



IAPD Report

DONALD OWEN TAYLOR

CRD# 725947

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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>



Report Summary

DONALD OWEN TAYLOR (CRD# 725947)

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 **11/11/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRUSTFIRST	CRD# 39057	10/27/1995
IA	TRENDZ ADVISORS	CRD# 139528	07/27/2010
IA	TRUSTFIRST INC.	CRD# 39057	03/16/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	GREENSVIEW WEALTH MANAGEMENT	297321	KNOXVILLE, TN	08/30/2019 - 06/15/2021
IA	TRUSTFIRST INC.	39057	KNOXVILLE, TN	11/29/2010 - 12/31/2019
IA	TRUSTFIRST INC.	39057	KNOXVILLE, TN	04/01/2004 - 10/19/2007

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

Employment 1 of 2

Firm Name: **TRUSTFIRST INC.**
Main Address: 5908 TOOLE DRIVE
SUITE A
KNOXVILLE, TN 37919
Firm ID#: 39057

	Regulator	Registration	Status	Date
B	FINRA	Financial and Operations Principal	Approved	10/27/1995
B	FINRA	General Securities Principal	Approved	10/27/1995
B	FINRA	General Securities Representative	Approved	10/27/1995
B	FINRA	Municipal Securities Principal	Approved	10/27/1995
B	FINRA	Municipal Securities Representative	Approved	10/27/1995
B	FINRA	Registered Options Principal	Approved	10/27/1995
B	FINRA	Compliance Officer	Approved	10/01/2018
B	FINRA	Operations Professional	Approved	10/01/2018
B	Alabama	Agent	Approved	11/25/2015
B	Florida	Agent	Approved	07/30/2010
B	Georgia	Agent	Approved	01/23/1998
B	Illinois	Agent	Approved	12/19/2018
B	Kentucky	Agent	Approved	01/10/1997



Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	07/11/2007
B	Tennessee	Agent	Approved	11/07/1995
IA	Tennessee	Investment Adviser Representative	Approved	03/16/2023
B	Texas	Agent	Approved	10/04/2017
B	Virginia	Agent	Approved	01/12/2016

Branch Office Locations

TRUSTFIRST INC.
5908 TOOLE DRIVE
SUITE A
KNOXVILLE, TN 37919

TRUSTFIRST INC.
5908 Toole Drive
Suite A
KNOXVILLE, TN 37919

Employment 2 of 2

Firm Name: **TRENDZ ADVISORS**
Main Address: 5908 TOOLE DRIVE SUITE A
KNOXVILLE, TN 37919
Firm ID#: 139528

	Regulator	Registration	Status	Date
IA	Tennessee	Investment Adviser Representative	Approved	07/27/2010

Branch Office Locations

TRENDZ ADVISORS
5908 TOOLE DRIVE SUITE A
KNOXVILLE, TN 37919








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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.


Principal/Supervisory Exams

	Exam	Category	Date
	Compliance Officer Examination (S14)	Series 14	01/02/2023
	Registered Options Principal Examination (S4)	Series 4	10/10/1995
	Financial and Operations Principal Examination (S27)	Series 27	09/26/1995
	Municipal Securities Principal Examination (S53)	Series 53	09/26/1995
	General Securities Principal Examination (S24)	Series 24	09/07/1995

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	12/14/1985
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/17/1981

State Securities Law Exams


	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	07/15/2010



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/30/1981

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
IA	08/30/2019 - 06/15/2021	GREENSVIEW WEALTH MANAGEMENT	CRD# 297321	KNOXVILLE, TN
IA	11/29/2010 - 12/31/2019	TRUSTFIRST INC.	CRD# 39057	KNOXVILLE, TN
IA	04/01/2004 - 10/19/2007	TRUSTFIRST INC.	CRD# 39057	KNOXVILLE, TN
B	06/04/1991 - 11/02/1995	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	12/17/1987 - 01/31/1991	FIRST FUNDS, INC.	CRD# 17415	
B	03/28/1985 - 12/22/1987	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	
B	03/19/1981 - 04/12/1984	NEL EQUITY SERVICES CORPORATION	CRD# 615	

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
02/2006 - Present	TRENDZ ADVISORS, INC.	PRESIDENT	Y	KNOXVILLE, TN, United States
10/1995 - Present	TRUSTFIRST	PRESIDENT	Y	KNOXVILLE, TN, United States
07/2019 - 04/2021	GREENSVIEW WEALTH MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	CHICAGO, IL, 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.

