



IAPD Report

CHARLES EDWARD POLLOCK

CRD# 808742

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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

CHARLES EDWARD POLLOCK (CRD# 808742)

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 **06/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017
IA	MML INVESTORS SERVICES, LLC	CRD# 10409	03/25/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	MSI FINANCIAL SERVICES, INC.	14251	FOSTER CITY, CA	01/02/2015 - 03/25/2017
IA	MSI FINANCIAL SERVICES, INC.	14251	FOSTER CITY, CA	01/02/2015 - 03/25/2017
IA	NEW ENGLAND SECURITIES CORPORATION	615	FOSTER CITY, CA	06/12/2002 - 01/02/2015

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 **25** 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	Direct Participation Programs	Approved	03/25/2017
B	FINRA	Direct Participation Programs Principal	Approved	03/25/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	03/25/2017
B	Arizona	Agent	Approved	03/25/2017
B	California	Agent	Approved	03/25/2017
IA	California	Investment Adviser Representative	Approved	03/25/2017
B	Colorado	Agent	Approved	11/06/2018
B	Connecticut	Agent	Approved	01/09/2018
B	District of Columbia	Agent	Approved	02/20/2024
B	Florida	Agent	Approved	03/25/2017
B	Hawaii	Agent	Approved	03/25/2017
B	Idaho	Agent	Approved	03/25/2017
B	Indiana	Agent	Approved	03/25/2017



Qualifications

	Regulator	Registration	Status	Date
B	Iowa	Agent	Approved	01/09/2025
B	Maryland	Agent	Approved	09/19/2024
B	Montana	Agent	Approved	03/25/2017
B	Nevada	Agent	Approved	09/16/2024
B	New York	Agent	Approved	04/15/2025
B	North Carolina	Agent	Approved	03/25/2017
B	Oregon	Agent	Approved	03/25/2017
B	Rhode Island	Agent	Approved	09/13/2024
B	South Carolina	Agent	Approved	08/29/2019
B	South Dakota	Agent	Approved	06/25/2026
B	Tennessee	Agent	Approved	04/15/2025
B	Texas	Agent	Approved	10/28/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	10/29/2021
B	Utah	Agent	Approved	03/22/2019
B	Washington	Agent	Approved	03/25/2017
B	Wisconsin	Agent	Approved	06/06/2022
B	Wyoming	Agent	Approved	03/07/2018

Branch Office Locations

MML INVESTORS SERVICES, LLC



Qualifications

555 Twin Dolphin Dr
Ste 320
Redwood City, CA 94065



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 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	Direct Participation Programs Principal Examination (S39)	Series 39	11/05/1985

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Registered Representative Examination (S1)	Series 1	06/05/1975

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	01/02/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	FOSTER CITY, CA
IA	01/02/2015 - 03/25/2017	MSI FINANCIAL SERVICES, INC.	CRD# 14251	FOSTER CITY, CA
IA	06/12/2002 - 01/02/2015	NEW ENGLAND SECURITIES CORPORATION	CRD# 615	FOSTER CITY, CA
B	11/24/1987 - 01/02/2015	NEW ENGLAND SECURITIES	CRD# 615	FOSTER CITY, CA
B	03/05/1985 - 01/20/1995	POLLOCK FINANCIAL CORPORATION	CRD# 15506	
B	06/09/1975 - 01/21/1986	PENN MUTUAL EQUITY SERVICES, INC.	CRD# 4031	
B	10/13/1983 - 04/25/1985	THE POLLOCK REALTY CORPORATION	CRD# 14039	

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
03/2017 - Present	MML INVESTORS SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	REDWOOD CITY, CA, United States
07/2016 - Present	MASSMUTUAL LIFE INSURANCE CO	AGENT	Y	REDWOOD CITY, CA, United States
04/1982 - Present	TED POLLOCK CORPORATION	PRESIDENT - PRESIDENT	N	FOSTER CITY, CA, United States
01/2015 - 03/2017	METLIFE SECURITIES INC.	Mass Transfer	Y	FOSTER CITY, CA, 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: Charles (Ted) Pollock Inv rel: Y Add: 555 Twin Dolphin Dr, Ste 320, Redwood City, CA 94065 Nature: Individual life, Health, Group Life, Group Health, Disability Position: Agent Start date:01/1973 No. HR/MO: 4 No. HR/MO during sec trading: 4
(2)Name: Ted Pollock Corporation Inv rel: Y Add: At Residential Address Nature/Duties: Owner of corporation for pass through



Registration & Employment History



OTHER BUSINESS ACTIVITIES

compensation Position: Owner Start date: 04/01/2026 No. HR/MO: 30 No. HR/MO during sec trading: 30



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*.
 - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - o 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*.
 - o 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.
 - o 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.
 - o 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:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/01/1988
Docket/Case Number:	SF-1241 AWC
Employing firm when activity occurred which led to the regulatory action:	POLLOCK FINANCIAL CORPORATION
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/01/1988
Sanctions Ordered:	Censure Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	
Regulator Statement	ON AUGUST 1, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT



NO. SF-1241-AWC (DISTRICT NO. 2N) SUBMITTED BY RESPONDENTS POLLOCK FINANCIAL CORPORATION, JAMES MOORE POLLOCK AND CHARLES EDWARD POLLOCK WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$2,500.00, JOINTLY AND SEVERALLY (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - FAILED TO MAINTAIN MINIMUM REQUIRED NET CAPITAL; AND, FAILED TO REFLECT LOANS GUARANTEED BY THE FIRM AS AGGREGATE INDEBTEDNESS LIABILITIES ON ITS FINANCIAL STATEMENTS FOR THE PERIOD OF APRIL, 1986 TO 1987).

*****\$2,500 FINE & COST PAID J&S 10/11/88 - DEPOSIT #129*****

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Reporting Source:	Individual
Regulatory Action Initiated By:	DISTRICT BUSINESS CONDUCT COMMITTEE FOR DISTRICT 2N*SEE FAQ #1*
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	08/01/1988
Docket/Case Number:	SF-1241 AWC
Employing firm when activity occurred which led to the regulatory action:	POLLOCK FINANCIAL CORPORATION
Product Type:	
Other Product Type(s):	
Allegations:	SEE ATTACHMENT SHEET WHICH FOLLOWS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	08/01/1988
Sanctions Ordered:	Censure Monetary/Fine \$2,500.00
Other Sanctions Ordered:	
Sanction Details:	PAYMENT OF A \$2,500 (JOINTLY AND SEVERALLY WITH POLLOCK FINANCIAL CORPORATION AND JAMES M. POLLOCK).
Broker Statement	SEE ATTACHMENT SHEET WHICH FOLLOWS. POLLOCK WAS ALLEGED TO HAVE BEEN IN VIOLATION OF SEC RULE 17A-3, AND, AS A RESULT, PFC'S OCTOBER 2, 1987 NET CAPITAL WAS BELOW ITS MINIMUM REQUIREMENT, IN VIOLATION OF SEC RULE 15C3-1. (004231 12889).



End of Report

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