



## IAPD Report

# JOHN MARTIN COLLINS III

CRD# 841617

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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

### JOHN MARTIN COLLINS III (CRD# 841617)

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 **11/17/2025**.

### CURRENT EMPLOYERS

|    | Firm                                 | CRD#        | Registered Since |
|----|--------------------------------------|-------------|------------------|
| IA | INFINITY FINANCIAL SERVICES ADVISORY | CRD# 304981 | 01/04/2023       |

### 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  | INFINITY FINANCIAL SERVICES          | 144302 | Madison, CT | 12/13/2022 - 11/17/2025 |
| IA | INFINITY FINANCIAL SERVICES ADVISORY | 304981 | Madison, CT | 01/19/2021 - 05/12/2021 |
| B  | INFINITY FINANCIAL SERVICES          | 144302 | Madison, CT | 04/04/2016 - 05/12/2021 |

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     |
| Customer Dispute | 1     |
| Termination      | 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: **INFINITY FINANCIAL SERVICES ADVISORY**

Main Address: 212 9TH STREET  
SUITE 202  
OAKLAND, CA 94607

Firm ID#: 304981

| Regulator      | Registration                      | Status   | Date       |
|----------------|-----------------------------------|----------|------------|
| IA Connecticut | Investment Adviser Representative | Approved | 01/04/2023 |

#### Branch Office Locations

##### **INFINITY FINANCIAL SERVICES ADVISORY**

Madison, CT



## 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 1 state securities law exam.**

#### Principal/Supervisory Exams

| Exam                     | Category | Date |
|--------------------------|----------|------|
| No information reported. |          |      |

#### General Industry/Product Exams

| Exam   | Category   | Date       |
|--|------------|------------|
| B Investment Company Products/Variable Contracts Representative Examination (S6TO) | Series 6TO | 01/02/2023 |
| B Securities Industry Essentials Examination (SIE)                                 | SIE        | 10/01/2018 |
| B Registered Representative Examination (S1)                                       | Series 1   | 08/11/1977 |

#### State Securities Law Exams

| Exam   | Category  | Date       |
|--|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 09/06/1985 |

### 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  | 12/13/2022 - 11/17/2025 | INFINITY FINANCIAL SERVICES          | CRD# 144302 | Madison, CT       |
| IA | 01/19/2021 - 05/12/2021 | INFINITY FINANCIAL SERVICES ADVISORY | CRD# 304981 | Madison, CT       |
| B  | 04/04/2016 - 05/12/2021 | INFINITY FINANCIAL SERVICES          | CRD# 144302 | Madison, CT       |
| IA | 04/01/2016 - 12/31/2020 | INFINITY FINANCIAL SERVICES          | CRD# 144302 | Madison, CT       |
| B  | 01/02/2015 - 01/15/2016 | METLIFE SECURITIES INC.              | CRD# 14251  | WEST HARTFORD, CT |
| IA | 01/02/2015 - 12/31/2015 | METLIFE SECURITIES INC.              | CRD# 14251  | WEST HARTFORD, CT |
| IA | 01/02/2002 - 01/02/2015 | NEW ENGLAND SECURITIES CORPORATION   | CRD# 615    | WEST HARTFORD, CT |
| B  | 08/22/1977 - 01/02/2015 | NEW ENGLAND SECURITIES               | CRD# 615    | WEST HARTFORD, CT |

### 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 | Infinity Financial Services Advisory | Financial Advisor | Y                  | Oakland, CA, United States |
| 03/2016 - 11/2025 | Infinity Financial Services          | FINANCIAL ADVISOR | Y                  | Oakland, CA, United States |
| 01/2016 - 03/2016 | Unemployed                           | Unregistered      | N                  | Madison, CT, 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.

Collins Associates Fixed Insurance Business: INDEPENDENT INSURANCE AGENT DISABILITY, FIXED ANNUITIES, LIFE/ACCIDENT/HEALTH, LONG-TERM CARE FROM BUSINESS ADDRESS FOR 5HRS/WK & 3HRS EVENING &



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

WEEKENDS SINCE 1976, 36 White Cedar Dr. Madison, CT 06443.

