



IAPD Report

ARTHUR DELL EGGMAN

CRD# 3159634

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

ARTHUR DELL EGGMAN (CRD# 3159634)

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 **02/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	11/11/2024
IA	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	11/12/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	OSAIC WEALTH, INC.	23131	VISALIA, CA	06/14/2024 - 11/13/2024
B	SECURITIES AMERICA, INC.	10205	VISALIA, CA	05/24/2024 - 06/14/2024
B	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	Bakersfield, CA	01/06/2012 - 05/09/2024

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
Financial	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 2 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **INDEPENDENT FINANCIAL GROUP, LLC**
Main Address: 12671 HIGH BLUFF DR
SUITE 200
SAN DIEGO, CA 92130
Firm ID#: 7717

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	11/11/2024
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/11/2024
B	Arizona	Agent	Approved	06/02/2025
B	California	Agent	Approved	11/11/2024
IA	California	Investment Adviser Representative	Approved	11/12/2024

Branch Office Locations

INDEPENDENT FINANCIAL GROUP, LLC
Visalia, CA



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	06/03/1999

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	12/02/1998

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	10/19/2006
Uniform Securities Agent State Law Examination (S63)	Series 63	12/08/1998

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	06/14/2024 - 11/13/2024	OSAIC WEALTH, INC.	CRD# 23131	VISALIA, CA
B	05/24/2024 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	VISALIA, CA
B	01/06/2012 - 05/09/2024	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	Bakersfield, CA
IA	01/06/2012 - 05/09/2024	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	Bakersfield, CA
IA	11/08/2006 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	MODESTO, CA
B	04/12/2002 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	MODESTO, CA
B	02/04/1999 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	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
11/2024 - Present	INDEPENDENT FINANCIAL GROUP, LLC	REGISTERED REPRESENTATIVE	Y	VISALIA, CA, United States
06/2024 - 11/2024	OSAIC WEALTH, INC.	Mass Transfer	Y	VISALIA, CA, United States
05/2024 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	VISALIA, CA, United States
01/2012 - 05/2024	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP.	Y	BAKERSFIELD, CA, United States
04/2020 - 10/2020	Bakersfield Memorial Hospital Dignity Health	Registered Nurse	N	Bakersfield, CA, United States
04/2011 - 10/2020	DEBTMERICA RELIEF	REFERRAL SOURCE	N	SANTA ANA, CA, United States
02/2012 - 07/2016	HEARTLAND INSTITUTE OF FINANCIAL EDUCATION	CERTIFIED FINANCIAL EDUCATOR	N	BAKERSFIELD, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2011 - 07/2016	TANGLEFOOT PINES WEDDINGS	HOMEOWNER	N	FRAZIER PARK, 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. ALL INTO LIFE

POSITION: referrer NATURE: All into life INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 05/01/2024
 ADDRESS: 215 curry rd, Waxahachie TX 75167
 DESCRIPTION: all into life is a platform for debt elimination using whole life insurance products

2. WEALTH.COM

POSITION: Independent Contractor NATURE: Referral Services INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 01/01/2026
 ADDRESS: 2345 N Duke Street, Visalia CA 93291, United States
 DESCRIPTION: REFERRAL TO CLIENT FOR INDEPENDENT LEGAL SERVICES FOR WILLS, TRUSTS, POA FOR MEDICAL CARE REFERRAL ONLY AS I DO NOT PROVIDE LEGAL ADVICE



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
Financial	1

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

Court Details: SUPERIOR COURT, SAN DIEGO CALIFORNIA
UNKNOWN

Charge Date: 04/01/1974

Charge Details: POSSESSION FOR SALE OF CONTROLLED SUBSTANCE

Felony?

Current Status: Final

Status Date: 01/01/1986

Disposition Details: INITIAL FINDING 1974, GUILTY VERDICT, SENTENCED 1 YEAR SAN DIEGO COUNTY HONOR FARM. SERVED 9 MONTHS 20 DAYS. 5 YEARS PROBATION COMPLETED ALL REQUIREMENTS OF COURT RETURNED TO COURT 1985/1986 TO REQUEST RELIEF THRU COURT. GRANTED WITH ORIGINAL CHARGES EITHER REDUCED OR DISMISSED. NO CURRENT FELONY OR MISDEMEANOR RECORD EXISTS IN SAN DIEGO SUPERIOR COURT AS OF 9/98.

Broker Statement AT THE COMPLETION OF 4 YEARS ACTIVE DUTY IN THE US NAVY, THIS EVENT OCCURED. I COMPLETED THE TERM TO ELIMINATE MY DEBT TO SOCIETY. I THEN WENT ON TO COMPLETE AN ASSOCIATE DEGREE IN BUSINESS. I WORKED FOR 7 YEARS FOR STATE OF CA. HEALTH SERVICES IN PHARMACY. I COMPLETED MY BACHELOR'S DEGREE IN NURSING AND HAVE SERVED AS A LICENSED REGISTERED NURSE IN ACUTE CARE AND CRITICAL CARE SINCE 1986-I ATTEMPTED TO OBTAIN OLD RECORDS BUT NONE SEEM TO EXIST AT THE COURT OF RECORD.



[Empty content area]



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	05/27/2022
Organization Investment-Related?	
Action Pending?	No
Disposition:	Settled
Disposition Date:	05/27/2022
If a compromise with creditor, provide:	
Name of Creditor:	Capital One
Original Amount Owed:	\$10,000.00
Terms Reached with Creditor:	Settled for \$6000.



End of Report

This page is intentionally left blank.