



## IAPD Report

# MATTHEW WADE SHIPMAN

CRD# 4763973

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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

### MATTHEW WADE SHIPMAN (CRD# 4763973)

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 **04/22/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	02/25/2013
<b>IA</b>	PARK AVENUE SECURITIES LLC	CRD# 46173	03/18/2013

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	LA JOLLA, CA	11/22/2006 - 02/15/2013
<b>B</b>	MML INVESTORS SERVICES, LLC	10409	LA JOLLA, CA	07/10/2004 - 02/15/2013

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
Criminal	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 **53** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **PARK AVENUE SECURITIES LLC**  
Main Address: 10 HUDSON YARDS  
NEW YORK, NY 10001  
Firm ID#: 46173

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	02/25/2013
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	02/25/2013
<b>B</b>	FINRA	General Securities Principal	Approved	01/14/2014
<b>B</b>	Alabama	Agent	Approved	06/05/2018
<b>B</b>	Alaska	Agent	Approved	06/04/2018
<b>IA</b>	Alaska	Investment Adviser Representative	Approved	04/28/2026
<b>B</b>	Arizona	Agent	Approved	03/06/2018
<b>IA</b>	Arizona	Investment Adviser Representative	Approved	03/06/2018
<b>B</b>	Arkansas	Agent	Approved	09/24/2018
<b>B</b>	California	Agent	Approved	02/25/2013
<b>IA</b>	California	Investment Adviser Representative	Approved	03/18/2013
<b>B</b>	Colorado	Agent	Approved	02/27/2017
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	02/27/2017



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Connecticut	Agent	Approved	02/14/2018
<b>IA</b> Connecticut	Investment Adviser Representative	Approved	02/14/2018
<b>B</b> Delaware	Agent	Approved	06/25/2018
<b>IA</b> Delaware	Investment Adviser Representative	Approved	04/24/2020
<b>B</b> District of Columbia	Agent	Approved	06/08/2018
<b>B</b> Florida	Agent	Approved	06/05/2018
<b>IA</b> Florida	Investment Adviser Representative	Approved	03/22/2024
<b>B</b> Georgia	Agent	Approved	03/04/2020
<b>IA</b> Georgia	Investment Adviser Representative	Approved	03/04/2020
<b>B</b> Hawaii	Agent	Approved	12/14/2017
<b>IA</b> Hawaii	Investment Adviser Representative	Approved	12/14/2017
<b>B</b> Idaho	Agent	Approved	05/24/2018
<b>IA</b> Idaho	Investment Adviser Representative	Approved	05/24/2018
<b>B</b> Illinois	Agent	Approved	02/25/2013
<b>IA</b> Illinois	Investment Adviser Representative	Approved	07/11/2013
<b>B</b> Indiana	Agent	Approved	06/04/2018
<b>IA</b> Indiana	Investment Adviser Representative	Approved	09/19/2019
<b>B</b> Iowa	Agent	Approved	06/05/2018
<b>B</b> Kansas	Agent	Approved	06/11/2018



## Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	06/04/2018
IA	Kentucky	Investment Adviser Representative	Approved	05/23/2025
B	Louisiana	Agent	Approved	06/05/2018
B	Maine	Agent	Approved	06/05/2018
B	Maryland	Agent	Approved	06/06/2018
IA	Maryland	Investment Adviser Representative	Approved	09/17/2018
B	Massachusetts	Agent	Approved	06/07/2018
IA	Massachusetts	Investment Adviser Representative	Approved	04/29/2025
B	Michigan	Agent	Approved	06/06/2018
IA	Michigan	Investment Adviser Representative	Approved	10/06/2021
B	Minnesota	Agent	Approved	06/05/2018
B	Mississippi	Agent	Approved	06/07/2018
IA	Mississippi	Investment Adviser Representative	Approved	08/24/2023
B	Missouri	Agent	Approved	06/04/2018
IA	Missouri	Investment Adviser Representative	Approved	08/24/2023
B	Montana	Agent	Approved	06/06/2018
IA	Montana	Investment Adviser Representative	Approved	07/14/2020
B	Nebraska	Agent	Approved	06/13/2018
B	Nevada	Agent	Approved	03/27/2018



