



## IAPD Report

# BRIAN JOSEPH MOCK

CRD# 4223858

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

### BRIAN JOSEPH MOCK (CRD# 4223858)

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 **12/04/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	INNOVATION PARTNERS LLC	CRD# 146344	03/25/2014
IA	IP FINANCIAL ADVISORY SERVICES LLC	CRD# 305772	02/05/2020

### 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
IA	INNOVATION PARTNERS LLC	146344	Peoria, AZ	04/30/2014 - 05/05/2021
IA	SCF INVESTMENT ADVISORS, INC.	123608	FRESNO, CA	01/25/2012 - 10/28/2013
B	SCF SECURITIES, INC.	47275	PEORIA, AZ	12/16/2011 - 10/28/2013

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
Termination	1
Judgment/Lien	3





## 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 2

Firm Name: **IP FINANCIAL ADVISORY SERVICES LLC**  
Main Address: 5950 FAIRVIEW ROAD, SUITE 140  
CHARLOTTE, NC 28210  
Firm ID#: 305772

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	02/12/2020
	Indiana	Investment Adviser Representative	Approved	02/05/2020

#### Branch Office Locations

**IP FINANCIAL ADVISORY SERVICES LLC**  
8251 W. Thunderbird Road  
Ste: 140  
Peoria, AZ 85381

#### Employment 2 of 2

Firm Name: **INNOVATION PARTNERS LLC**  
Main Address: 5950 FAIRVIEW ROAD  
SUITE 140  
CHARLOTTE, NC 28210  
Firm ID#: 146344

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	03/25/2014
	Arizona	Agent	Approved	04/30/2014
	Indiana	Agent	Approved	05/08/2014

#### Branch Office Locations

**INNOVATION PARTNERS LLC**



## Qualifications

1300 S. Litchfield Road, Suite 110L  
Goodyear, AZ 85338



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

#### Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/17/2001

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	09/21/2009
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	02/22/2001



### 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	04/30/2014 - 05/05/2021	INNOVATION PARTNERS LLC	CRD# 146344	Peoria, AZ
IA	01/25/2012 - 10/28/2013	SCF INVESTMENT ADVISORS, INC.	CRD# 123608	FRESNO, CA
B	12/16/2011 - 10/28/2013	SCF SECURITIES, INC.	CRD# 47275	PEORIA, AZ
IA	10/23/2009 - 12/22/2011	JONATHAN ROBERTS ADVISORY GROUP, INC.	CRD# 112294	TAMPA, FL
B	10/02/2009 - 12/22/2011	J.W. COLE FINANCIAL, INC.	CRD# 124583	PEORIA, AZ
B	08/05/2003 - 10/05/2009	WORLD GROUP SECURITIES, INC.	CRD# 114473	GLENDALE, AZ
B	04/12/2002 - 03/14/2003	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	05/18/2001 - 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
01/2020 - Present	IP Financial Advisory Services	Investment Advisor Representative	Y	Charlotte, NC, United States
03/2014 - Present	INNOVATION PARTNERS LLC	REGISTERED REPRESENTATIVE AND INVESTMENT ADVISOR REPRESENTATIVE	Y	MATTHEWS, NC, United States
07/2011 - Present	M&A WEALTH MANAGEMENT	AGENT	N	PEORIA, AZ, United States
12/2002 - Present	BCBS	AGENT	N	PHOENIX, AZ, United States
01/1991 - Present	MOCK AND ASSOCIATES	OFFICER/DIRECTOR	N	PEORIA, AZ, United States



## Registration & Employment History



### 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.

MOCK AND ASSOCIATES IS A TAX AND ACCOUNTING FIRM WHERE I PREPARE TAX RETURNS FOR CLIENTS. IT IS NOT INVESTMENT RELATED;

M&A WEALTH MANAGEMENT, LLC - DBA FOR SECURITIES BUSINESS;

