



IAPD Report

CLYDE WARREN FORD

CRD# 4700006

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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

CLYDE WARREN FORD (CRD# 4700006)

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 **12/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	FOUNDERS FINANCIAL SECURITIES LLC	CRD# 137945	10/11/2019
IA	FOUNDERS FINANCIAL SECURITIES, LLC	CRD# 137945	10/11/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	KESTRA ADVISORY SERVICES, LLC	283330	FRESNO, CA	04/18/2016 - 10/14/2019
B	KESTRA INVESTMENT SERVICES, LLC	42046	FRESNO, CA	09/12/2014 - 10/14/2019
IA	NFP ADVISOR SERVICES, LLC	42046	FRESNO, CA	09/15/2014 - 09/22/2016

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

Employment 1 of 1

Firm Name: **FOUNDERS FINANCIAL SECURITIES, LLC**
Main Address: 1026 CROMWELL BRIDGE ROAD
SUITE 100
TOWSON, MD 21286
Firm ID#: 137945

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	10/11/2019
B	California	Agent	Approved	10/11/2019
IA	California	Investment Adviser Representative	Approved	10/11/2019
B	Illinois	Agent	Approved	12/01/2021
B	Louisiana	Agent	Approved	10/11/2019
IA	Louisiana	Investment Adviser Representative	Approved	10/14/2019
B	Ohio	Agent	Approved	03/18/2024
B	Oregon	Agent	Approved	11/19/2021
B	Tennessee	Agent	Approved	01/08/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2022
B	Utah	Agent	Approved	10/11/2019
B	Washington	Agent	Approved	10/11/2019



Qualifications

Branch Office Locations

FOUNDERS FINANCIAL SECURITIES, LLC

8525 N. Cedar Avenue
Suite 107
Fresno, CA 93720



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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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	12/13/2003
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	11/07/2005
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B Uniform Securities Agent State Law Examination (S63)	Series 63	12/15/2003
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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	04/18/2016 - 10/14/2019	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	FRESNO, CA
B	09/12/2014 - 10/14/2019	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	FRESNO, CA
IA	09/15/2014 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	FRESNO, CA
B	08/10/2009 - 09/11/2014	FINANCIAL TELESIS INC	CRD# 31012	FRESNO, CA
IA	08/10/2009 - 09/11/2014	FINANCIAL TELESIS, INC.	CRD# 31012	FRESNO, CA
IA	12/20/2005 - 08/21/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	FRESNO, CA
B	12/15/2003 - 08/21/2009	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	FRESNO, CA

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
10/2019 - Present	Founders Financial Securities	Investment Advisor Representative	Y	TOWSON, MD, United States
03/2011 - Present	CAL PAC ADVISORS, INC.	PRESIDENT	Y	FRESNO, CA, United States
05/2005 - Present	FORT WASHINGTON FINANCIAL	OWNER	Y	FRESNO, CA, United States
04/2016 - 10/2019	KESTRA FINANCIAL SERVICES, INC	REGISTERED REP	Y	Austin, TX, 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.) California State University Fresno Alumni Association; Non Investment Related; 2625 Matoian Way Fresno CA 93740; Past



Registration & Employment History



OTHER BUSINESS ACTIVITIES

president and board member; Start Date: 7/1/2004; 16 Hrs per month; 14 Hours during trading; Policy making and general oversight 2.) Fort Washington Financial & Insurance Services, Inc.; Investment Related; 8525 N. Cedar Ave. Suite 107 Fresno CA 93720; Investment Advisory and Insurance Services DBA Name; President; Start Date: 5/27/2005; 160 Hrs per month; 140 Hrs during trading; General management and oversight 3.) Triton Corporate Services, Inc.; Investment Related; 8525 N. Cedar Ave. Suite 107 Fresno CA 93720; Start Date: 03/01/2010; Consulting Position; 16 Hrs per month; 14 Hrs during trading; Management 4.) Triton PEO, Inc; Investment Related; 8525 N. Cedar Ave. Suite 107 Fresno CA 93720; Start Date: 03/01/2012; Consulting Position; 16 Hrs per month; 14 Hrs. during trading; Retirement plan consulting and general oversight 5.) America Strong (f.k.a. Triton Flight for Heroes) Non-Investment Related; 8525 N. Cedar Ave. Suite 107 Fresno CA 93720; Board Member; Start Date: 5/13/2013; 3 Hrs. per month; 0 Hrs. during trading; general support 6.) Voyager Corporate Services; Investment Related; 8525 N. Cedar Suite 107 Fresno CA 93720; Triton Corporate Services - Voyager is a wholly owned subsidiary; Start Date: 4/30/2014; 16 Hrs. per month; 14 Hrs. during trading; Voyager is a wholly owned subsidiary of Triton Corporate Services Inc for which I am an officer 7.) Marque Capital Management, Inc.; Investment Related: 10/17/2022; 8525 N. Cedar Ave. Fresno CA 93720; Investment Advisory and Insurance Services; President; 16 Hrs. per month: 14 Hrs. during trading; General management and oversight



