



## IAPD Report

**JOSHUA RICHARD ALLEN**

CRD# 5074710

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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

### JOSHUA RICHARD ALLEN (CRD# 5074710)

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 **01/02/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	12/01/2016
IA	TCP ASSET MANAGEMENT, LLC	CRD# 286037	01/13/2017

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **48** 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	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	WESTERVILLE, OH	05/02/2022 - 12/31/2023
IA	TRENDENCY CAPITAL MANAGEMENT, LLC	159431	COLUMBUS, OH	10/28/2014 - 01/13/2017
B	SECURITIES AMERICA, INC.	10205	COLUMBUS, OH	10/28/2014 - 10/28/2016

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

### Employment 1 of 2

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Address: 7333 EAST DOUBLETREE RANCH RD, SUITE 120  
SCOTTSDALE, AZ 85258

Firm ID#: 20804

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	12/01/2016
<b>B</b>	FINRA	General Securities Sales Supervisor	Approved	12/02/2016
<b>B</b>	Alabama	Agent	Approved	01/24/2017
<b>B</b>	Alaska	Agent	Approved	01/06/2026
<b>B</b>	Arizona	Agent	Approved	03/19/2018
<b>B</b>	Arkansas	Agent	Approved	04/24/2018
<b>B</b>	California	Agent	Approved	01/23/2017
<b>B</b>	Colorado	Agent	Approved	01/20/2021
<b>B</b>	Connecticut	Agent	Approved	08/17/2022
<b>B</b>	Delaware	Agent	Approved	01/30/2023
<b>B</b>	Florida	Agent	Approved	12/02/2016
<b>B</b>	Georgia	Agent	Approved	12/02/2016
<b>B</b>	Hawaii	Agent	Approved	03/29/2022



## Qualifications

	Regulator	Registration	Status	Date
B	Idaho	Agent	Approved	04/12/2019
B	Illinois	Agent	Approved	12/02/2016
B	Indiana	Agent	Approved	12/02/2016
B	Kansas	Agent	Approved	01/21/2021
B	Kentucky	Agent	Approved	12/02/2016
B	Louisiana	Agent	Approved	06/29/2021
B	Maine	Agent	Approved	08/17/2022
B	Maryland	Agent	Approved	03/14/2017
B	Massachusetts	Agent	Approved	10/30/2017
B	Michigan	Agent	Approved	03/31/2017
B	Minnesota	Agent	Approved	03/11/2019
B	Mississippi	Agent	Approved	03/12/2019
B	Missouri	Agent	Approved	04/21/2021
B	Montana	Agent	Approved	07/21/2017
B	Nebraska	Agent	Approved	01/20/2021
B	Nevada	Agent	Approved	04/15/2019
B	New Hampshire	Agent	Approved	04/18/2019
B	New Jersey	Agent	Approved	08/18/2022
B	New Mexico	Agent	Approved	03/11/2019



## Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	03/31/2017
B	North Carolina	Agent	Approved	04/03/2017
B	Ohio	Agent	Approved	12/02/2016
B	Oklahoma	Agent	Approved	08/26/2024
B	Oregon	Agent	Approved	04/19/2017
B	Pennsylvania	Agent	Approved	12/02/2016
B	Rhode Island	Agent	Approved	02/06/2023
B	South Carolina	Agent	Approved	02/08/2018
B	South Dakota	Agent	Approved	01/22/2021
B	Tennessee	Agent	Approved	12/02/2016
B	Texas	Agent	Approved	01/29/2017
B	Utah	Agent	Approved	05/31/2019
B	Vermont	Agent	Approved	05/05/2025
B	Virginia	Agent	Approved	02/07/2018
B	Washington	Agent	Approved	10/18/2017
B	West Virginia	Agent	Approved	12/02/2016
B	Wisconsin	Agent	Approved	08/13/2024
B	Wyoming	Agent	Approved	01/20/2021



## Qualifications

### Branch Office Locations

**UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

5000 HORIZONS DRIVE  
UPPER ARLINGTON, OH 43220

**UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

500 SOUTH PALM CANYON DR.  
STE. 204  
PALM SPRINGS, CA 92264

**UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

11130 N TATUM BLVD  
STE I-101  
PHOENIX, AZ 85028

### Employment 2 of 2

Firm Name: **TCP ASSET MANAGEMENT, LLC**

Main Address: 5000 HORIZONS DRIVE  
UPPER ARLINGTON, OH 43220

Firm ID#: 286037

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/19/2017
IA Texas	Investment Adviser Representative	Restricted Approval	01/13/2017

### Branch Office Locations

**TCP ASSET MANAGEMENT, LLC**

5000 HORIZONS DRIVE  
UPPER ARLINGTON, OH 43220



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

#### Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	03/08/2014
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/10/2014

