



## IAPD Report

# WAYNE DOUGLAS MINICH

CRD# 336353

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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

### WAYNE DOUGLAS MINICH (CRD# 336353)

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 **05/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	VALMARK SECURITIES, INC.	CRD# 31243	10/07/1997
<b>IA</b>	VALMARK ADVISERS, INC.	CRD# 108050	01/28/2004
<b>IA</b>	WAYNE D. MINICH & COMPANY, INC.	CRD# 121236	09/22/2004

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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>B</b>	ASCEND FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN	07/22/1996 - 10/03/1997
<b>B</b>	KEOGLER, MORGAN & COMPANY, INC.	16546	ATLANTA, GA	11/10/1993 - 06/18/1996
<b>B</b>	GREEN HILL FINANCIAL SERVICE CORPORATION	4882	ATLANTA, GA	04/26/1983 - 11/16/1993

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
Termination	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 **19** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 3

Firm Name: **VALMARK ADVISERS, INC.**  
Main Address: 130 SPRINGSIDE DRIVE  
SUITE 300  
AKRON, OH 44333  
Firm ID#: 108050

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	06/25/2007
IA	California	Investment Adviser Representative	Approved	03/04/2010
IA	Colorado	Investment Adviser Representative	Approved	06/25/2007
IA	Delaware	Investment Adviser Representative	Approved	03/22/2022
IA	Florida	Investment Adviser Representative	Approved	01/18/2007
IA	Georgia	Investment Adviser Representative	Approved	10/07/2017
IA	Illinois	Investment Adviser Representative	Approved	05/21/2025
IA	Minnesota	Investment Adviser Representative	Approved	01/21/2014
IA	Missouri	Investment Adviser Representative	Approved	09/10/2013
IA	Nevada	Investment Adviser Representative	Approved	08/11/2020
IA	North Carolina	Investment Adviser Representative	Approved	01/22/2007
IA	Ohio	Investment Adviser Representative	Approved	01/28/2004
IA	Oklahoma	Investment Adviser Representative	Approved	06/19/2015



### Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	04/13/2022
IA South Carolina	Investment Adviser Representative	Approved	07/13/2018
IA Texas	Investment Adviser Representative	Restricted Approval	04/02/2007
IA Utah	Investment Adviser Representative	Approved	06/18/2021
IA Virginia	Investment Adviser Representative	Approved	04/13/2022

### Branch Office Locations

**VALMARK ADVISERS, INC.**  
 4603 W, STREETSBORO ROAD  
 RICHFIELD, OH 44286

### Employment 2 of 3

Firm Name: **VALMARK SECURITIES, INC.**  
 Main Address: 130 SPRINGSIDE DRIVE  
 SUITE 300  
 AKRON, OH 44333-2431  
 Firm ID#: 31243

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	10/07/1997
B Arizona	Agent	Approved	11/14/2001
B California	Agent	Approved	01/16/2007
B Colorado	Agent	Approved	01/17/2007
B Delaware	Agent	Approved	08/10/2009
B Florida	Agent	Approved	07/22/1999
B Georgia	Agent	Approved	10/02/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Indiana	Agent	Approved	11/30/2015
<b>B</b> Minnesota	Agent	Approved	05/02/2000
<b>B</b> Missouri	Agent	Approved	05/25/2012
<b>B</b> North Carolina	Agent	Approved	08/02/2006
<b>B</b> Ohio	Agent	Approved	10/07/1997
<b>B</b> Oklahoma	Agent	Approved	06/19/2015
<b>B</b> Pennsylvania	Agent	Approved	01/31/2008
<b>B</b> South Carolina	Agent	Approved	07/13/2018
<b>B</b> Texas	Agent	Approved	04/11/2011
<b>B</b> Virginia	Agent	Approved	08/10/2000

### Branch Office Locations

4603 W. STREETSBORO ROAD  
RICHFIELD, OH 44286

### Employment 3 of 3

Firm Name: **WAYNE D. MINICH & COMPANY, INC.**  
Main Address: 4603 W. STREETSBORO ROAD  
RICHFIELD, OH 44286  
Firm ID#: 121236

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	09/22/2004

### Branch Office Locations

**WAYNE D. MINICH & COMPANY, INC.**  
4603 WEST STREETSBORO ROAD



## Qualifications

RICHFIELD, OH 44286

**WAYNE D. MINICH & COMPANY, INC.**  
4603 W. STREETSBORO ROAD  
RICHFIELD, OH 44286

**WAYNE D. MINICH & COMPANY, INC.**  
4603 W. STREETSBORO ROAD  
RICHFIELD, OH 44286



## 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 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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 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Registered Representative Examination (S1)	Series 1	10/02/1971

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	05/01/2000
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### PROFESSIONAL DESIGNATIONS

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

#### Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



## 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	07/22/1996 - 10/03/1997	ASCEND FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
B	11/10/1993 - 06/18/1996	KEOGLER, MORGAN & COMPANY, INC.	CRD# 16546	ATLANTA, GA
B	04/26/1983 - 11/16/1993	GREEN HILL FINANCIAL SERVICE CORPORATION	CRD# 4882	
B	10/07/1971 - 04/25/1983	MANEQUITY, INC.	CRD# 5249	

### 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
01/2004 - Present	VALMARK ADVISERS, INC.	INVESTMENT ADVISER REP	Y	Akron, OH, United States
09/1997 - Present	VALMARK SECURITIES, INC.	NOT PROVIDED	Y	Akron, OH, United States
06/1996 - Present	MINNESOTA MUTUAL	AGENT - Agent	N	ST. PAUL, MN, United States
12/1982 - Present	WAYNE D.MINICH & COMPANY	PRESIDENT	Y	CLEVELAND, OH, United States
01/1982 - Present	APPLIED FINANCIAL CONCEPTS INC	PRESIDENT - PRESIDENT	N	CLEVELAND, OH, 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) I RECEIVE COMMISSIONS FROM THE SALE OF LIFE INSURANCE. I RECIEVE ADVISORY (RIA) FEES. I RECEIVE COMMISSIONS FROM THE SALE OF LIFE, LTC, FIXED ANNUITY AND DISABILITY INSURANCE THAT IS NOT SOLD THROUGH VALMARK.
- 2) Midland National Life Insurance Company; 4350 Westown Pkway, West Des Moines, IA 50266; Life Insurance-Term conversion; Not Investment Related; 8/2/19 start date; approximately 1-5 hours per month; Commissions paid directly to Applied Financial Concepts Inc., from Midland.
- 3) Applied Financial Concepts, Inc.; 4603 W Streetsboro Rd. Richfield, OH 44286; Financial Planning; Founder; Financial planning; YES Investment Related; Start Date 11/1982; 75% Owner; Approximately 40+ hrs. per month; Salary and Rental income paid from company to me.///



## 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
Termination	1

### Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	KEOGLER, MORGAN & COMPANY, INC.
<b>Termination Type:</b>	Permitted to Resign
<b>Termination Date:</b>	06/06/1996
<b>Allegations:</b>	N/A ADVERTISING WAS FILED WITH COMPLIANCE DEPARTMENT. ADVERTISING WAS USED PRIOR TO OBTAINING WRITTEN APPROVAL.
<b>Product Type:</b>	
<b>Other Product Types:</b>	
<b>Broker Statement</b>	N/A Not Provided



## End of Report

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