



IAPD Report

DAVID BALDWIN MESKE

CRD# 4142982

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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

DAVID BALDWIN MESKE (CRD# 4142982)

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 **05/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	12/07/2016
IA	TCP ASSET MANAGEMENT, LLC	CRD# 286037	01/20/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	TRENDENCY CAPITAL MANAGEMENT, LLC	159431	COLUMBUS, OH	03/30/2015 - 01/13/2017
B	SECURITIES AMERICA, INC.	10205	COLUMBUS, OH	01/22/2015 - 10/28/2016
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	COLUMBUS, OH	04/05/2012 - 05/22/2014

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

Employment 1 of 2

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Address: 7333 EAST DOUBLETREE RANCH RD, SUITE 120
SCOTTSDALE, AZ 85258

Firm ID#: 20804

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	12/07/2016
	FINRA	General Securities Representative	Approved	12/07/2016
	FINRA	Invest. Co and Variable Contracts	Approved	12/07/2016
	California	Agent	Approved	07/24/2018
	Florida	Agent	Approved	05/14/2019
	Illinois	Agent	Approved	10/05/2020
	Indiana	Agent	Approved	08/20/2019
	New York	Agent	Approved	05/14/2019
	Ohio	Agent	Approved	12/07/2016
	Oregon	Agent	Approved	08/15/2019
	Pennsylvania	Agent	Approved	12/07/2016
	South Carolina	Agent	Approved	06/18/2018
	Texas	Agent	Approved	07/07/2021



Qualifications

	Regulator	Registration	Status	Date
B	Utah	Agent	Approved	01/21/2021
B	Vermont	Agent	Approved	05/02/2025
B	Washington	Agent	Approved	08/26/2024
B	West Virginia	Agent	Approved	12/07/2016

Branch Office Locations

UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER

481 E. TOWN STREET
COLUMBUS, OH 43215

Employment 2 of 2

Firm Name: **TCP ASSET MANAGEMENT, LLC**
Main Address: 5000 HORIZONS DRIVE
UPPER ARLINGTON, OH 43220
Firm ID#: 286037

	Regulator	Registration	Status	Date
IA	Ohio	Investment Adviser Representative	Approved	01/20/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	07/06/2021

Branch Office Locations

TCP ASSET MANAGEMENT, LLC

481 E TOWN STREET
COLUMBUS, OH 43215



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	General Securities Principal Examination (S24)	Series 24	05/28/2009

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	01/28/2009
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/18/2000

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/17/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	05/01/2000



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
IA	03/30/2015 - 01/13/2017	TRENDENCY CAPITAL MANAGEMENT, LLC	CRD# 159431	COLUMBUS, OH
B	01/22/2015 - 10/28/2016	SECURITIES AMERICA, INC.	CRD# 10205	COLUMBUS, OH
IA	04/05/2012 - 05/22/2014	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	COLUMBUS, OH
B	04/19/2000 - 05/22/2014	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	COLUMBUS, OH
B	04/19/2000 - 06/12/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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
01/2017 - Present	TCP Asset Management, LLC	Investment Advisor Representative	Y	Columbus, OH, United States
12/2016 - Present	United Planners Financial Services of America	Registered Representative	Y	Scottsdale, AZ, United States
03/2015 - Present	Our Lady of Peace Athletic Board	Treasurer/Board Member	N	Columbus, OH, United States
01/2015 - Present	Riley Benefits & Investments Group	n/a	Y	Columbus, OH, United States
01/2015 - Present	TCP Asset Management, LLC	representative	Y	Columbus, OH, United States
01/2015 - Present	TCP Asset Management, LLC	Retirement Plan Services- Wealth Advisor	Y	Columbus, OH, United States
01/2013 - 01/2023	Rotary International- Clintonville, OH	Secretary/ Board member	N	Columbus, OH, United States
01/2015 - 01/2019	Trendency Capital Partners	representative	Y	Columbus, OH, United States
01/2015 - 01/2019	Trendency Capital Partners/ Riley Benefits & Investments	representative	Y	Columbus, OH, United States
04/2015 - 01/2018	Clintonville Community Fund Board	Board Member	N	Columbus, OH, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2015 - 01/2017	TRENDENCY CAPITAL MANAGEMENT LLC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	DUBLIN, OH, United States
01/2015 - 10/2016	SECURITIES AMERICA INC	REGISTERED REPRESENTATIVE	Y	DUBLIN, 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.) OUR LADY OF PEACE ATHLETIC BOARD - TREASURER/BOARD MEMBER - COMMUNITY, CIVIC OR CHARITABLE BOARD MEMBER OR OFFICER - COLUMBUS, OH - SINCE 03/2015 - NOT INVESTMENT RELATED
- 2.) TCP ASSET MANAGEMENT, LLC - RETIREMENT PLAN SERVICES-WEALTH ADVISOR - REGISTERED INVESTMENT ADVISOR - COLUMBUS, OH - SINCE 01/2015 - INVESTMENT RELATED
- 3.) TCP ASSET MANAGEMENT, LLC - RETIREMENT PLAN SERVICES - DBA NAME FOR MARKETING PURPOSES ONLY - COLUMBUS, OH - SINCE 01/2015 - INVESTMENT RELATED
- 4.) RILEY BENEFITS & INVESTMENTS GROUP - RETIREMENT SPECIALIST; DIRECTOR OF FINANCIAL EDUCATION - DBA NAME FOR MARKETING PURPOSES ONLY - COLUMBUS, OH - SINCE 01/2015 - INVESTMENT RELATED
- 5.) THE ELOSH PRESERVATION TRUST OF RICHARD ELOSH AND VICKIE ELOSH - TRUSTEE - ACTING IN A FIDUCIARY CAPACITY (E.G. POA, TRUSTEE, EXECUTOR) - WORTHINGTON, OH - SINCE 05/2022 - INVESTMENT RELATED



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

Reporting Source:	Individual
Firm Name:	Securities America
Termination Type:	
Termination Date:	10/14/2016
Allegations:	There was a mutual misunderstanding between the firm and the individual as to the proper policy and procedure for processing sales of approved Equity Indexed Annuity products.
Product Type:	Other: Equity Index Annuity
Broker Statement	The error occurred as a result of miscommunication with the firm as to the procedure for submitting the forms. The products and all sales material were properly approved. Sales of the product were also disclosed and reviewed in the annual Attestation.



End of Report

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