TRENDZ ADVISORS, INC., 2006, INVESTMENT ADVISORY FIRM OWNED BY DON TAYLOR, SAME ADDRESS AS TRUSTFIRST, INVESTMENT-RELATED, 20 HRS./MO, INVESTMENT REVIEW & ALLOCATIONS).

NCDG PROPERTIES, LLC (3/2012), DG INCOME PROPERTIES II, LLC (7/2012), (3/2018), MCD HRB, LLC, and Vida Star Properties, LLC., Augusta Papa LLC., Emory Preferred LLC :



Registration & Employment History



OTHER BUSINESS ACTIVITIES

DON TAYLOR IS MANAGER OF THESE LLC'S, SAME ADDRESS AS TRUSTFIRST, INVESTMENT-RELATED, LLC HOLDS REAL ESTATE, 5 HRS/QTR. PER LLC

Insurance Sales; Investment Related; Knoxville, TN; Insurance Agent;3/2013 to present; approximately 40 hours a month during trading hours; sales of various insurance products



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: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 10/02/2013

Docket/Case Number: [2011028909401](#)

Employing firm when activity occurred which led to the regulatory action: TRUSTFIRST INC. DBA TRUSTFIRST

Product Type: No Product

Allegations: FINRA RULE 2010, NASD RULE 3110(A): AT VARIOUS TIMES TAYLOR'S MEMBER FIRM, ACTING THROUGH TAYLOR, CONDUCTED A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN ITS MINIMUM NET CAPITAL REQUIREMENT. THE DEFICIENCY RESULTED FROM THE IMPROPER RECORDING OF A \$30,000 RECEIVABLE AS AN ALLOWABLE ASSET. THE FIRM, ACTING THROUGH TAYLOR, CONTRIBUTED TO THE NET CAPITAL VIOLATION BY IMPROPERLY NETTING ADVANCES, WAGES, AND COMMISSIONS RECEIVED BY REGISTERED REPRESENTATIVES. IN ADDITION, THE FIRM, ACTING THROUGH TAYLOR, FAILED TO PREPARE AND MAINTAIN AN ACCURATE GENERAL LEDGER, TRIAL BALANCE, AND NET CAPITAL COMPUTATION DURING THIS PERIOD. THE INACCURATE NET CAPITAL COMPUTATION ALSO CAUSED THE FIRM, ACTING THROUGH TAYLOR, TO PREPARE AND SUBMIT INACCURATE FINANCIAL AND OPERATIONAL COMBINED UNIFORM SINGLE (FOCUS) PART IIA REPORTS. IN ADDITION, AT VARIOUS TIMES, THE FIRM, ACTING THROUGH TAYLOR, CONDUCTED A SECURITIES BUSINESS WHILE IN NET CAPITAL DEFICIENCY. THESE DEFICIENCIES RESULTED PRIMARILY FROM TRADING LOSSES IN



THE FIRM'S PROPRIETARY ACCOUNT FOLLOWED BY A FAILURE TO INFUSE ADEQUATE CAPITAL. IN CONNECTION WITH THIS, THE FIRM, ACTING THROUGH TAYLOR, ALSO FAILED TO PROVIDE THE REQUIRED NOTICE TO THE SEC AND FINRA OF THE NET CAPITAL DEFICIENCIES. FURTHERMORE, THE FIRM, ACTING THROUGH TAYLOR, CONTINUED TO CONDUCT BUSINESS DURING THE ENTIRE PERIOD, DESPITE THE NET CAPITAL DEFICIENCY.

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:

10/02/2013

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

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?

No

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

(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?

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: 10/09/2013

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, TAYLOR CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS FINED \$5,000. THIS MATTER IS ASSOCIATED WITH FINRA CASE #20120304499. FINE PAID IN FULL 10/09/13.

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Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/06/2013
Docket/Case Number:	2011028909401
Employing firm when activity occurred which led to the regulatory action:	TRUSTFIRST INC.
Product Type:	No Product
Allegations:	DURING PERIODS IN 2011, VIOLATIONS INVOLVED IMPROPER RECORDING OF ALLOWABLE ASSET OF \$30,000 RELATED TO EARNEST MONEY FOR A REG D REAL ESTATE DEAL, FAILURE TO REPORT REQUIRED NOTICE TO THE SEC AND FINRA REGARDING NET CAPITAL VIOLATIONS AND CONTINUING TO CONDUCT BUSINESS DURING THESE PERIODS. TAYLOR WAS FINANCIAL PRINCIPAL OF TRUSTFIRST DURING THIS TIME.
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:	10/02/2013
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:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/09/2013
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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