



IAPD Report

GARRETT MATTHEW FORD

CRD# 4415739

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

GARRETT MATTHEW FORD (CRD# 4415739)

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 **05/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PRINCIPAL SECURITIES, INC.	CRD# 1137	02/10/2004
B	PRINCIPAL SECURITIES, INC.	CRD# 1137	02/13/2004

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **40** 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	THE ADVISORS GROUP, INC.	14035	BETHESDA, MD	01/14/2003 - 01/15/2004
B	AMERITAS INVESTMENT CORP.	14869	LINCOLN, NE	10/31/2003 - 01/09/2004
B	THE ADVISORS GROUP, INC.	14035	BETHESDA, MD	06/27/2001 - 10/31/2003

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



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

Employment 1 of 1

Firm Name: **PRINCIPAL SECURITIES, INC.**
Main Address: 711 HIGH STREET
DES MOINES, IA 50392
Firm ID#: 1137

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/13/2004
B	Alabama	Agent	Approved	09/16/2022
B	Arizona	Agent	Approved	08/22/2013
B	Arkansas	Agent	Approved	11/22/2021
B	California	Agent	Approved	04/09/2008
B	Colorado	Agent	Approved	04/11/2008
B	Connecticut	Agent	Approved	11/01/2018
B	Delaware	Agent	Approved	04/10/2008
B	District of Columbia	Agent	Approved	02/24/2004
B	Florida	Agent	Approved	05/01/2006
B	Georgia	Agent	Approved	03/06/2007
B	Illinois	Agent	Approved	06/24/2014
B	Indiana	Agent	Approved	12/24/2014



Qualifications

Regulator	Registration	Status	Date
B Iowa	Agent	Approved	02/25/2025
B Louisiana	Agent	Approved	07/27/2016
B Maine	Agent	Approved	10/04/2019
B Maryland	Agent	Approved	02/17/2004
B Massachusetts	Agent	Approved	02/17/2011
B Minnesota	Agent	Approved	05/28/2019
B Mississippi	Agent	Approved	08/15/2024
B Missouri	Agent	Approved	07/03/2024
B Nevada	Agent	Approved	08/14/2018
B New Hampshire	Agent	Approved	08/09/2017
B New Jersey	Agent	Approved	08/14/2024
B New Mexico	Agent	Approved	02/15/2021
B New York	Agent	Approved	03/26/2007
B North Carolina	Agent	Approved	02/19/2004
B Ohio	Agent	Approved	03/21/2024
B Oklahoma	Agent	Approved	05/04/2018
B Oregon	Agent	Approved	03/18/2014
B Pennsylvania	Agent	Approved	05/17/2010
B Rhode Island	Agent	Approved	08/29/2006



Qualifications

Regulator	Registration	Status	Date
B South Carolina	Agent	Approved	09/05/2007
B Tennessee	Agent	Approved	02/04/2026
B Texas	Agent	Approved	01/07/2015
IA Texas	Investment Adviser Representative	Restricted Approval	03/08/2021
B Utah	Agent	Approved	02/27/2015
B Vermont	Agent	Approved	06/02/2025
B Virginia	Agent	Approved	02/18/2004
IA Virginia	Investment Adviser Representative	Approved	10/17/2019
B Washington	Agent	Approved	01/06/2015
B West Virginia	Agent	Approved	07/24/2008
B Wisconsin	Agent	Approved	03/13/2015

Branch Office Locations

PRINCIPAL SECURITIES, INC.
100 N PITT ST STE 400
ALEXANDRIA, VA 22314



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 2 state securities law exams.

Principal/Supervisory Exams

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

No information reported.

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	07/08/2003
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/26/2001

State Securities Law Exams

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

IA Uniform Investment Adviser Law Examination (S65)	Series 65	10/31/2002
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/28/2001

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	01/14/2003 - 01/15/2004	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD
B	10/31/2003 - 01/09/2004	AMERITAS INVESTMENT CORP.	CRD# 14869	LINCOLN, NE
B	06/27/2001 - 10/31/2003	THE ADVISORS GROUP, INC.	CRD# 14035	BETHESDA, MD

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
10/2018 - Present	Ford & Associates Wealth Management LLC	Financial Representative	Y	Bethesda, MD, United States
03/2016 - Present	PRINCIPAL SECURITIES INC	REGISTERED REP	Y	ALEXANDRIA, VA, United States
02/2004 - Present	PRINCIPAL LIFE INSURANCE	AGENT	Y	BETHESDA, MD, 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.

