



IAPD Report

ERIC JAMES BLUDAU

CRD# 4570957

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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

ERIC JAMES BLUDAU (CRD# 4570957)

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 **04/10/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	AE WEALTH MANAGEMENT, LLC	CRD# 282580	01/25/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	ISC ADVISORS, INC.	166586	HALLETTSVILLE, TX	06/19/2013 - 05/30/2017
B	INSTITUTIONAL SECURITIES CORPORATION 20291		HALLETTSVILLE, TX	01/29/2013 - 05/30/2017
IA	INSTITUTIONAL SECURITIES CORPORATION 20291		HALLETTSVILLE, TX	04/23/2013 - 12/31/2013

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
Regulatory Event	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AE WEALTH MANAGEMENT, LLC**
Main Address: 2950 SW MCCLURE ROAD
SUITE B
TOPEKA, KS 66614
Firm ID#: 282580

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	01/25/2024

Branch Office Locations

AE WEALTH MANAGEMENT, LLC
106 N LaGrange St
Hallettsville, TX 77964

AE WEALTH MANAGEMENT, LLC
17080 Highway 46 W
Ste 108F
Spring Branch, TX 78070

AE WEALTH MANAGEMENT, LLC
5606 N Navarro
Ste 306 F & D
Victoria, TX 77904



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
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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Securities Industry Essentials Examination (SIE)	SIE	05/30/2017
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/08/2002

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	11/29/2023
Uniform Securities Agent State Law Examination (S63)	Series 63	08/09/2002

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	06/19/2013 - 05/30/2017	ISC ADVISORS, INC.	CRD# 166586	HALLETTSVILLE, TX
B	01/29/2013 - 05/30/2017	INSTITUTIONAL SECURITIES CORPORATION	CRD# 20291	HALLETTSVILLE, TX
IA	04/23/2013 - 12/31/2013	INSTITUTIONAL SECURITIES CORPORATION	CRD# 20291	HALLETTSVILLE, TX
IA	06/06/2005 - 10/26/2011	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	HALLETTSVILLE, TX
B	08/09/2002 - 07/21/2011	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	HALLETTSVILLE, TX

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
04/2026 - Present	Garrett and Linda Anders Life Insurance Trust	Trustee	N	Weimar, TX, United States
02/2026 - Present	TEAM Wealth Management LLC	Owner/President	Y	Hallettsville, TX, United States
10/2025 - Present	Lazy B Cattle Company	Member	Y	Hallettsville, TX, United States
10/2025 - Present	Lazy B Ranches	Member	Y	Hallettsville, TX, United States
01/2024 - Present	AE Wealth Management, LLC	Investment Adviser Representative	Y	Topeka, KS, United States
12/2015 - Present	Bludau Ranches LP	Partner	Y	Hallettsville, TX, United States
10/2009 - Present	Team Retirement Solutions LLC	Partner/managing member	Y	Hallettsville, TX, United States
04/2013 - 05/2017	Institutional Securities Corp	Registered Representative	Y	Dallas, TX, 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.

