



## IAPD Report

# MARY VIRGINIA TROTTER

CRD# 4313625

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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

### MARY VIRGINIA TROTTER (CRD# 4313625)

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 **12/09/2025**.

### CURRENT EMPLOYERS

|           | Firm                             | CRD#        | Registered Since |
|-----------|----------------------------------|-------------|------------------|
| <b>B</b>  | ALLSTATE FINANCIAL SERVICES, LLC | CRD# 18272  | 08/15/2018       |
| <b>IA</b> | ALLSTATE FINANCIAL ADVISORS, LLC | CRD# 109524 | 08/15/2018       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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>IA</b> | MML INVESTORS SERVICES, LLC        | 10409 | TULSA, OK         | 05/03/2018 - 07/18/2018 |
| <b>B</b>  | MML INVESTORS SERVICES, LLC        | 10409 | TULSA, OK         | 04/20/2018 - 07/18/2018 |
| <b>B</b>  | FORESTERS FINANCIAL SERVICES, INC. | 305   | Oklahoma City, OK | 08/03/2016 - 02/12/2018 |

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     |
| Financial        | 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 3 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **ALLSTATE FINANCIAL SERVICES, LLC**  
Main Address: 151 N 8TH STREET, SUITE 450  
LINCOLN, NE 68508-1380  
Firm ID#: 18272

| Regulator         | Registration                           | Status   | Date       |
|-------------------|--|----------|------------|
| <b>B</b> FINRA    | General Securities Principal           | Approved | 08/15/2018 |
| <b>B</b> FINRA    | General Securities Representative      | Approved | 08/15/2018 |
| <b>B</b> FINRA    | Investment Co./Variable Contracts Prin | Approved | 08/15/2018 |
| <b>B</b> FINRA    | Municipal Fund                         | Approved | 08/15/2018 |
| <b>B</b> Alabama  | Agent                                  | Approved | 05/17/2024 |
| <b>B</b> Georgia  | Agent                                  | Approved | 07/02/2025 |
| <b>B</b> Oklahoma | Agent                                  | Approved | 08/15/2018 |

#### Branch Office Locations

502 N 3Notch St  
Troy, AL 36081-2121

#### Employment 2 of 2

Firm Name: **ALLSTATE FINANCIAL ADVISORS, LLC**  
Main Address: 151 N 8TH STREET, SUITE 450  
LINCOLN, NE 68508  
Firm ID#: 109524



## Qualifications

| Regulator   | Registration                      | Status   | Date       |
|-------------|-----------------------------------|----------|------------|
| IA Oklahoma | Investment Adviser Representative | Approved | 08/15/2018 |

### Branch Office Locations

**ALLSTATE FINANCIAL ADVISORS, LLC**

502 N 3Notch St  
Troy, AL 36081-2121



## 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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Municipal Fund Securities Principal Examination (S51)                      | Series 51 | 11/06/2017 |
| General Securities Principal Examination (S24)                             | Series 24 | 01/09/2017 |
| Investment Company Products/Variable Contracts Principal Examination (S26) | Series 26 | 09/17/2016 |

#### General Industry/Product Exams

| Exam   | Category | Date       |
|--|----------|------------|
| Securities Industry Essentials Examination (SIE)                               | SIE      | 10/01/2018 |
| General Securities Representative Examination (S7)                             | Series 7 | 08/02/2016 |
| Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 02/23/2001 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| Uniform Investment Adviser Law Examination (S65)     | Series 65 | 06/15/2017 |
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 08/09/2016 |

### 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 | 05/03/2018 - 07/18/2018 | MML INVESTORS SERVICES, LLC        | CRD# 10409 | TULSA, OK         |
| B  | 04/20/2018 - 07/18/2018 | MML INVESTORS SERVICES, LLC        | CRD# 10409 | TULSA, OK         |
| B  | 08/03/2016 - 02/12/2018 | FORESTERS FINANCIAL SERVICES, INC. | CRD# 305   | Oklahoma City, OK |
| B  | 02/26/2001 - 07/09/2007 | NYLIFE SECURITIES LLC              | CRD# 5167  | TULSA, OK         |

