IAPD Report

BRYAN ALAN HUMMEL

CRD# 4603340

Section Title	**Page(s)**

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

BRYAN ALAN HUMMEL (CRD# 4603340)

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 **11/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	05/03/2012
IA	PLANMEMBER SECURITIES CORPORATION	CRD# 11869	05/04/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	SECURITIES AMERICA ADVISORS, INC.	110518	LAVISTA, NE	01/23/2009 - 04/30/2012
B	SECURITIES AMERICA, INC.	10205	AKRON, OH	01/23/2009 - 04/30/2012
IA	BRECEK & YOUNG ADVISORS, INC.	40395	AKRON, OH	11/13/2007 - 01/23/2009

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
Criminal	1
Customer Dispute	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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PLANMEMBER SECURITIES CORPORATION**

Main Address: 6187 CARPINTERIA AVENUE
CARPINTERIA, CA 93013

Firm ID#: 11869

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/03/2012
B	FINRA	General Securities Representative	Approved	05/05/2014
B	California	Agent	Approved	01/12/2021
B	Florida	Agent	Approved	04/29/2021
B	Georgia	Agent	Approved	12/13/2024
B	New Mexico	Agent	Approved	01/27/2023
B	North Carolina	Agent	Approved	12/13/2024
B	Ohio	Agent	Approved	05/04/2012
IA	Ohio	Investment Adviser Representative	Approved	05/04/2012
B	South Carolina	Agent	Approved	12/16/2024

Branch Office Locations

PLANMEMBER SECURITIES CORPORATION
1270 S. Cleveland Massillon Rd., Bldg A, Suite 102
Copley, OH 44321

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	05/05/2014
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/21/2005

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/07/2019
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/28/2007

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	01/23/2009 - 04/30/2012	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	LAVISTA, NE
B	01/23/2009 - 04/30/2012	SECURITIES AMERICA, INC.	CRD# 10205	AKRON, OH
IA	11/13/2007 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	AKRON, OH
B	03/24/2005 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	AKRON, OH

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
05/2012 - Present	PLANMEMBER SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	CARPINTERIA, CA, United States
06/2001 - Present	D&E FINANCIAL SERVICES, INC.	OFFICE ASSISTANT	Y	AKRON, OH, 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.

"1)D & E FINANCIAL SERVICES-1270 S. Cleveland-Massillon Rd. Building A, Suit 102, Copley, Ohio 44321; INSURANCE & FINANCIAL SVCS; AGENT/REP; START DATE 6/01; 160 HRS/MNTH & DURING TRADING; IR.

2.)BRYAN A. HUMMEL DBA PC SOLUTIONS- 2457 NORTON RD HUDSON, OH; PC REPAIR, SOFTWARE SETUP & NETWORKING; OWNER/SOLE PROPRIETOR; START DATE 8/04; 40 HRS/ MNTH & DURING TRADING; NIR.Â "

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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	COUNTY MUNICIPAL COURT
Name of Court:	PORTAGE COUNTY MUNICIPAL COURT
Location of Court:	KENT, OH
Docket/Case #:	K2000CRB00645
Charge Date:	03/17/2000
Charge(s) 1 of 1	
Formal Charge(s)/Description:	THEFT
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	GUILTY PLEA TO THEFT CHARGE WAS VACATED DUE TO CLERICAL ERROR. PLED GUILTY TO A CORRECTED CHARGE OF DISORDERLY CONDUCT.
Date of Amended Charge:	10/04/2004
Charge was Amended or reduced to:	DISORDERLY CONDUCT-MINOR MISDEMEANOR (NON-REPORTABLE INCIDENT)
Amended No of Counts:	1
Amended Charge:	MINOR MISDEMEANOR
Amended Plea:	GUILTY

Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	10/04/2004
Disposition Date:	05/23/2000
Sentence/Penalty:	ON 10/4/04 THE GUILTY PLEA OF THEFT WAS VACATED DUE TO A CLERICAL ERROR. MR. HUMMEL PLED GUILTY TO A CORRECTED CHARGE OF DISORDERLY CONDUCT, A MINOR MISDEMEANOR AND A NON-REPORTABLE EVENT.
Broker Statement	ON 10/4/04 THE GUILTY PLEA OF THEFT WAS VACATED DUE TO A CLERICAL ERROR. MR. HUMMEL PLED GUILTY TO A CORRECTED CHARGE OF DISORDERLY CONDUCT, A MINOR MISDEMEANOR AND A NON-REPORTABLE EVENT. WE ARE AMENDING THIS DRP TO REFLECT THE CHANGE IN THE CORRECTED CHARGE ON 10/04/04 - THEFT CHARGE WAS CHANGED TO A CHARGE OF DISORDERLY CONDUCT. MR. HUMMEL HAD ORIGINALLY PLED GUILY TO A THEFT CHARGE, SO THEREFORE THE DISCLOSURE QUESTION 14B.(1)(A)REMAINED A "YES". HOWEVER 14B.(1)(B) WAS AMENDED TO REFLECT THE FACT THAT MR. HUMMEL WAS NOT CHARGED WITH THEFT, BUT OF DISORDERLY CONDUCT, NOT A REPORTABLE OFFENSE AS LISTED IN 14B.(1)(A).

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:	PLANMEMBER SECURITIES CORPORATION
Allegations:	Client alleges that the representative provided poor service and poor returns. Client also alleges that the representative interfered with her ability to increase her risk level.
Product Type:	Mutual Fund
Alleged Damages:	$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	03/17/2023
Complaint Pending?	No
Status:	Denied
Status Date:	04/14/2023
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	After review, during the relationship with the registered representative (2012 to 2023), the client did have several conversations about raising the risk level of her portfolio. In each case, where the representative did caution her against doing so, the client consented to remaining conservative. In 2014, the representative followed up with the client to inquire about raising their risk profile and the client raised it a single level (from the lowest to the second lowest). Throughout the relationship the client had many conversations about performance but, when the representative explained that lower performance was consistent with lower risk, did not require that they raise her risk profile. At no time, did the representative prohibit the client from raising their risk level. The client's service complaints appeared to surround a failure by the representative to respond in the early part of this year. This followed conversations where the representative made the client aware that they could not continue to assist them as they were no longer a resident of the United States and the representative was prohibited from functioning as a representative for residents of foreign countries. The client themselves acknowledged that the change in service level was unusual by noting that they wanted the representative to contact

them ASAP as they usually did.

Ms. [REDACTED] claims were not specific nor supported by documentation or correspondence. Additionally, Ms. [REDACTED] was requesting $100,000 against an account valued at approximately $22,000 without any evidence of harm other than a non-specific claim of missed opportunity that was not supported by available documentation. The complaint was denied, and no monetary settlement was offered.

End of Report

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