IAPD Report

MICHAEL LAWRENCE MANN

CRD# 5937029

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

[User Guidance](#)

[www.adviserinfo.sec.gov](#)

Report Summary

MICHAEL LAWRENCE MANN (CRD# 5937029)

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 **04/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	04/27/2020
IA	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	05/06/2020

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	EMERSON EQUITY LLC	130032	Anaheim, CA	02/13/2020 - 03/30/2020
B	EMERSON EQUITY LLC	130032	SAN MATEO, CA	08/01/2019 - 03/30/2020
B	ASCENDANT ALTERNATIVE STRATEGIES, LLC	283881	Austin, TX	03/26/2017 - 08/13/2019

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
Criminal	1
Judgment/Lien	2

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

Employment 1 of 1

Firm Name: **AUSDAL FINANCIAL PARTNERS, INC.**

Main Address: 5187 UTICA RIDGE RD
DAVENPORT, IA 52807

Firm ID#: 7995

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	04/27/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	04/27/2020
B	Arizona	Agent	Approved	11/12/2020
B	Arkansas	Agent	Approved	03/24/2025
B	California	Agent	Approved	04/28/2020
B	Colorado	Agent	Approved	11/30/2022
IA	Colorado	Investment Adviser Representative	Approved	11/30/2022
B	Florida	Agent	Approved	11/04/2025
B	Idaho	Agent	Approved	06/20/2023
B	Illinois	Agent	Approved	02/23/2022
B	Iowa	Agent	Approved	06/19/2025
B	Kansas	Agent	Approved	01/23/2023
B	Michigan	Agent	Approved	05/14/2020

Qualifications

	Regulator	Registration	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	07/21/2022
B	Minnesota	Agent	Approved	08/25/2023
B	Missouri	Agent	Approved	10/25/2022
B	Nebraska	Agent	Approved	10/25/2022
IA	Nebraska	Investment Adviser Representative	Approved	10/27/2022
IA	New York	Investment Adviser Representative	Approved	04/02/2026
B	North Carolina	Agent	Approved	03/08/2022
IA	North Carolina	Investment Adviser Representative	Approved	03/22/2022
B	Ohio	Agent	Approved	05/27/2022
B	Oklahoma	Agent	Approved	01/13/2022
B	Texas	Agent	Approved	05/06/2020
IA	Texas	Investment Adviser Representative	Approved	05/06/2020
B	Washington	Agent	Approved	10/24/2024

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
CHESTERFIELD, MI

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	02/02/2015
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/14/2012

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	11/15/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/2012

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	02/13/2020 - 03/30/2020	EMERSON EQUITY LLC	CRD# 130032	Anaheim, CA
B	08/01/2019 - 03/30/2020	EMERSON EQUITY LLC	CRD# 130032	SAN MATEO, CA
B	03/26/2017 - 08/13/2019	ASCENDANT ALTERNATIVE STRATEGIES, LLC	CRD# 283881	Austin, TX
B	08/25/2014 - 03/29/2017	AXIOM CAPITAL MANAGEMENT, INC.	CRD# 26580	AUSTIN, TX
IA	11/25/2013 - 08/21/2014	AMERICAN FUNDS DISTRIBUTORS, INC.	CRD# 6247	SAN ANTONIO, TX
B	09/17/2012 - 08/21/2014	AMERICAN FUNDS DISTRIBUTORS, INC.	CRD# 6247	SAN ANTONIO, TX

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
09/2020 - Present	MIAMI LIFE, INC	WHOLESALER	Y	PITTSBURGH, PA, United States
04/2020 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
04/2019 - 04/2020	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
03/2017 - 08/2019	Ascendant Alternative Strategies, LLC	Registered Representative	Y	Austin, TX, United States
08/2014 - 03/2017	AXIOM CAPITAL MANAGEMENT, INC.	REGISTERED	Y	NEW YORK, 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.

INSURANCE SALES; INVESTMENT RELATED; CHESTERFIELD, MI; SALE OF INSURANCE PRODUCTS; AGENT; ACTIVITY BEGAN 05/2020; I DEVOTE APPX 80 HOURS PER MONTH TO THIS ACTIVITY WITH 40 OF THOSE HOURS DURING TRADING HOURS; SALE OF INSURANCE PRODUCTS TO CLIENTS.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

NATIONAL BROKERAGE ATLANTIC/MIAMI LIFE; INVESTMENT RELATED; CHESTERFIELD, MI; RECRUIT INSURANCE AGENTS; RECRUITER; ACTIVITY BEGAN 09/2020; I DEVOTE 20 HOURS TO THIS ACTIVITY WITH 10 HOURS DURING TRADING HOURS; WHOLESALE INDEPENDENT CONTRACTOR.

