENIES ALL ALLEGATIONS AND THE LAWSUIT WAS SETTLED BY REGISTERED REP MARTINEZ'S FORMER INSURANCE COMPANY TO AVOID THE EXPENSE OF LITIGATION.

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC.
Allegations:	ALLEGES THAT THE PRODUCER NEVER EXPLAINED THE PRODUCT, THAT

	SHE NEVER RECEIVED THE PRODUCT AND THAT IT DID NOT FIT HER NEEDS. NO SPECIFIC DAMAGES ALLEGED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	08/05/2008
Complaint Pending?	No
Status:	Denied
Status Date:	08/29/2008
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MML INVESTORS SERVICES, INC
Allegations:	ALLEGES THAT THE PRODUCER NEVER EXPLAINED THE PRODUCT, THAT SHE NEVER RECEIVED THE PRODUCT AND THAT IT DID NOT FIT HER NEEDS. NO SPECIFIC DAMAGES ALLEGED.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	08/05/2008
Complaint Pending?	No
Status:	Denied
Status Date:	08/29/2008
Settlement Amount:	
Individual Contribution Amount:	

End of Report

This page is intentionally left blank.

