



IAPD Report

JEREMY TODD LINDQUIST

CRD# 3198807

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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

JEREMY TODD LINDQUIST (CRD# 3198807)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	08/12/2011
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	02/17/2015

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	NYLIFE SECURITIES LLC	5167	BEDFORD, NH	06/14/2010 - 08/12/2011
B	FIDELITY BROKERAGE SERVICES LLC	7784	SMITHFIELD, RI	06/21/2000 - 10/15/2001
B	NYLIFE SECURITIES INC.	5167	NEW YORK, NY	05/26/1999 - 05/11/2000

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

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/12/2011
B	Arizona	Agent	Approved	02/05/2015
B	California	Agent	Approved	08/14/2025
B	Florida	Agent	Approved	06/15/2021
IA	Florida	Investment Adviser Representative	Approved	06/15/2021
B	Maine	Agent	Approved	08/12/2011
B	Maryland	Agent	Approved	05/28/2026
B	Massachusetts	Agent	Approved	08/12/2011
B	Mississippi	Agent	Approved	01/21/2025
B	New Hampshire	Agent	Approved	08/12/2011
IA	New Hampshire	Investment Adviser Representative	Approved	02/17/2015
B	New Jersey	Agent	Approved	11/10/2022
B	New York	Agent	Approved	10/12/2023



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	02/12/2015
B Texas	Agent	Approved	10/05/2022
IA Texas	Investment Adviser Representative	Restricted Approval	10/06/2022
B Washington	Agent	Approved	11/18/2014

Branch Office Locations

MML INVESTORS SERVICES, LLC

930 S Harbor City Blvd
SUITE 503
MELBOURNE, FL 32901



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/11/2010
 General Securities Representative Examination (S7)	Series 7	09/26/2000

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	10/16/2014
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/10/2010

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	06/14/2010 - 08/12/2011	NYLIFE SECURITIES LLC	CRD# 5167	BEDFORD, NH
B	06/21/2000 - 10/15/2001	FIDELITY BROKERAGE SERVICES LLC	CRD# 7784	SMITHFIELD, RI
B	05/26/1999 - 05/11/2000	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY

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
08/2011 - Present	MASSMUTUAL LIFE INSURANCE COMPANY	AGENT	Y	ROCKLEDGE, FL, United States
08/2011 - Present	MML INVESTORS SERVICES	REGISTERED REPRESENTATIVE	Y	ROCKLEDGE, FL, 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) NAME: JEREMY LINDQUIST, INV REL: Y, ADDR: 930 S Harbor City Blvd, STE 503, Melbourne, FL 32901, NATURE: INDIVIDUAL LIFE, POSITION: SALES, START: 10/1/14, NO HRS/MO: 2, NO HRS/MO DUR TRADING: 2.
- (2) NAME: SKY PEAK BUSINESS STRATEGIES, INV REL: Y, ADDR: 930 S Harbor City Blvd, STE 503, Melbourne, FL 32901, NATURE: CONSULTING, POSITION: MANAGING MEMBER, START: 10/16/2023, NO HRS/MO: 10, NO HRS/MO DUR TRADING: 10.
- (3) NAME: PEGASUS BOOKKEEPING AND ACCOUNTING, INV REL: Y, ADDR: 930 SOUTH HARBOR CITY BLVD, SUITE 501, MELBOURNE, FL 32901, NATURE: BOOKKEEPING, ACCOUNTING SERVICES & PAYROLL, POSITION: OWNER, START: 1/1/2025, NO HRS/MO: 10, NO HRS/MO DUR TRADING: 5.
- (4) NAME: AMBER WAVES CHARTER LLC, INV REL: Y, ADDR: AT RESIDENTIAL ADDRESS, NATURE: OWNER OF LLC USED FOR CHARTER BOAT SERVICE, POSITION: OWNER, START: 04/12/2023, NO HRS/MO: 3, NO HRS/MO DUR TRADING: 0.