- 1) TEAM Retirement Solutions LLC; Yes Investment Related; 106 North LaGrange St, Hallettsville, TX 77964; Insurance Sales; POSITION Managing Partner; START DATE: 10/2009; Approx. 160 hours a month; Approx. 130 hours during trading; Insurance Sales and Services.
- 2) Bludau Ranches LP, Not Investment Related; 1278 CR 187, Hallettsville, TX 77964, Partner/Ranch Hand, POSITION: Part Owner; Start Date: 12/2015; Approx. 4 hours a month; Approx. 0 hours during trading; Maintain the ranch.
- 3) Eric Bludau; Not Investment Related; 106 N LaGrange St, Hallettsville, TX 77964; Commercial Rental Property; POSITION: Property Owner; Start Date: 01/2019; Approx. 1 hour a month; Approx. 0 hours during trading; Maintain office building and collect rent.
- 4) Estate planning document services, 51 W. 3rd St #110, Temple AZ 85281, United States , Investment Related: No, Position: Facilitator, Duties: Introduce, coordinate, and provide access to platform for clients to prepare estate planning documents, Start Date: 09/2025, Approx hours per month: 01, Hours during trading: 01.
- 5) Lazy B Cattle Company; Not Investment Related; 1278 CR 187, Hallettsville TX 77964; Cattle Ranch; Member; Start Date: 10/2025; Approx. 0 hours a month; Approx. 0 hours during trading; I will have no involvement unless something happens to my father. In the event of a health condition, accident or death, he would like for me to pay and outstanding bills associated with the LLC.
- 6) Lazy B Ranches; Not Investment Related; 1278 CR 197, Hallettsville TX 77964; Cattle Ranch; Member; Start Date: 10/2025; Approx. 0 hours a month; Approx. 0 hours during trading; I will have no involvement unless something happens to my father. In the event of a health condition, accident or death, he would like for me to pay and outstanding bills associated with the LLC.
- 7) Braden Bludau 2025 Trust; Investment Related: No; 1218 County Road 187, Hallettsville TX 77964; My Father is creating a Trust for each of his grandsons to gift funds as well as be the beneficiary on their life insurance policies; Trustee; Start Date 01/2026; Approx hours per month: 0; Approx hours during trading: 0; My parents are the settlers of the Trust and I will be the Trustee. As Trustee, I will hold properties in trust for the sole benefit of my son, Braden Bludau and administer/manage the Trust as directed.
- 8) Brock Bludau 2025 Trust; Investment Related: No; 1218 County Road 187, Hallettsville TX 77964 ; My Father is creating a Trust for each of his grandsons to gift funds as well as be the beneficiary on their life insurance policies.; Trustee; Start Date 01/2026; Approx hours per month: 0; Approx hours during trading: 0; My parents are the settlers of the Trust and I will be the Trustee. As Trustee, I will hold properties in trust for the sole benefit of my son, Brock Bludau, and administer/manage the Trust as directed.
- 9) TEAM Wealth Management, LLC; Investment Related: Yes; 106 N. LaGrange Street, Hallettsville TX 77964; Investment advisory accounts to clients; Owner/President; Start Date 02/2026; Approx hours per month: 160; Approx hours during trading: 100; Sole owner and president.
- 10) Garrett and Linda Anders Life Insurance Trust; Not Investment Related; 13307 Seydler Road, Weimar TX 78962; Trust; Trustee; Start Date: 04/2026; Approx hours per month: 0; Approx hours during trading: 0; I am the nephew of the Grantors and Insureds. My duties would be to facilitate the claims process at death for the benefit of the Trust. I would then distribute assets of the trust as directed.



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
Regulatory Event	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 08/24/2012

Docket/Case Number: [2010023612308](#)

Employing firm when activity occurred which led to the regulatory action: PLANMEMBER SECURITIES, INC.

Product Type: Other: LIFE SETTLEMENT POLICIES

Allegations: FINRA RULE 2010, NASD RULES 2110, 3040 - ERIC BLUDEAU ENTERED INTO AN AGREEMENT TO SELL LIFE SETTLEMENT POLICIES AND TO RECEIVE COMPENSATION, WITHOUT PROVIDING NOTICE TO, OR REQUESTING PERMISSION FROM, HIS MEMBER FIRM. BLUDEAU DID NOT SELL THE PRODUCTS OR DISTRIBUTE LITERATURE TO HIS CLIENTS BUT HE DID REFER ONE CLIENT TO ANOTHER AGENT. IN EXCHANGE FOR ANY REFERRALS AND BASED UPON A STANDING AGREEMENT HE HAD IN PLACE WITH OTHER AGENTS, BLUDEAU EXPECTED TO RECEIVED COMPENSATION IN THE FORM OF REFERRAL FEES. BLUDEAU RECEIVED A TOTAL OF \$5,537 IN REFERRAL FEES FROM THE SALE OF AT LEAST \$226,279 IN LIFE SETTLEMENT PRODUCTS. A STATE FILED SUIT AGAINST THE COMPANY SELLING THE LIFE SETTLEMENT PRODUCTS CHARGING THAT THE NOTE AGREEMENTS WERE FRAUDULENT SECURITIES DISTRIBUTED THROUGH FALSE AND MISLEADING SALE PRACTICES. THE STATE RECEIVED AN IMMEDIATE INJUNCTION AND PLACED ALL REMAINING COMPANY ASSETS INTO RECEIVERSHIP.



Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	08/24/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ANY CAPACITY
Duration: 30 DAYS
Start Date: 09/04/2012
End Date: 10/03/2012

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$10,000.00
Portion Levied against individual: \$10,000.00
Payment Plan:
Is Payment Plan Current: Yes
Date Paid by individual: 12/20/2012
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, BLUDEAU CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$10,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 30 DAYS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM SEPTEMBER 4, 2012 THROUGH OCTOBER 3, 2012. FINE PAID IN FULL ON 12/20/12.

Reporting Source: Firm



Regulatory Action Initiated By:	FINANCIAL INDUSTRY REGULATORY AUTHORITY
Sanction(s) Sought:	Other: N/A
Date Initiated:	08/24/2012
Docket/Case Number:	2010023612308
Employing firm when activity occurred which led to the regulatory action:	PLANMEMBER SECURITIES CORPORATION
Product Type:	Other: LIFE SETTLEMENT POLICIES
Allegations:	FINRA RULE 2010, NASD RULES 2110, 3040, - ERIC BLUDAU ENTERED INTO AN AGREEMENT TO SELL LIFE SETTLEMENT POLICIES AND TO RECEIVE COMPENSATION, WITHOUT PROVIDING NOTICE TO, OR REQUESTING PERMISSION FROM,HIS MEMBER FIRM. BLUDAU DID NOT SELL THE PRODUCTS OR DISTRIBUTE LITERATURE TO HIS CLIENTS BUT HE DID REFER ONE CLIENT TO ANOTHER AGENT. IN EXCHANGE FOR ANY REFERRALS AND BASED UPON A STANDING AGREEMENT HE HAD IN PLACE WITH OTHER AGENTS, BLUDAU EXPECTED TO RECEIVED COMPENSATION IN THE FORM OF REFERRAL FEES. BLUDAU RECEIVED A TOTAL OF \$5,537 IN REFERRAL FEES FROM THE SALE OF AT LEAST \$226,279 IN LIFE SETTLEMENT PRODUCTS. A STATE FILE SUIT AGAINST THE COMPANY SELLING THE LIFE SETTLEMENT PRODUCTS CHARGING THAT THE NOTE AGREEMENTS WERE FRAUDULENT SECURITIES DISTRIBUTED THROUGH FALSE AND MISLEADING SALE PRACTICES. THE STATE RECEIVED AN IMMEDIATE INJUNCTION AND PLACED ALL REMAINING COMPANY ASSETS INTO RECEIVERSHIP.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/24/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	30 DAYS
Start Date:	09/04/2012



End Date: 10/03/2012

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$10,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 06/17/2011

Docket/Case Number: [2010023612308](#)

Employing firm when activity occurred which led to the regulatory action: PLAN MEMBER SECURITIES CORPORATION

Product Type: Other: PRIVATE SECURITIES TRANSACTIONS

Allegations: POTENTIAL VIOLATION SOF NASD RULE 3040 AND NAS RULE 2210/FINRA RULE 2010

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 08/24/2012

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ANY CAPACITY

Duration: 30 DAYS



Start Date:	09/04/2012
End Date:	10/03/2012
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$10,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	12/17/2012
Was any portion of penalty waived?	No
Amount Waived:	



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: PLANMEMBER SECURITIES CORPORATION
Termination Type: Permitted to Resign
Termination Date: 07/20/2011
Allegations: POTENTIAL VIOLATIONS OF FINRA RULE 3040, AND SEVERAL OTHER FINRA RULES RELATING TO THE SALE OF SECURITIES
Product Type: Other: NATIONAL LIFE SETTLEMENT PRODUCT(S)

Reporting Source: Individual
Firm Name: PLAN MEMBER SECURITIES CORPORATION
Termination Type: Permitted to Resign
Termination Date: 07/20/2011
Allegations: POTENTIAL VIOLATIONS OF FINRA RULE 3040 AND SEVERAL OTHER FINRA RULES RELATING TO THE SELL OF SECURITIES
Product Type: Other: PRIVATE SECURITIES TRANSACTIONS



End of Report

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