Life Insurance Sales: Group LTD + Group Life, Term UL Whole Life, Index UL, LTC Fixed Annuity. Not investment related. 10% time spent per week & 1/2HR devoted during trading hours. 36 White Cedar Dr. Madison, CT 06443.



## 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     |
| Customer Dispute | 1     |
| Termination      | 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

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Individual   |
| <b>Regulatory Action Initiated By:</b>   | New Jersey Department of Banking and Insurance   |
| <b>Sanction(s) Sought:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Suspension  |
| <b>Date Initiated:</b>   | 04/16/2021   |
| <b>Docket/Case Number:</b>   | BKI 09327-2021N  |
| <b>Employing firm when activity occurred which led to the regulatory action:</b> | Met Life   |
| <b>Product Type:</b>   | Annuity-Fixed  |
| <b>Allegations:</b>  | Mr. Collins may have violated various provision of the insurance laws of the state of New Jersey. Allegations include: Count One: Violation of N.J.S.A. 17:22A-40(a)(2) and (12) during August 2008, September 2008, March 2009 and August 2009 regarding sale of annuities being improper and prohibited for accepting business from someone who was not licensed as an insurance producer. Count Two: Violation of N.J.S.A. I 7:22A-40(a)(2) and N.J.A.C. 11 :17B-2. I(a) regarding paying compensation for solicitation to someone who was not licensed as an insurance producer. Count Three: Violation of N.J.S.A. I 7:22A-40(a)(2), (7), (8) and (16) and N.J.A.C. 1 I:17A-4.2 regarding submission of applications which contained false and misleading material. Count Four: Violation of N .J .S.A. 17 :22A-40(a)(2), (7), (8) and (16) and N.J.A.C. 11: 17 A-4.1 O regarding authorizing transfers of funds between accounts with no |



authorization, knowledge or consent. Count Five: Violation of N.J.S.A. 17:22A-40(a)(2) and N.J.A.C. 11: 17 A-4.8 regarding failure to provide information or documents requested in connection to annuity transactions.

|   |   |
|---|---|
| <b>Current Status:</b>  | On Appeal   |
| <b>ActionAppealed To:</b>   | State Agency or Commission  |
| <b>Date Appeal filed:</b>   | 07/18/2025  |
| <b>Appeal Limitation Details:</b>   | A final decision issued on June 5, 2025 memorialized by the NJ Department of Banking Insurance Commissioner included revocation of Mr. Collin's NJ Insurance license. |
| <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>   | 06/05/2025  |
| <b>Sanctions Ordered:</b>   | Civil and Administrative Penalty(ies)/Fine(s)<br>Monetary Penalty other than Fines<br>Revocation<br>Other: N/A  |
| <b>Monetary Sanction 1 of 2</b>   |   |
| <b>Monetary Related Sanction:</b>   | Monetary Penalty other than Fines   |
| <b>Total Amount:</b>  | \$550.00  |
| <b>Portion Levied against individual:</b>   | \$550.00  |
| <b>Payment Plan:</b>  |   |
| <b>Is Payment Plan Current:</b>   |   |
| <b>Date Paid by individual:</b>   |   |
| <b>Was any portion of penalty waived?</b>   | No  |
| <b>Amount Waived:</b>   |   |
| <b>Monetary Sanction 2 of 2</b>   |   |
| <b>Monetary Related Sanction:</b>   | Civil and Administrative Penalty(ies)/Fine(s)   |
| <b>Total Amount:</b>  | \$22,500.00   |
| <b>Portion Levied against individual:</b>   | \$22,500.00   |
| <b>Payment Plan:</b>  |   |
| <b>Is Payment Plan Current:</b>   |   |
| <b>Date Paid by individual:</b>   |   |
| <b>Was any portion of penalty waived?</b>   | No  |
| <b>Amount Waived:</b>   |   |