Innovation Partners LLC - Registered Representative





## 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
Termination	1
Judgment/Lien	3

### 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:** Individual

**Employing firm when activities occurred which led to the complaint:** WORLD GROUP SECURITIES, INC.

**Allegations:** AN INSURANCE PROVIDER, WRL, NOTIFIED THE FIRM OF A CONSUMER COMPLAINT THAT [CUSTOMER] FILED WITH THE ARIZONA DEPT. OF INSURANCE ON 7/8/2008. THE COMPLAINT STATED THAT IN AUG. 2005, [CUSTOMER] PURCHASED A VUL POLICY THROUGH REPRESENTATIVE MOCK FOR A MONTHLY PREMIUM OF \$300. IN SEPT. 2007, HE ASKED HIS REP TO REDUCE THE MONTHLY PREMIUM TO THE MINIMUM AMOUNT NECESSARY TO KEEP THE INSURANCE COVERAGE IN FORCE. THE PREMIUM WAS CHANGED TO \$100. IN MAY 2008, THE CLIENT RECEIVED A LETTER FROM THE PROVIDER INFORMING HIM THAT HIS POLICY WAS IN DANGER OF LAPSING. HE NO LONGER WISHED TO KEEP THE POLICY AND TOLD HIS REP THAT HE WANTED TO OBTAIN THE MONIES THAT HAD BEEN PLACED INTO THE "RETIREMENT PORTION" OF THE POLICY. THERE WAS NO CASH VALUE TO THE POLICY AS IT HAD BEEN USED TO FUND THE COST OF INSURANCE. [CUSTOMER] STATES THAT HIS REP NEVER EXPLAINED THIS TO HIM, AND THAT HE WOULD NOT HAVE CHANGED HIS MONTHLY PREMIUM HAD THE POLICY BEEN PROPERLY EXPLAINED TO HIM. HE FEELS THE REP MISREPRESENTED THE POLICY TO HIM AND SEEKS THE HELP OF THE AZ DOI TO RECOVER THE \$8200 PAID INTO THE POLICY.

**Product Type:** Insurance

**Alleged Damages:** \$8,200.00



## Customer Complaint Information

**Date Complaint Received:** 07/15/2008

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 09/09/2008

**Settlement Amount:**

**Individual Contribution  
Amount:**

**Broker Statement**

WORLD GROUP SECURITIES DETERMINED THAT AFTER REVIEW OF THE POLICY FILE, DISCUSSIONS WITH REP MOCK AND THE FIRM'S DOUCUMENT RECORDS, THE CUSTOMER WAS GIVEN THE INFORMATION WITH WHICH TO MAKE AN INFORMED PURCHASE DECISION AND SUBSEQUENT DECISION TO REDUCE HIS MONTHLY POLICY PREMIUMS.



## 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:** Firm  
**Firm Name:** SCF SECURITIES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 10/28/2013  
**Allegations:** DURING A ROUTINE BRANCH AUDIT IT WAS DISCOVERED THAT ADVISOR WAS PAYING COMMISSIONS TO A NON-REGISTERED INDIVIDUAL  
**Product Type:** No Product

.....

**Reporting Source:** Individual  
**Firm Name:** SCF SECURITIES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 10/28/2013  
**Allegations:** DURING A ROUTINE BRANCH AUDIT IT WAS DISCOVERED THAT THE ADVISER WAS PAYING COMMISSIONS TO A NON-REGISTERED INDIVIDUAL  
**Product Type:** No Product



## Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

### Disclosure 1 of 3

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$20,926.10
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	08/22/2019
<b>Date Individual Learned:</b>	10/04/2019
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	STATE
<b>Location of Court:</b>	MARICOPA COUNTY, ARIZONA
<b>Docket/Case #:</b>	377338719
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Installment agreement currently being processed.

### Disclosure 2 of 3

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$25,954.00
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	09/29/2016
<b>Date Individual Learned:</b>	09/29/2016
<b>Type of Court:</b>	State Court
<b>Name of Court:</b>	Maricopa County
<b>Location of Court:</b>	Phoenix AZ - Maricopa County
<b>Docket/Case #:</b>	232120416
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	Currently establishing a payment plan (IA) with IRS

### Disclosure 3 of 3

<b>Reporting Source:</b>	Individual
<b>Judgment/Lien Holder:</b>	IRS
<b>Judgment/Lien Amount:</b>	\$8,017.60
<b>Judgment/Lien Type:</b>	Tax
<b>Date Filed with Court:</b>	06/09/2009
<b>Date Individual Learned:</b>	06/09/2009



<b>Type of Court:</b>	COUNTY
<b>Name of Court:</b>	MARICOPA COUNTY
<b>Location of Court:</b>	MARICOPA COUNTY, AZ
<b>Docket/Case #:</b>	555169
<b>Judgment/Lien Outstanding?</b>	Yes
<b>Broker Statement</b>	<p>INSTALLMENT AGREEMENT IN PLACE. MONTHLY PAYMENTS OF \$250.00.</p> <p>AS OF JANUARY 2015 THE MONTHLY PAYMENT ARRANGEMENT WAS INCREASED TO \$300.00. THERE IS A CURRENT BALANCE OF \$2507.00 REMAINING.</p>



## End of Report

This page is intentionally left blank.