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:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that the variable annuity she purchased from her registered representative, on or about February 25, 2021, was unsuitable, and is looking to reverse the contract.
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to make a good faith determination that damages would be less than \$5000.
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:	03/03/2024
Complaint Pending?	No
Status:	Settled
Status Date:	04/14/2025



Settlement Amount: \$48,444.50
Individual Contribution Amount: \$1,000.00
Broker Statement Case #202403040020

Disclosure 2 of 4

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

Allegations: The complainant alleges that the 2015 recommendation made by the rep to sell her mutual funds and use the proceeds to purchase a fixed annuity and whole life insurance policy was unsuitable.

Product Type: Annuity-Fixed
Insurance
Mutual Fund

Alleged Damages: \$100,000.00

Alleged Damages Amount Explanation (if amount not exact): The complainant is seeking compensatory damages in excess of \$100,000, plus punitive damages, prejudgment interest, costs and other relief.

Arbitration Information

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

Docket/Case #: 17-00002

Date Notice/Process Served: 01/09/2017

Arbitration Pending? No

Disposition: Settled

Disposition Date: 01/29/2018

Monetary Compensation Amount: \$200,000.00

Individual Contribution Amount: \$0.00

Broker Statement For business reasons, the parties agreed to settle the case. There have been no findings of liability on the part of the registered representative. Internal case #201727071.

Disclosure 3 of 4

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: CUSTOMERS ALLEGE THAT THE RECOMMENDATION TO LIQUIDATE A VARIABLE LIFE INSURANCE POLICY AND FOUR 529 PLANS FROM OTHER CARRIERS TO FUND TWO UNIVERSAL LIFE INSURANCE POLICIES WAS



UNSUITABLE BASED ON THEIR FINANCIAL NEEDS.

Product Type: Insurance
Other: 529 PLANS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): BASED ON THE COMPANY'S GOOD FAITH ESTIMATE, IT WAS DETERMINED THAT THE COMPENSATORY DAMAGES COULD BE MORE THAN \$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: 12/30/2013

Complaint Pending? No

Status: Settled

Status Date: 03/31/2014

Settlement Amount: \$26,513.94

Individual Contribution Amount: \$0.00

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: NYLIFE SECURITIES LLC

Allegations: CUSTOMERS ALLEGE THAT THE RECOMMENDATION TO LIQUIDATE A VARIABLE LIFE INSURANCE POLICY AND FOUR 529 PLANS FROM OTHER CARRIERS TO FUND TWO UNIVERSAL LIFE INSURANCE POLICIES WAS UNSUITABLE BASED ON THEIR FINANCIAL NEEDS.

Product Type: Insurance
Other: 529 PLANS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): BASED ON THE COMPANY'S GOOD FAITH ESTIMATE, IT WAS DETERMINED THAT THE COMPENSATORY DAMAGES COULD BE MORE THAN \$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: 12/30/2013

Complaint Pending? No

Status: Settled



Status Date: 03/31/2014

Settlement Amount: \$26,513.94

Individual Contribution Amount: \$0.00

Disclosure 4 of 4

Reporting Source: Individual

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

Allegations: THE COMPLAINANT ALLEGES THAT HE IS UNABLE TO FUND A VARIABLE UNIVERSAL LIFE INSURANCE POLICY, WHICH WAS SOLD TO HIM IN 2011 WHEN THE PRODUCER WAS WITH ANOTHER FIRM, AND HAS LOST OVER \$5,000 IN THIS POLICY. IN LIGHT OF THIS, HE ALLEGES THAT IT WAS IRRESPONSIBLE FOR THE PRODUCER TO SELL HIM A WHOLE LIFE POLICY IN 2012, WHICH HE IS FUNDING WITH SECURITIES HELD IN AN IRA BDA ACCOUNT.

Product Type: Insurance
Mutual Fund

Alleged Damages: \$13,800.00

Alleged Damages Amount Explanation (if amount not exact): THE COMPLAINANT ALLEGES THAT HE LOST "OVER \$5,000" ON THE VARIABLE LIFE POLICY AND \$8,800 ON HIS 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: 11/16/2012

Complaint Pending? No

Status: Withdrawn

Status Date: 01/03/2013

Settlement Amount:

Individual Contribution Amount:

Broker Statement INTERNAL CASE #201217877.



End of Report

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