



IAPD Report

Casey Alexander Marx

CRD# 7202166

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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

Casey Alexander Marx (CRD# 7202166)

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 **07/28/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA CROWN HAVEN WEALTH MANAGEMENT	CRD# 306691	08/28/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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
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No information reported.

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	4
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CROWN HAVEN WEALTH MANAGEMENT**
Main Address: 11555 N. MERIDIAN ST.
SUITE 560
CARMEL, IN 46032
Firm ID#: 306691

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	08/28/2025

Branch Office Locations

CROWN HAVEN WEALTH MANAGEMENT
11555 N. MERIDIAN ST.
SUITE 560
CARMEL, IN 46032



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/19/2025
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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:

No information reported.

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
07/2025 - Present	Crown Haven Wealth Management LLC	Investment Adviser Representative	Y	Carmel, IN, United States
06/2025 - Present	Casey Alexander LLC	Member	N	Carmel, IN, United States
10/2020 - Present	114th Street, LLC	Manager	Y	Carmel, IN, United States
10/2020 - Present	Pine Cone II, LLC	Manager	N	Carmel, IN, United States
09/2019 - Present	Crown Haven Wealth Management LLC	CEO/Managing Member	Y	Carmel, IN, United States
01/2017 - Present	Crown Haven, LLC	CEO/Manager	Y	Carmel, IN, United States
01/2013 - 01/2017	Independent Insurance Agent/Producer	Self-Employed	Y	Carmel, IN, 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) Crown Haven, LLC, Investment Related, 11555 N. Meridian St., Carmel, IN 46032, Licensed Insurance Agency, Sole Owner, CEO/Manager, Independent Agent/Producer (since 01/2017); 120 hours per month, all during securities trading hours, providing management and oversight of the company and its personnel, and providing insurance sales and services;
- 2) Muktown Ventures, LLC, Not Investment Related, 11555 N. Meridian St., Carmel, IN 46032, Holding Company for Crown Haven Wealth Management LLC and Crown Haven, LLC, formed 12/2022, 0 hours per month, 0 hours per month during securities trading hours;
- 3) 114th Street LLC, Investment Related, 11555 N. Meridian St., Carmel, IN 46032, holding company for future rental property, Sole Owner/Manager (since 10/2020), 0 hours per month, 0 hours per month during securities trading hours, passive/personal investment
- 4) Pine Cone II LLC, Not Investment Related, 11555 N. Meridian St., Carmel, IN 46032, Business Solution Technology Company, Sole Owner/Manager (since 10/2020), 10 hours per month, all during trading hours, providing management and oversight of the company and its personnel;
- 5) Firther Holdings, LLC, Not Investment Related, 11555 N. Meridian St., Carmel, IN 46032, Holding Company for Pine Cone II LLC, formed 12/2022, 0 hours per month, 0 hours per month during securities trading hours;



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6) Casey Alexander LLC, Not Investment Related, 11555 N. Meridian St., Carmel, IN 46032, Consulting Media and Authorship, Member (since 06/2025), 0 hours per month, 0 hours per month during securities trading hours, providing management and oversight of the company and its personnel



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	4
Criminal	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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	Indiana Department of Insurance
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s) Revocation
Date Initiated:	10/01/2023
Docket/Case Number:	22735-AG23-0926-133
Employing firm when activity occurred which led to the regulatory action:	Crown Haven Wealth Management, LLC
Product Type:	No Product
Allegations:	The Indiana Department of Insurance alleged that Mr. Marx had failed to timely report a license denial issued by the Illinois Department of Insurance that has occurred on March 20, 2023.
Current Status:	Final
Resolution:	Order
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:	11/02/2023



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 11/02/2023

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

This matter was voluntarily settled by Mr. Marx by an Agreed Entry and related Order entered with the State of Indiana Insurance Department. Mr. Marx believes he promptly reported the denial of his application by the Illinois Department of Insurance via the SIRCON and NIPR (National Insurance Producer Registry) online systems to the State of Indiana Insurance Department. Despite timely reporting, the State of Indiana Insurance Department still asserted that he had failed to timely report the license denial in Illinois.

Disclosure 2 of 4

Reporting Source: Individual

Regulatory Action Initiated By: Illinois Department of Insurance

Sanction(s) Sought: Denial

Date Initiated: 12/29/2022

Docket/Case Number: 16698370

Employing firm when activity occurred which led to the regulatory action: Crown Haven Wealth Management, LLC

Product Type: No Product

Allegations: The Illinois Department of Insurance alleged that Mr. Marx had provided incorrect, misleading, incomplete, and materially untrue information on his insurance producer license application, and attempted to obtain a license through misrepresentation, which are grounds for a denial pursuant to Section 500-70(a)(1) and (3) of the Illinois Insurance Code (215 ILCS 5/500-70(a)(1) and (3)).

Current Status: Final

Resolution: Denial of insurance license application by letter dated March 20, 2023.