#### 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	05/06/2006

#### State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/02/2007

### 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	05/02/2022 - 12/31/2023	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	WESTERVILLE, OH
IA	10/28/2014 - 01/13/2017	TRENDENCY CAPITAL MANAGEMENT, LLC	CRD# 159431	COLUMBUS, OH
B	10/28/2014 - 10/28/2016	SECURITIES AMERICA, INC.	CRD# 10205	COLUMBUS, OH
IA	12/05/2013 - 10/20/2014	OPPENHEIMER & CO. INC.	CRD# 249	CINCINNATI, OH
B	12/04/2013 - 10/20/2014	OPPENHEIMER & CO. INC.	CRD# 249	CINCINNATI, OH
B	10/01/2012 - 12/05/2013	INVEST FINANCIAL CORPORATION	CRD# 12984	WORTHINGTON, OH
IA	10/01/2012 - 12/05/2013	INVEST FINANCIAL CORPORATION	CRD# 12984	WORTHINGTON, OH
IA	07/24/2007 - 09/24/2012	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	GALENA, OH
B	07/23/2007 - 09/24/2012	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	GALENA, OH
IA	02/05/2007 - 07/10/2007	NATIONWIDE INVESTMENT ADVISORS, LLC	CRD# 142373	COLUMBUS, OH
B	11/17/2006 - 06/22/2007	NATIONWIDE INVESTMENT SERVICES CORPORATION	CRD# 7110	DUBLIN, OH
B	05/08/2006 - 09/26/2006	FSC SECURITIES CORPORATION	CRD# 7461	WORTHINGTON, 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
10/2025 - Present	Wanderlust Adventures & Events, LLC	Owner	Y	Gatlinburg, TN, United States
04/2025 - Present	Reign Real Estate Group LLC	Consultant	Y	Columbus, OH, United States
01/2017 - Present	TCP Asset Management LLC	Chief Executive Officer Partner	Y	Columbus, OH, United States



## Registration & Employment History



### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2017 - Present	TCP Asset Management, LLC	CCO and Investment Advisor Representative	Y	Columbus, OH, United States
11/2016 - Present	United Planners	Reg Rep	Y	Scottsdale, AZ, United States
11/2005 - Present	JOSHUA ALLEN	DIRECTOR WEALTH MANAGEMENT	Y	COLUMBUS, OH, United States
12/2017 - 09/2019	Riley Benefits & Investment Group	Director	Y	Columbus, OH, United States
01/2015 - 05/2019	Trendency Capital Partners	Director Wealth Management	Y	Columbus, OH, United States
12/2017 - 01/2019	East Harbour Capital	Partner	Y	Scottsdale, AZ, United States
10/2014 - 01/2017	TRENDENCY CAPITAL MANAGEMENT, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	DUBLIN, OH, United States
10/2014 - 10/2016	SECURITIES AMERICA INC	REGISTERED REPRESENTATIVE	Y	CINCINNATI, 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.) TCP ASSET MANAGEMENT - CHIEF EXECUTIVE OFFICER, PARTNER - DBA NAME FOR MARKETING PURPOSES ONLY - COLUMBUS, OH - SINCE 08/2018 - INVESTMENT RELATED
- 2.) JOSHUA ALLEN INDEPENDENT INSURANCE - NO TITLE - INSURANCE SALES AND SERVICES - COLUMBUS, OH - SINCE 12/2016 - INVESTMENT RELATED
- 3.) PPBJ MANAGEMENT - PARTNER - REAL ESTATE SALES/RENTAL PROPERTIES/PROPERTY MANAGEMENT - PHOENIX, AZ - SINCE 01/2021 - INVESTMENT RELATED
- 4.) TCP ASSET MANAGEMENT LLC - CHIEF EXECUTIVE OFFICER PARTNER - REGISTERED INVESTMENT ADVISOR - COLUMBUS, OH - SINCE 01/2017 - INVESTMENT RELATED
- 5.) JOSHUA ALLEN - DIRECTOR WEALTH MANAGEMENT - NON-VARIABLE INSURANCE - COLUMBUS, OH - SINCE 11/2005 - INVESTMENT RELATED
- 6.) REIGN REAL ESTATE GROUP LLC - CONSULTANT - REAL ESTATE SALES/RENTAL PROPERTIES/PROPERTY MANAGEMENT - COLUMBUS, OH - SINCE 04/2025 - NOT INVESTMENT RELATED
- 7.) WANDERLUST ADVENTURES & EVENTS, LLC - OWNER - REAL ESTATE SALES/RENTAL PROPERTIES/PROPERTY MANAGEMENT - GATLINBURG, TN - SINCE 10/2025 - 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
Termination	1

### 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

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	Securities America
<b>Termination Type:</b>	
<b>Termination Date:</b>	10/14/2016
<b>Allegations:</b>	There was a mutual misunderstanding between the firm and the individual as to the proper policy and procedure for processing sales of approved Equity Indexed Annuity products
<b>Product Type:</b>	Other: Equity Index Annuity
<b>Broker Statement</b>	The error occurred as a result of miscommunication with the firm as to the procedure for submitting the forms. The products and all sales material were properly approved. Sales of the product were also disclosed and reviewed in the annual Attestation.



## End of Report

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