### Qualifications

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	03/27/2018
B New Hampshire	Agent	Approved	06/05/2018
IA New Hampshire	Investment Adviser Representative	Approved	11/01/2021
B New Jersey	Agent	Approved	06/06/2018
IA New Jersey	Investment Adviser Representative	Approved	11/20/2019
B New Mexico	Agent	Approved	06/05/2018
IA New Mexico	Investment Adviser Representative	Approved	07/30/2024
B New York	Agent	Approved	06/05/2018
IA New York	Investment Adviser Representative	Approved	10/07/2021
B North Carolina	Agent	Approved	06/05/2018
IA North Carolina	Investment Adviser Representative	Approved	07/30/2021
B North Dakota	Agent	Approved	06/05/2018
B Ohio	Agent	Approved	06/04/2018
IA Ohio	Investment Adviser Representative	Approved	08/16/2020
B Oklahoma	Agent	Approved	06/04/2018
IA Oklahoma	Investment Adviser Representative	Approved	05/19/2020
B Oregon	Agent	Approved	04/19/2016
IA Oregon	Investment Adviser Representative	Approved	04/19/2016
B Pennsylvania	Agent	Approved	06/05/2018



### Qualifications

Regulator	Registration	Status	Date
IA Pennsylvania	Investment Adviser Representative	Approved	04/21/2021
B Puerto Rico	Agent	Approved	12/23/2024
B Rhode Island	Agent	Approved	01/09/2019
B South Carolina	Agent	Approved	06/05/2018
IA South Carolina	Investment Adviser Representative	Approved	09/19/2019
B South Dakota	Agent	Approved	06/06/2018
B Tennessee	Agent	Approved	06/05/2018
B Texas	Agent	Approved	02/27/2013
IA Texas	Investment Adviser Representative	Restricted Approval	07/11/2013
B Utah	Agent	Approved	06/05/2018
B Vermont	Agent	Approved	06/14/2018
B Virgin Islands	Agent	Approved	04/30/2019
B Virginia	Agent	Approved	06/04/2018
IA Virginia	Investment Adviser Representative	Approved	08/31/2021
B Washington	Agent	Approved	05/30/2018
IA Washington	Investment Adviser Representative	Approved	11/13/2019
B West Virginia	Agent	Approved	05/16/2019
B Wisconsin	Agent	Approved	02/25/2013



## Qualifications

Regulator	Registration	Status	Date
IA Wisconsin	Investment Adviser Representative	Approved	07/10/2013
B Wyoming	Agent	Approved	02/24/2017
IA Wyoming	Investment Adviser Representative	Approved	10/12/2017

### Branch Office Locations

**PARK AVENUE SECURITIES LLC**  
950 W BANNOCK STREET  
SUITE 1100  
BOISE, ID 83702



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

#### Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/14/2014

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/23/2005
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/13/2004

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	11/04/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/17/2004