FIRSTGEN PLANNING LLC; INVESTMENT RELATED; BIRMINGHAM, MI; FINANCIAL PLANNING SERVICES; OWNER; ACTIVITY BEGAN 06/2020; I DEVOTE 160 HOURS PER MONTH TO THIS ACTIVITY WITH 120 OF THOSE HOURS DURING TRADING HOURS; SALE OF FINANCIAL PLANNING SERVICES TO CLIENTS.

TAX MASTER NETWORK; NOT INVESTMENT RELATED; BIRMINGHAM, MI; TAX PLANNING STRATEGIES; REFERRING AGENT; ACTIVITY BEGAN IN 08/2021; I DEVOTE APPX 10 HOURS PER MONTH TO THIS ACTIVITY WITH 4 OF THOSE HOURS DURING TRADING HOURS; REFER CLIENTS TO TAX MASTER NETWORK FOR A REFERRAL FEE.

ENDOWMENT MANAGEMENT GROUP; INVESTMENT RELATED;BIRMINGHAM, MI; CHARITABLE TAX PLANNING STRATEGIES; REFERRAL AGENT; ACTIVITY BEGAN 08/2021; I DEVOTE APPX 10 HOURS PER MONTH WITH 8 OF THOSE HOURS DURING TRADING HOURS; REFER CLIENTS FOR CHARITABLE TAX PLANNING STRATEGIES AND IMPLEMENTATION.

PHIL KLEIN INSURANCE GROUP A SUBSIDIARY OF ALERA; INVESTMENT RELATED; CHESTERFIELD, MI; OUTSIDE INSURANCE SALES; AGENT; ACTIVITY WILL BEGIN IN MARCH 2024; I DEVOTE APPX 10 HOURS PER MONTH ALL DURING TRADING HOURS TO THIS ACTIVITY; OUTSOURCING LIFE, ACCIDENT AND HEALTH REFERRALS TO PHIL KLEIN INSURANCE GROUP.

FIRST GEN PLANNING, LLC; THIS ACTIVITY IS NOT INVESTMENT RELATED; CHESTERFIELD, MI; REFERRING AGENT; ACTIVITY BEGAN 10/2025; I DEVOTE APPX 10 HOURS TO THIS ACTIVITY ALL DURING TRADING HOURS; IDENTIFY AND RECOMMEND QUALIFIED INVESTORS TO SOLAR/BATTERY INSTALL COMPANIES FOR POTENTIAL OWNERSHIP OF SOLAR LEASING PROJECTS.

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
Judgment/Lien	2

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 COURT
Name of Court:	ISABELLA COUNTY TRIAL COURT (STATE OF MICHIGAN 76TH JUDICIAL COURT)
Location of Court:	MT. PLEASANT, MI
Docket/Case #:	12-313-SM
Charge Date:	04/02/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	LARCENY => $200 < $1000, RECEIVE AND CONCEAL STOLEN PROPERTY
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NO CONTEST
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	06/07/2012
Disposition Date:	06/07/2012
Sentence/Penalty:	PROBATION STARTED 4/23/12; ENDED 6/11/12. COMMUNITY SERVICE ASSIGNED ON 4/23/12, COMMUNITY SERVICE COMPLETED BY 5/3/12. FINES ASSESSED ON 4/23/12: $1850, PAID ON 4/23/12. ALL DATES EXACT.
Broker Statement	I SOLD A CELL PHONE FOR SOMEONE I THOUGHT I COULD TRUST FOR PRICE I THOUGHT TO BE FAIR. THE COURTS THOUGHT I WAS NEGLIGENT

AND IN ORDER TO GET NOTHING ON MY RECORD I NEEDED TO PLEA "NO CONTEST" TO BOTH. I PLEAD "NO CONTEST" TO BOTH, PAID MY FINES THE DAY OF, DID MY COMMUNITY SERVICE IN UNDER TWO WEEKS, AND HAVE FINISHED PROBATION. CHARGES HAVE BEEN DISMISSED, I'VE BEEN OKAYED TO FINRA TO WORK IN THE FINANCIAL INDUSTRY.

Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	$4,799.20
Judgment/Lien Type:	Tax
Date Filed with Court:	09/29/2025
Date Individual Learned:	10/31/2025
Type of Court:	State Court
Name of Court:	MACOMB COUNTY
Location of Court:	MOUNT CLEMENS, MI
Docket/Case #:	1493157
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	$6,343.08
Judgment/Lien Type:	Tax
Date Filed with Court:	05/29/2025
Date Individual Learned:	10/31/2025
Type of Court:	State Court
Name of Court:	Macomb County
Location of Court:	MOUNT CLEMENS, MI
Docket/Case #:	1479928
Judgment/Lien Outstanding?	Yes

End of Report

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