



## IAPD Report

# BRYAN FREDERICK OHM

CRD# 723664

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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

### BRYAN FREDERICK OHM (CRD# 723664)

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 **01/10/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MPM WEALTH ADVISORS	CRD# 104926	01/09/1997

### 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
B	EPLANNING SECURITIES, INC.	46000	ROSEVILLE, CA	03/06/2007 - 09/26/2007
B	NFP SECURITIES, INC.	42046	MAUMEE, OH	06/20/2003 - 02/02/2007
IA	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	MAUMEE, OH	04/08/2003 - 07/08/2003

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



## 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: **MPM WEALTH ADVISORS**  
Main Address: 7429 INTERNATIONAL DRIVE  
SUITE A  
HOLLAND, OH 43528-8623  
Firm ID#: 104926

Regulator	Registration	Status	Date
<b>IA</b> Ohio	Investment Adviser Representative	Approved	01/21/2003

#### Branch Office Locations

**MPM WEALTH ADVISORS**  
7429 INTERNATIONAL DRIVE  
SUITE A  
HOLLAND, OH 43528-8623



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

#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

#### General Industry/Product Exams

Exam	Category	Date
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<b>B</b> General Securities Representative Examination (S7)	Series 7	01/17/1981
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#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	10/27/1992
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<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	10/17/1985
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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:

	Registration Dates	Firm Name	ID#	Branch Location
B	03/06/2007 - 09/26/2007	EPLANNING SECURITIES, INC.	CRD# 46000	ROSEVILLE, CA
B	06/20/2003 - 02/02/2007	NFP SECURITIES, INC.	CRD# 42046	MAUMEE, OH
IA	04/08/2003 - 07/08/2003	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	MAUMEE, OH
B	04/02/2003 - 07/08/2003	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	CEDAR RAPIDS, IA
B	11/20/1995 - 04/03/2003	CONTINENTAL CAPITAL INVESTMENT SERVICES, INC.	CRD# 2864	BRYAN, OH
B	07/31/1993 - 10/26/1995	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	02/15/1988 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY
B	10/05/1987 - 02/15/1988	E. F. HUTTON & COMPANY INC	CRD# 235	
B	01/19/1981 - 10/13/1987	PAINWEBBER INCORPORATED	CRD# 8174	

### 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
02/2019 - Present	MPM WEALTH ADVISORS, INC.	CO-PRESIDENT	Y	MAUMEE, OH, United States
10/1995 - Present	MPM WEALTH ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	MAUMEE, 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) I AM A LICENSED INDEPENDENT INSURANCE AGENT.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

(2) WS SERIES IX LLC, I AM A 50% OWNER MPM BUILDING

(3) CREATING EQUITY LLC, I AM A 24.31% OWNER. PASSIVE INCOME OF MARCO'S PIZZA INVESTMENT DISTRIBUTIONS.



## 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

### 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:** UNITED STATES SECURITIES AND EXCHANGE COMMISSION

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 10/23/2013

**Docket/Case Number:** 3-15583

**Employing firm when activity occurred which led to the regulatory action:** MODERN PORTFOLIO MANAGEMENT, INC.

**Product Type:** No Product

**Allegations:** SEC ADMIN IA RELEASE 3702, OCTOBER 23, 2013: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMED IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE INSTITUTED PURSUANT TO SECTIONS 203(F) AND 203(K) OF THE ADVISERS ACT AGAINST BRYAN F. OHM ("OHM" OR "RESPONDENT").

THE COMMISSION FOUND THAT THE PROCEEDINGS AROSE OUT OF THE FAILURE OF A REGISTERED INVESTMENT ADVISER BASED IN OHIO, AND ITS PRINCIPALS, INCLUDING OHM, TO CORRECT ONGOING VIOLATIONS AT THE ADVISORY FIRM. AT THE TIME OF AN ON-SITE EXAMINATION OF THE ADVISER IN 2008 BY THE OFFICE OF COMPLIANCE INSPECTIONS AND EXAMINATIONS ("OCIE"), THE ADVISER HAD VIOLATED SECURITIES LAWS BY FAILING TO COMPLETE AN ANNUAL COMPLIANCE REVIEW IN 2006, MAKING MISLEADING STATEMENTS ON THE ADVISER'S WEBSITE REGARDING THE ADVISER'S EXCLUSIVE ACCESS TO AN INVESTMENT FIRM'S FUNDS, OMITTING



