



IAPD Report

MICHAEL LYNN FORTNER

CRD# 4187792

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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

MICHAEL LYNN FORTNER (CRD# 4187792)

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 **12/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AURORA SECURITIES	CRD# 46147	03/28/2025
IA	SECURE ASSET MANAGEMENT, L.L.C.	CRD# 144046	03/28/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SCF INVESTMENT ADVISORS, INC.	123608	Houston, TX	07/13/2012 - 03/27/2025
B	SCF SECURITIES, INC.	47275	Spring, TX	07/13/2012 - 03/27/2025
B	BROKERSXPRESS LLC	127081	DALTON, GA	05/03/2011 - 07/13/2012

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
Customer Dispute	1



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

SECURE ASSET MANAGEMENT, L.L.C.
Spring, TX



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
	General Securities Principal Examination (S24)	Series 24	11/06/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	07/08/2004
	General Securities Representative Examination (S7)	Series 7	07/10/2000

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/26/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	07/12/2000

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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
IA	07/13/2012 - 03/27/2025	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	Houston, TX
B	07/13/2012 - 03/27/2025	SCF SECURITIES, INC.	CRD# 47275	Spring, TX
B	05/03/2011 - 07/13/2012	BROKERSXPRESS LLC	CRD# 127081	DALTON, GA
IA	05/03/2011 - 07/13/2012	BROKERSXPRESS LLC	CRD# 127081	DALTON, GA
IA	02/04/2004 - 05/13/2011	LPL FINANCIAL LLC	CRD# 6413	DALTON, GA
B	08/18/2003 - 05/13/2011	LPL FINANCIAL LLC	CRD# 6413	DALTON, GA
B	07/11/2000 - 08/19/2003	EDWARD JONES	CRD# 250	ST. LOUIS, MO

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
03/2025 - Present	Aurora Securities Inc.	Registered Representative	Y	Spring, TX, United States
07/2012 - 03/2025	SCF INVESTMENT ADVISORS, INC	INVESTMENT ADVISOR REP	Y	FRESNO, CA, United States
07/2012 - 03/2025	SCF SECURITIES, INC.	REGISTERED REP	Y	FRESNO, 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.

Aurora Securities Inc. - Investment Related - Registered Rep; Start Date March 2025; Secure Asset Management - Investment Related - Investment Advisor Rep Start Date; March 2025; Secure Investors Group - Investment Related - Fixed Insurance; March 2025 Start Date. Each of these activities are conducted in Spring, TX 77839. Michael Fortner Wealth Services - DBA; Owner, Start Date August 2003; Approx. 10 hours Hours/Month during trading hours; Trustee/Executor - Non-Investment Related - 1538 Prestwick Lane, Dunwoody GA 30338 - Trust Related Services -Trustee of Estate While Living & Executor Of Estate Upon Death - 5 Hours Monthly, 1 During Trading Hours - Start 04/2021.



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	1

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	negligence; misrepresentations; omission of facts; and unsuitability.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	\$37,328.83

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #13-03624
Date Notice/Process Served:	12/13/2013
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/16/2015
Disposition Detail:	The Arbitrator has decided in full and final resolution of the issues submitted for determination as follows: Respondent is liable, jointly and severally, and shall pay to Claimant compensatory damages in the sum of \$37,328.83.

Reporting Source:	Firm
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Employing firm when activities occurred which led to the complaint: LPL FINANCIAL, LLC

Allegations: CUSTOMER ALLEGES THAT HE SUFFERED LOSSES AS A RESULT OF POOR INVESTMENT ADVICE.

Product Type: Other: EQUITIES

Alleged Damages: \$49,848.83

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA ARBITRATION

Docket/Case #: NO. 13-03624

Filing date of arbitration/CFTC reparation or civil litigation: 12/13/2013

Customer Complaint Information

Date Complaint Received: 03/03/2014

Complaint Pending? No

Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 12/13/2013

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

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

Docket/Case #: [13-03624](#)

Date Notice/Process Served: 03/03/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 11/16/2015

Monetary Compensation Amount: \$37,328.83

Individual Contribution Amount: \$0.00

Reporting Source: Individual



Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	CUSTOMER ALLEGES THAT HE SUFFERED LOSSES AS A RESULT OF POOR INVESTMENT ADVISE
Product Type:	Other: EQUITIES
Alleged Damages:	\$49,848.83
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	13-03624
Filing date of arbitration/CFTC reparation or civil litigation:	12/13/2013

Customer Complaint Information

Date Complaint Received:	03/03/2014
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	12/13/2013
Settlement Amount:	\$37,328.83
Individual Contribution Amount:	\$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA ARBITRATION
Docket/Case #:	13-03624
Date Notice/Process Served:	03/03/2014
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/16/2015
Monetary Compensation Amount:	\$37,328.83
Individual Contribution Amount:	\$0.00



End of Report

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