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: Kestra Investment Services, LLC

Allegations: ALLEGATION/SUIT SUMMARY:
 It is alleged that in approximately 8/2014, Mr. Ford recommended Plaintiff move \$461 ,000.00 from his retirement account to invest in Defendant Panthera. Plaintiff alleges that Mr. Ford never disclosed that he had any present or future ownership or financial interest in Panthera. Plaintiff alleges he demanded information about the Panthera investment and return of his investment funds from Defendants on several occasions over the last couple of years. Plaintiff alleges that Defendants assured Plaintiff they would liquidate his investment and return his funds. But the liquidations did not occur. Plaintiff alleges Defendants are liable for, among others, fraud and deceit, conversion, negligent misrepresentation, negligence, breach of fiduciary duties. On 9/30/2019, Plaintiff and Defendants entered into a written Settlement and Mutual Release Agreement. Under the terms of the Settlement Agreement, Plaintiff was to receive the amount of \$632,660.81 in six monthly installments of \$105,443.47. Defendants have failed and refused to make any payment under the Settlement Agreement and are therefore in default.

Product Type: Other: Private Securities Transaction

Alleged Damages: \$410,000.00

Civil Litigation Information

Type of Court: State Court

Name of Court: Superior Court of the State of California, Fresno County



Location of Court:	Fresno County, California
Docket/Case #:	19CECG03981
Date Notice/Process Served:	11/01/2019
Litigation Pending?	No
Disposition:	Monetary Judgment to Customer
Disposition Date:	10/08/2020
Monetary Compensation Amount:	\$410,000.00
Individual Contribution Amount:	\$0.00

Broker Statement

MR. FORD RESPONSE:

While I accept that I am a named party, since inception of this lawsuit I have not been a participating party to the matter. Both parties, [REDACTED] and Panthera, agree that I am not a participant. This is evidenced by the fact that I have contributed zero dollars (\$0) to the settlement of the matter. I have been told that Panthera has repaid [REDACTED] over \$200,000 to date. Further, Panthera has indemnified me from all of their actions regarding this matter (attached). It is my belief that, because I have no monetary commitment in this matter, the Plaintiff attorney failed to communicate the October 2020 settlement. It was not until Founders Financial Securities Compliance Department contacted me that I was made aware of this judgement. This is evidenced by the attached communication I received from the Plaintiff attorney. You will note it was sent subsequent to the FINRA notification.

Please see the attached letter (forwarded under separate cover to DisclosureReviewDocuments@FINRA.org on 1/5/2021).



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: Kestra Investment Services

Termination Type: Discharged

Termination Date: 09/05/2019

Allegations: Mr. Ford failed to notify the firm of outside business activities in violation of firm policies. In addition, Mr. Ford referred at least two customers to an individual and company promoting an investment not approved on the firm's platform.

Product Type: Other: Private Securities Transaction

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Reporting Source: Individual

Firm Name: Kestra Investment Services

Termination Type: Discharged

Termination Date: 09/05/2019

Allegations: Kestra has alleged that I failed to notify the firm of outside business activities in violation of firm policies, and that I referred at least two customers to an individual and company promoting an investment not approved on the firm's platform.

Product Type: Other: Private Securities Transaction

Broker Statement Two clients inquired about investing in non-market correlated products. I verbally provided the name of several individuals in those markets. The request did not involve investment-related products as defined by 14J(1).



End of Report

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