IAPD Report

KATIE ANN HUDSON

CRD# 5508543

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

KATIE ANN HUDSON (CRD# 5508543)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	04/15/2019
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	03/02/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	FORESTERS FINANCIAL SERVICES, INC.	305	FISHKILL, NY	05/30/2008 - 02/26/2019

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
Criminal	2
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 **8** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **MML INVESTORS SERVICES, LLC**
Main Address: 1295 STATE STREET
SPRINGFIELD, MA 01111-0001
Firm ID#: 10409

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	04/15/2019
B	FINRA	General Securities Representative	Approved	03/25/2023
B	Connecticut	Agent	Approved	04/16/2019
B	Florida	Agent	Approved	11/12/2021
B	New Jersey	Agent	Approved	02/18/2021
B	New York	Agent	Approved	04/16/2019
IA	New York	Investment Adviser Representative	Approved	03/02/2025
B	North Carolina	Agent	Approved	10/25/2021
B	Ohio	Agent	Approved	12/26/2025
B	Pennsylvania	Agent	Approved	09/16/2024
B	South Carolina	Agent	Approved	02/15/2023

Branch Office Locations

MML INVESTORS SERVICES, LLC
120 White Plains Road
Suite 601

Qualifications

Tarrytown, NY 10591

MML INVESTORS SERVICES, LLC
Wappingers Falls, NY

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	General Securities Representative Examination (S7TO)	Series 7TO	03/24/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/28/2008

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	01/15/2025
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/07/2008

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
B	05/30/2008 - 02/26/2019	FORESTERS FINANCIAL SERVICES, INC.	CRD# 305	FISHKILL, NY

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
03/2019 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REP	Y	TARRYTOWN, NY, United States
01/2019 - Present	MASSMUTUAL LIFE INSURANCE COMPANY	AGENT	Y	TARRYTOWN, NY, United States
02/2008 - 02/2019	FORESTERS FINANCIAL	REG REP	Y	NEWBURGH, NY, 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) NAME: KATE HUDSON INV REL: Y ADD: RESIDENTIAL NATURE: OUTSIDE INSURANCE POSITION: AGENT START DATE: 10/20/2020 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 1 DESCRIBE DUTIES: LIFE, FIXED ANNUITIES
(2) NAME: POWER FORGE ATHLETICS INV REL: N ADD: 1895 SOUTH RD, POUGHKEEPSIE NY 12601 NATURE: ALLSTAR CHEER GYM FOR GIRLS 6-16-YEAR OLD POSITION: OWNER OPERATOR/DIRECTOR OF ORGANIZATION START DATE: 04/15/2025 NO. HR/MO: 50 NO. HR/MO DURING SEC TRADING: 0 DESCRIBE DUTIES: RUN THE BUSINESS, MANAGE COACHES, EMPLOYEES AND COACH.
(3) NAME: HUDSON ELITE INV REL: Y ADD: RESIDENTIAL ADDRESS NATURE/DUTIES: OWNER OF S CORP FOR PASS THROUGH TAX POSITION: OWNER START DATE: 04/15/2026 NO. HR/MO: 1 NO. HR/MO DURING SEC TRADING: 1

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
Criminal	2
Customer Dispute	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:	
Date Initiated:	06/30/2020
Docket/Case Number:	2019062699901
Employing firm when activity occurred which led to the regulatory action:	Foresters Financial Services, Inc.
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Hudson consented to the sanctions and to the entry of findings that she failed to timely amend her Form U4 to disclose that she had been charged with felonies on two occasions. The findings stated that the charges, that were in connection with a motor vehicle incident, were subsequently reduced to misdemeanors. In addition, Hudson inaccurately certified on her member firm's annual compliance questionnaire that she had not been charged with any felony, misdemeanor or other criminal offense since her list submission to the firm, even though she had been charged in connection with the motor vehicle incident.
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:	06/30/2020
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? **(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 rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**	No

(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:	All capacities
Duration:	Two months
Start Date:	07/20/2020
End Date:	09/19/2020

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	04/30/2021
Was any portion of penalty waived?	No
Amount Waived:	

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Suspension Other: 5000 FINE
Date Initiated:	06/30/2020
Docket/Case Number:	2019062699901

Employing firm when activity occurred which led to the regulatory action:	Foresters Financial Services, Inc.
Product Type:	No Product
Allegations:	Between August 2013 and February 2019 (the "Relevant Period") Respondent failed to timely amend her Uniform Application for Securities Industry Registration or Transfer ("Form U4") to disclose that she had been charged with felonies on two occasions.
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?	Yes
Resolution Date:	06/30/2020
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	2 months
Start Date:	07/20/2020
End Date:	09/19/2020
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	Installment payment plan
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	

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 2

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	East Fishkill Justice Court
Location of Court:	Dutchess
Docket/Case #:	15060523
Charge Date:	06/23/2015
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Driving while ability impaired by drugs
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	06/08/2016
Charge was Amended or reduced to:	Dismissed
Amended No of Counts:	1
Amended Charge:	This charge was dismissed
Amended Plea:	This was dismissed, no charges.
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Aggravated Unlicensed Operator 1st degree
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Reduced
Date of Amended Charge:	06/08/2016
Charge was Amended or reduced to:	Charges reduced to misdemeanor and sentenced to 3 years probation.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty

Disposition of Amended Charge:	Reduced
Current Status:	Final
Status Date:	06/08/2016
Disposition Date:	06/08/2016
Sentence/Penalty:	Three years probation beginning 1/28/2016 and ending 1/28/2019. Fine $205 and suspension one year.

Disclosure 2 of 2

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	COUNTY OF DUTCHESS
Location of Court:	VILLIAGE OF WAPPINERGS FALLS
Docket/Case #:	13080041
Charge Date:	08/04/2013
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Aggravated Unlic operator 1st degree
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	All charges covered and dismissed outside of DWAI
Date of Amended Charge:	09/17/2013
Charge was Amended or reduced to:	No new charge, this was covered and dismissed.
Amended No of Counts:	1
Amended Charge:	None
Amended Plea:	Not applicable as this charge was dismissed and dropped.
Disposition of Amended Charge:	Dismissed
Charge(s) 2 of 2	

Formal Charge(s)/Description:	Driving w/ability impaired by drugs
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Reduced
Date of Amended Charge:	09/17/2013
Charge was Amended or reduced to:	reduced to DWAI traffic violation law 1192 01.
Amended No of Counts:	1
Amended Charge:	Violation
Amended Plea:	Guilty
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	09/17/2013
Disposition Date:	09/17/2013
Sentence/Penalty:	Paid $300 fine with a $260 surcharge and license revoked for 6 months

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:	MML INVESTORS SERVICES, LLC
Allegations:	The complainant alleges that he was sold a Whole Life insurance policy in 2021, which was unsuitable, and which the producer recommended that he keep. He further alleges that after a review of his portfolio, he found that it was turned over into high commission, high expense products, and that the recommendations made by the producer call into doubt the suitability investments that were sold to him.
Product Type:	Annuity-Variable Insurance Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has been unable to determine that potential damages from the alleged activity would be under $5,000.
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:	04/24/2023
Complaint Pending?	No
Status:	Denied
Status Date:	06/12/2023
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	Internal case #202304250193.

End of Report

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