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: 03/20/2023

Sanctions Ordered: Denial

Broker Statement
On December 29, 2022, a former employee of Mr. Marx submitted an application on his behalf for an "Individual Life Insurance Producer License" in Illinois as a non-resident producer ("Application"). In the process of completing the Mr. Marx's Application, the former employee erroneously answered "no" to the application question asking whether Mr. Marx had ever been the subject of any administrative action taken against him by any state or regulatory body. In fact, Mr. Marx had been subject to an administrative Order in the State of Indiana related to his failure to timely notify the Indiana Department of Insurance of his prior criminal conviction for operating a vehicle while intoxicated. As a result of the former employee inaccurately checking "no" on the Application in response to this question, the State of Illinois sent notices of concern and gave Mr. Marx the ability to have a hearing or withdraw his license application, however the same employee failed to notify Mr. Marx of these opportunities to correct the Application and Illinois ended up denying Mr. Marx's license by letter dated March 20, 2023. Although Mr. Marx understands that it was his responsibility to make sure the Application was completed correctly and accurately, these were honest mistakes by a former employee that Mr. Marx simply failed to catch before they were submitted. He was unaware of the opportunity to withdraw the Application that followed due to the former employee failing to notify him of the same.

Disclosure 3 of 4

Reporting Source: Individual

Regulatory Action Initiated By: Indiana Department of Insurance

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Revocation

Date Initiated: 12/29/2015

Docket/Case Number: 14263-AG15-1221-313

Employing firm when activity occurred which led to the regulatory action: Independent Insurance Agent/Producer (self-employed)

Product Type: No Product

Allegations: Mr. Marx was alleged to have failed to notify the Department within thirty (30) days after the initial pretrial hearing date related to his criminal conviction for felony Operating a Vehicle While Intoxicated with Prior Conviction in violation of Indiana Code 27-1-15.6-17(b).

Current Status: Final

Resolution: Order

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: 02/12/2016

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Other: Mr. Marx's insurance producer license was placed on probation for a period



of two years beginning 02/12/2016.

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan: None

Is Payment Plan Current:

Date Paid by individual: 02/12/2016

Was any portion of penalty waived? No

Amount Waived:

Broker Statement This matter was voluntarily settled by Mr. Marx by an Agreed Entry and related Order entered with the State of Indiana Insurance Department.

Disclosure 4 of 4

Reporting Source: Individual

Regulatory Action Initiated By: North Carolina Department of Insurance

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Revocation

Date Initiated: 03/01/2024

Docket/Case Number: 16698370

Employing firm when activity occurred which led to the regulatory action: Crown Haven Wealth Management, LLC

Product Type: No Product

Allegations: The North Carolina Department of Insurance had alleged that Mr. Marx failed to report an administrative action taken by the Indiana Department of Insurance within 30 days after the final disposition of the matter as required by North Carolina General Statute§ 58-33-32(k).

Current Status: Final

Resolution: Order

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: 04/25/2024

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1



Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$250.00

Portion Levied against individual: \$250.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 04/25/2024

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Mr. Marx voluntarily settled this administrative action by entering into an Order with the North Carolina Department of Insurance under which he agreed to pay a \$250 administrative fine. Mr. Marx believes he promptly reported the denial of his application by the Illinois Department of Insurance and the resulting administrative action taken by the Indiana Department of Insurance via the SIRCON and NIPR (National Insurance Producer Registry) online systems to the North Carolina Department of Insurance. Despite timely reporting, the North Carolina Department of Insurance still asserted that he had failed to timely report these matters.



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:	State Court
Name of Court:	Hamilton Superior Court
Location of Court:	State of Indiana, County of Hamilton
Docket/Case #:	29D04-1504-F6-003344
Charge Date:	03/26/2015
Charge(s) 1 of 2	
Formal Charge(s)/Description:	Operating a Vehicle While Intoxicated: Prior Conviction, as a Level 6 Felony, under I.C. §9-30-5-2(a). The prior conviction referenced by the Hamilton Superior Court is a prior misdemeanor conviction of driving while intoxicated which occurred in Snohomish County, State of Washington, on or about December 12, 2010.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty
Disposition of charge:	Convicted
Charge(s) 2 of 2	
Formal Charge(s)/Description:	Operating a Vehicle While Intoxicated
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	09/15/2015
Disposition Date:	09/15/2015
Sentence/Penalty:	Per a plea agreement, Mr. Marx was sentenced as follows: 910 days in Indiana Department of Corrections, 10 days executed, 180 days executed on electronically monitored home detention as supervised by Hamilton County Community Corrections, 720 says suspended (completed - 2 days credit for one day served on 03/26/2015; 2 days credit for 4 days served from on or about 09/18/2015 through 09/21/2015; home monitoring completed on or about 03/22/2016); \$183.50 in court costs and \$200.00 in alcohol countermeasure fees (paid in full 09/15/2015); suspension of Driver's License for a period of 2 years and 90 days (completed); 720 days probation, including compliance with the following: payment of ALL court costs and fees (paid in full); successful completion of CARE or equivalent drug/alcohol program (completed 09/14/2015), complying with all recommendations of treatment (completed); attendance of a Victim's Impact Panel (completed); prohibition on consumption or possession of alcoholic beverages and being on the premises of any establishment that sells or serves alcoholic



beverages where a minor would not be allowed by law (completed); successful completion of all the terms and conditions of electronically monitored home detention as supervised by Hamilton County Community Corrections, without violation (completed).

Broker Statement

On the condition of Mr. Marx successfully completing probation with no violations, he was permitted to petition the court within sixty (60) days of the completion of his probation to convert his Level 6 Felony conviction to a Class A Misdemeanor pursuant to Indiana Code Section 35-38-1-1.5. Mr. Marx successfully completed his probation and petitioned the court to convert his Level 6 Felony conviction to a Class A Misdemeanor pursuant to Indiana Code Section 35-38-1-1.5. The Hamilton Superior Court granted this petition by Order dated December 21, 2017.

By Order of the Hamilton Superior Court dated October 16, 2020, Mr. Marx's conviction was expunged and sealed.



End of Report

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