DISCLOSURES IN ITS PERFORMANCE INFORMATION THAT WERE REQUIRED BY THE ADVISER'S OWN POLICIES AND PROCEDURES, AND MAKING MISLEADING STATEMENTS IN ITS PERFORMANCE INFORMATION BY PROVIDING MODEL RESULTS THAT DID NOT DEDUCT THE ADVISER'S ADVISORY FEES. FOLLOWING THE EXAMINATION, OCIE STAFF SENT THE ADVISER A LETTER CONCERNING THESE VIOLATIONS. DESPITE ASSURANCES THAT IT WOULD TAKE CORRECTIVE ACTION TO REMEDY THESE VIOLATIONS, THE ADVISER CONTINUED TO VIOLATE SECURITIES LAWS AT THE TIME OF OCIE'S 2011 EXAMINATION BY FAILING TO COMPLETE AN ANNUAL COMPLIANCE REVIEW IN 2009 AND BY CONTINUING TO MAKE MISLEADING STATEMENTS REGARDING ITS ACCESS TO AN INVESTMENT FIRM'S FUNDS IN ITS MARKETING MATERIALS. THE ADVISER ALSO MISLEADINGLY REPRESENTED IN ONE LOCATION ON ITS WEBSITE THAT IT HAD OVER \$600 MILLION IN ASSETS WHEN IT REPORTED IN ITS FORM ADV THAT IT HAD LESS THAN \$325 MILLION IN ASSETS UNDER MANAGEMENT AS OF SEPTEMBER 2011. BASED ON THESE ACTIONS, THE ADVISER WILLFULLY VIOLATED, AND OHM WILLFULLY AIDED AND ABETTED AND CAUSED THE ADVISER'S VIOLATIONS OF, SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULES 206(4)-7 AND 206(4)-1(A)(5) THEREUNDER.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	10/23/2013
<b>Sanctions Ordered:</b>	Cease and Desist Censure Undertaking
<b>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?</b>	Yes



**(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?**

No

**(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 any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

Yes

**(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?**

No

**Regulator Statement**

IN ANTICIPATION OF THE INSTITUTION OF THE PROCEEDINGS, RESPONDENT SUBMITTED AN OFFER OF SETTLEMENT (THE "OFFER") WHICH THE COMMISSION DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER HIM



AND THE SUBJECT MATTER OF THE PROCEEDINGS, WHICH ARE ADMITTED, RESPONDENT CONSENTED TO THE ENTRY OF THE ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS PURSUANT TO SECTIONS 203(E), 203(F) AND 203(K) OF THE INVESTMENT ADVISERS ACT OF 1940, MAKING FINDINGS, AND IMPOSING REMEDIAL SANCTIONS AND A CEASE-AND-DESIST ORDER ("ORDER").

IN DECIDING TO ACCEPT THE OFFER, THE COMMISSION CONSIDERED THE REMEDIAL ACTS PROMPTLY UNDERTAKEN BY THE ADVISER AND OHM AND THE COOPERATION AFFORDED THE COMMISSION STAFF. DURING THE COMMISSION'S STAFF INVESTIGATION, THE ADVISER ENGAGED A COMPLIANCE CONSULTANT TO ADVISE THE ADVISER ON COMPLIANCE ISSUES.

THE COMMISSION DEEMED IT APPROPRIATE AND IN THE PUBLIC INTEREST TO IMPOSE THE SANCTIONS AGREED TO IN RESPONDENT'S OFFER. ACCORDINGLY, PURSUANT TO SECTIONS 203(F) AND 203(K) OF THE ADVISERS ACT AGAINST OHM, IT IS HEREBY ORDERED THAT RESPONDENT OHM CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTIONS 206(2) AND 206(4) OF THE ADVISERS ACT AND RULES 206(4)-7 AND 206(4)-1(A)(5) PROMULGATED THEREUNDER. RESPONDENT OHM IS CENSURED. RESPONDENT SHALL COMPLY WITH THE UNDERTAKINGS ENUMERATED IN THE ORDER.

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
<b>Sanction(s) Sought:</b>	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	10/23/2013
<b>Docket/Case Number:</b>	ADMINISTRATIVE PROCEEDING FILE #3-15583
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MODERN PORTFOLIO MANAGEMENT INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	ON OCTOBER 23, 2013 THE US SECURITIES AND EXCHANGE COMMISSION ("SEC") ENTERED ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS AGAINST MPM, G. THOMAS DAMASCO II, AND BRYAN F OHM. MPM, MR. DAMASCO AND MR. OHM AGREED TO SETTLE THE PROCEEDINGS WITHOUT ADMITTING OR DENYING THE SEC'S FINDINGS. THE SEC DETERMINED THAT MPM FAILED TO CORRECT VIOLATIONS THAT HAD FIRST BEEN NOTED BY THE SEC IN A 2008 EXAMINATION AND, DESPITE MPM'S ASSURANCES THAT THEY WOULD BE CORRECTED, WERE NOT SUFFICIENTLY CORRECTED AT THE TIME OF ANOTHER EXAMINATION IN 2011. A MORE DETAILED EXPLANATION OF THE SEC'S FINDINGS CAN BE FOUND IN MPM'S FORM ADV PART 2A BROCHURE, WHICH IS AVAILABLE UPON REQUEST. THE SEC DETERMINED THAT MR. DAMASCO AND MR. OHM AIDED AND ABETTED THESE VIOLATIONS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled



<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	10/23/2013
<b>Sanctions Ordered:</b>	Cease and Desist Censure Civil and Administrative Penalty(ies)/Fine(s) Other: TO SETTLE THESE PROCEEDINGS, MR. OHM AGREED TO TAKE 30 HOURS OF COMPLIANCE TRAINING BEFORE NOVEMBER 2014. MR. OHM WAS ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING FUTURE VIOLATIONS, WAS CENSURED, AND WAS FINED \$50,000.
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$175,000.00
<b>Portion Levied against individual:</b>	\$50,000.00
<b>Payment Plan:</b>	25000.00 WITHIN 10 DAYS OF ENTRY OF THE ORDER AND 25000.00 WITHIN 180 DAYS OF ENTRY OF THE ORDER.
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	



## End of Report

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