#### 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                |
|-------------------|-----------------------------------|---------------------|--------------------|----------------------------------|
| 08/2018 - Present | Allstate Financial Advisors, LLC  | Representative      | Y                  | Lincoln, NE, United States       |
| 07/2018 - Present | Allstate Financial Services, LLC  | Agent               | Y                  | Lincoln, NE, United States       |
| 07/2018 - Present | Allstate Insurance Co             | Agent               | N                  | Northbrook, IL, United States    |
| 04/2015 - Present | MVTT Enterprizes Inc              | Principal/Owner     | N                  | Tulsa, OK, United States         |
| 01/1971 - Present | Chas D Thomas Trust               | Secretary/Treasurer | N                  | Tulsa, OK, United States         |
| 04/2018 - 07/2018 | MML INVESTORS SERVICES, LLC       | Representative      | Y                  | Tulsa, OK, United States         |
| 03/2018 - 07/2018 | MASSMUTUAL LIFE INSURANCE COMPANY | Representative      | Y                  | Tulsa, OK, United States         |
| 06/2016 - 02/2018 | Foresters Financial               | Branch Manager, VP  | Y                  | Oklahoma City, OK, United States |
| 01/2016 - 06/2016 | Unemployed                        | Unemployed          | N                  | Tulsa, OK, 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.

#### CHAS D THOMAS TRUST

POSITION: Secretary/Treasurer NATURE: Family Trust INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1971  
ADDRESS: PO box 52385, Tulsa OK 74152, United States  
DESCRIPTION: Oversight of accounting & Taxation

#### MARY V THOMAS TROTTER

POSITION: owner NATURE: These are inherited oil and gas royalty revenue and working interests located in OK, LA, NM, TX. The Royalty checks are received and deposited. It is passive income INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 10/31/1981  
ADDRESS: 3914 E 64th Place, Tulsa OK 74136, United States  
DESCRIPTION: maintain current accounting and tax records  
maintain division orders from purchasers  
keep and update property files

#### MVTT ENTERPRIZES INC

POSITION: Principal/Owner NATURE: Renewals Commissions INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 04/01/2015  
ADDRESS: 3914 E 64th PL, Tulsa OK 74136, United States  
DESCRIPTION: None

#### THOMAS LAND CO. INC./FAMILY FARM

POSITION: Secretary-Treasurer NATURE: Family Farming INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/01/1994  
ADDRESS: PO Box 82385, Tulsa OK 74152, United States  
DESCRIPTION: As Secretary-Treasurer I oversee the accounting records & verify tax returns

#### MARY V TROTTER

POSITION: Agent NATURE: Commissions and renewals from life product sales from Everlake INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 05/02/2025  
ADDRESS: 3914 E 64th PL, Tulsa OK 74136, United States  
DESCRIPTION: Acting in the best interest of the customer to perform annual reviews and convert term life insurance should it be the best solution



## 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     |
| Financial        | 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

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Individual   |
| <b>Employing firm when activities occurred which led to the complaint:</b> | NYLIFE SECURITIES INC.   |
| <b>Allegations:</b>  | WITH REGARD TO TWO VARIABLE ANNUITIES PURCHASED IN MARCH 2002, THE CUSTOMER ALLEGES THAT THE PRODUCT WAS NOT IN HER BEST INTEREST AND THAT SHE WAS NOT MADE AWARE OF COMMISSIONS AND FEES. |
| <b>Product Type:</b>   | Annuity(ies) - Variable  |
| <b>Alleged Damages:</b>  | \$84,177.61  |

### Customer Complaint Information

|  |            |
|--|------------|
| <b>Date Complaint Received:</b>        | 07/14/2005 |
| <b>Complaint Pending?</b>              | No         |
| <b>Status:</b>                         | Denied     |
| <b>Status Date:</b>                    | 09/14/2005 |
| <b>Settlement Amount:</b>              |            |
| <b>Individual Contribution Amount:</b> |            |



## Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

### Disclosure 1 of 1

**Reporting Source:** Individual  
**Action Type:** Foreclosure  
**Action Date:** 09/20/2016  
**Organization Name:** NA-personal  
**Individual Position:**  
**Organization Investment-Related?** No  
**Type of Court:** State Court  
**Name of Court:** District Court within and for Tulsa County State of OK  
**Location of Court:** Tulsa County  
**Docket/Case #:** CJ-2010-01636  
**Action Pending?** No  
**Disposition:** Satisfied/Released  
**Disposition Date:** 09/20/2016  
**If a compromise with creditor, provide:**  
**Name of Creditor:** Bank of America  
**Original Amount Owed:** \$247,287.11  
**Terms Reached with Creditor:** Sheriff sale

### Amount Paid:

### SIPA (Securities Investor Protection Act)Trustee:

**Currently Open?** No

### Date Direct Payment Initiated/Filed or Trustee Appointed:

### Broker Statement

Due to medical bills to sustain our son's life we had a financial hardship. Every creditor we had worked with us except our mortgage company. We fought with the BOA for 6 years and finally lost. The sale far exceeding the mortgage owed and settled the debt. This is the only credit issue we have that is negative.



## End of Report

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