**Broker Statement**

The state of New Jersey alleged that Mr. Collins violated rules and regulations by paying a finders fee and compensation to someone who was not licensed in the state of New Jersey. The alleged unlicensed person was Jack's Brother (Kevin Collins). Kevin was licensed intermittently over the course of 27 years. and was licensed, which is pertinent to the order to show cause. This order to show cause was dismissed with prejudice after judicial review. The Initial Decision of dismissal was issued on December 14, 2022 but an Order or Remand was issued on January 23, 2023. A new summary judgement was issued on January 23, 2025 with a new final decision issued on June 5, 2025. While the order included revocation of Mr. Collins' New Jersey insurance license, he voluntarily has not renewed this license since 2018. This final decision is on appeal by Mr. Collins.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

|  |   |
|--|---|
| <b>Reporting Source:</b>   | Individual  |
| <b>Employing firm when activities occurred which led to the complaint:</b> | METLIFE   |
| <b>Allegations:</b>  | REGISTERED REPRESENTATIVE DID NOT FOLLOW FIRM POLICY WITH RESPECT TO THE SALE OF INDEXED ANNUITIES OF THE ENTERPRISE GENERAL AGENCY.<br><br>REGISTERED REPRESENTATIVE ALONG WITH NEW ENGLAND FINANCIAL GROUP, LLC; WERE NAMED IN TWO COUNTS: VICARIOUS LIABILITY AND NEGLIGENT SUPERVISION. |
| <b>Product Type:</b>   | Annuity-Fixed   |
| <b>Alleged Damages:</b>  | \$600,000.00  |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | VICARIOUSLY NAMED   |
| <b>Is this an oral complaint?</b>  | No  |
| <b>Is this a written complaint?</b>  | No  |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | Yes   |
| <b>Arbitration/Reparation forum or court name and location:</b>            | SUPERIOR COURT UNION COUNTY   |
| <b>Docket/Case #:</b>  | UNN L -003826 15  |
| <b>Filing date of arbitration/CFTC reparation or civil litigation:</b>     | 11/12/2015  |

## Customer Complaint Information

|  |              |
|--|--------------|
| <b>Date Complaint Received:</b>        | 11/23/2015   |
| <b>Complaint Pending?</b>              | No           |
| <b>Status:</b>                         | Settled      |
| <b>Status Date:</b>                    | 02/06/2017   |
| <b>Settlement Amount:</b>              | \$530,000.00 |
| <b>Individual Contribution Amount:</b> | \$90,000.00  |

## Civil Litigation Information

|                       |             |
|-----------------------|-------------|
| <b>Type of Court:</b> | State Court |
|-----------------------|-------------|



|  |   |
|--|---|
| <b>Name of Court:</b>                  | SUPERIOR COURT OF NEW JERSEY  |
| <b>Location of Court:</b>              | UNION COUNTY  |
| <b>Docket/Case #:</b>                  | UNN-L-3826-15   |
| <b>Date Notice/Process Served:</b>     | 11/23/2015  |
| <b>Litigation Pending?</b>             | No  |
| <b>Disposition:</b>                    | Settled   |
| <b>Disposition Date:</b>               | 02/06/2017  |
| <b>Monetary Compensation Amount:</b>   | \$530,000.00  |
| <b>Individual Contribution Amount:</b> | \$90,000.00   |
| <b>Broker Statement</b>                | <p>The transaction at issue was orchestrated by another individual who pleaded guilty to criminal charges brought against him in relation to the transaction. I was not alleged to have committed any criminal conduct, nor were charges of any type ever brought against me. I did not knowingly participate in or facilitate any alleged wrongdoing, and faithfully followed all of the firm's policies. I contributed nominally to the settlement made to the client in this case in lieu of incurring attorneys' fees. I have heretofore had an exemplary record in the securities industry, and I regret that this transaction was introduced to me.</p> |



## Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

### **Disclosure 1 of 1**

**Reporting Source:** Firm  
**Firm Name:** MetLife  
**Termination Type:** Discharged  
**Termination Date:** 12/15/2015  
**Allegations:** Registered Representative did not follow firm policy with respect to the sale of indexed annuities outside of the Enterprise General Agency.  
**Product Type:** Other: Indexed Annuities

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**Reporting Source:** Individual  
**Firm Name:** MetLife  
**Termination Type:** Discharged  
**Termination Date:** 12/15/2015  
**Allegations:** REGISTERED REPRESENTATIVE DID NOT FOLLOW FIRM POLICY WITH RESPECT TO THE SALE OF INDEXED ANNUITIES OUTSIDE OF THE ENTERPRISE GENERAL AGENCY.  
**Product Type:** Annuity-Fixed



## End of Report

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