### 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	11/22/2006 - 02/15/2013	MML INVESTORS SERVICES, LLC	CRD# 10409	LA JOLLA, CA
B	07/10/2004 - 02/15/2013	MML INVESTORS SERVICES, LLC	CRD# 10409	LA JOLLA, 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
11/2021 - Present	GUARDIAN LIFE INSURANCE	AGENT	Y	BOISE, ID, United States
11/2021 - Present	PARK AVENUE SECURTIES	REGISTERED REPRESENTATIVE	Y	BOISE, ID, United States
04/2017 - 09/2025	GUARDIAN LIFE INSURNACE	AGENT	Y	SAN DIEGO, CA, United States
04/2017 - 09/2025	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
10/2019 - 12/2020	GUARDIAN LIFE INSURANCE	AGENT	Y	VENTURA, CA, United States
10/2019 - 12/2020	PARK AVENUE SECURITIES	REGISTERED REPRESENTATIVE	Y	VENTURA, CA, United States
02/2013 - 04/2017	GUARDIAN LIFE INSURANCE COMPANY OF AMERICA	FIELD REP	Y	NEWPORT BEACH, CA, United States
02/2013 - 04/2017	PARK AVENUE SECURITIES	REG REP	Y	NEWPORT BEACH, CA, 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. PA LLC-Officer, It is a holding company for our agency,  
Start: 04/01/2018,  
Address: 480 North Indian Hills Blvd. Suite 2A, Claremont, CA 91711,  
0 total hours per month,  
No annual compensation,  
Not investment related,



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

2. RealEquity, LLC-50% owner - We don't own any real estate at this time but plan to do so. It will be owned by this LLC,  
Start: 10/01/2018,  
Address: 1344 Skyros Way, Encinitas, CA 92024,  
1 total business hour per month, 0 during securities trading hours,  
Less than 10% annual compensation,  
Investment related,
3. APN (Advanced Practice Network) DBA "Fiscalyze"-I am a 5% owner and largely passive in nature,  
Start: 04/07/2016,  
Address: 333 N. Indian Hill Blvd. Claremont, CA 91711,  
1 total hour per month, 1 during securities trading hours,  
No annual compensation,  
Not investment related,
4. Outside Insurance Sales-LTC, Annuities, Life, DI,  
Start: 01/01/2020,  
Address: 9605 Scranton Rd. Suite 625, San Diego, CA 92121,  
2 total hours per month, 2 during securities trading hours,  
Less than 10% annual compensation,  
Investment related,
5. MWS Financial Inc, President-entity for tax purposes,  
Start: 11/10/2021,  
Address: 6127 W Ustick Rd, Boise, ID 83704,  
0 total hours per month,  
Not investment related,  
No annual compensation,
6. Trustee-parents,  
Start: 01/02/2019,  
Address: N/A,  
0 total hours per month,  
No annual compensation,  
Not investment related,
7. Rental Income-rent out a property we own,  
Start: 09/12/2022,  
Address: 3117 W. Neff Street, Boise, ID 83703,  
1 total hours per month; 0 during securities trading hours,  
Less than 10% annual compensation,  
Investment related,
8. One Pacific Benefits, LLC, Owner  
Start: 10/15/2023,  
Address: NA  
2 total hours per month; 2 during securities trading hours,  
Less than 10% annual compensation,  
Investment related,
9. S4 Enterprises LLC, Owner. This LLC will be used to own property that I will be building townhomes on for rental income,



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Start: 05/01/2024,  
Address: 3799 N. Adama Street, Garden City, ID, 83703,  
5 total hours per month, 0 during securities trading hours,  
Greater than 10% annual compensation,  
Investment related



## 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
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Criminal	1
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### 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

<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	TEXAS , COLLIN COUNTY TX 199-80347-95
<b>Charge Date:</b>	11/01/1995
<b>Charge Details:</b>	1, FELONY POSSESSION OF LESS THA 1 GRAM METHYLENEDIOXYMETHAMPHETAMINE 1 COUNT, NO CONTEST, NOT INVESTMENT RELATED
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	01/24/1997
<b>Disposition Details:</b>	A. PLEAD NO CONTEST PUT ON PROBATION THEN CHARGES WERE DROPPED D. PROBATION E. NOT SURE OF DATE, 2000, DATE OF COURT APPEARANCE
<b>Broker Statement</b>	CHARGE WERE FINALLY DISMISSED AFTER PROBATION PERIOD I NEVER WAS CONVICTED AND NEVER PLEAD GUILTY THE STATUS IS FINAL



## End of Report

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