*OUTSIDE INSURANCE, FIXED ANNUITIES,06/30/11.

*FIXED INSURANCE; GROUP BENEFITS; 04/21/2016

*Fixed Insurance, Group life, DI, vision, dental, 12/27/16.

**FORD & ASSOCIATES WEALTH MANAGEMENT LLC (DBA)

POSITION: Ford & Associates Wealth Management LLC NATURE: null INVESTMENT RELATED: Yes NUMBER OF HOURS: 2

SECURITIES TRADING HOURS: 2 START DATE: 01/08/2025

ADDRESS: 100 N. Pitt St., Suite 400, Alexandria VA 22314, United States

DESCRIPTION: Added LLC to formalize the partnership between myself and Peter Webster. DBA name would need to be updated as well to reflect LLC. LLC is also to manage business expenses.



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

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: PRINCOR FINANCIAL SERVICES CORPORATION

Allegations: CLIENT ALLEGES UNAUTHORIZED TRADES IN BROKERAGE ACCOUNT. TRADES OCCURED BETWEEN 8/6 - 8/27/2008. CONFIRMATION OF TRADES AND ACCOUNT STATEMENTS WERE RECEIVED BY THE CLIENT DURING TRANSACTION PERIOD.

Product Type: Mutual Fund(s)

Alleged Damages: \$41,963.31

Customer Complaint Information

Date Complaint Received: 11/21/2008

Complaint Pending? No

Status: Denied

Status Date: 12/10/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement PRINCOR REVIEWED THE INCIDENT AND FILED AND DENIED THE COMPLAINT. THE CLIENT ACKNOWLEDGED RECEIPT OF TRADE CONFIRMATIONS WHICH HE RECEIVED OVER A 4 WEEK PERIOD. THE



CLIENT REQUESTED A CONTINUED RELATIONSHIP AFTER THE ALLEGED INCIDENT.



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: AMERITAS INVESTMENT CORP.
Termination Type: Permitted to Resign
Termination Date: 01/09/2004
Allegations: FIRM RECEIVED SIGNED PAGE OF AN ILLUSTRATION FOR A VARIABLE UNIVERSAL LIFE PRODUCT FROM A RESIDENT OF UTAH, WHERE THE RR WAS NOT REGISTERED TO ENGAGE IN SECURITIES AND INSURANCE BUSINESS.
Product Type: Insurance
Other Product Types: VARIABLE UNIVERSAL LIFE INSURANCE

Reporting Source: Firm
Firm Name: AMERITAS INVESTMENT CORP
Termination Type: Permitted to Resign
Termination Date: 01/09/2004
Allegations: FIRM RECEIVED SIGNED PAGE OF AN ILLUSTRATION FOR A VARIABLE UNIVERSAL LIFE PRODUCT FROM A RESIDENT OF STATE (UTAH) WHERE RR IS NOT REGISTERED TO ENGAGE IN SECURITIES AND INSURANCE BUSINESS.
Product Type: Insurance
Other Product Types: VARIABLE UNIVERSAL LIFE INSURANCE

Reporting Source: Individual
Firm Name: AMERITAS INVESTMENT CORP
Termination Type: Permitted to Resign
Termination Date: 01/06/2004
Allegations: FIRM RECEIVED SIGNED PAGE OF AN ILLUSTRATION FOR A VARIABLE UNIVERSAL LIFE PRODUCT FROM A RESIDENT OF UTAH WHERE THE RR WAS NOT REGISTERED TO ENGAGE IN SECURITIES AND INSURANCE BUSINESS.
Product Type: Other
Other Product Types: VARIABLE UNIVERSAL LIFE
Broker Statement MY CLIENT, DAVID HILDEBRANDT, A MARYLAND RESIDENT, ASKED ME TO GATHER SOME INFORMATION AND AN ILLUSTRATION ON LIFE INSURANCE FOR HIS SON. I GAVE MY CLIENT THIS INFORMATION. WITHOUT MY KNOWLEDGE, THE CLIENT HAD HIS SON SIGN THE ILLUSTRATION. MY



CLIENT THEN FAXED IT BACK TO MY OFFICE. TO THE BEST OF MY KNOWLEDGE, I DID NOT SOLICIT BUSINESS OUTSIDE OF THE STATE OF MD.



End of Report

This page is intentionally left blank.