

BrokerCheck Report

JEFF DUANE MARTIN

CRD# 1435507

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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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

JEFF D. MARTIN

CRD# 1435507

Currently employed by and registered with the following Firm(s):**IA LPL FINANCIAL LLC**

4848 SW 21ST ST, STE 101
TOPEKA, KS 66604
CRD# 6413

Registered with this firm since: 07/21/2021

B LPL FINANCIAL LLC

4848 SW 21ST ST, STE 101
TOPEKA, KS 66604
CRD# 6413

Registered with this firm since: 07/21/2021

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 22 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 3 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):****IA WADDELL & REED**

CRD# 866
OVERLAND PARK, KS
12/2001 - 07/2021

B WADDELL & REED

CRD# 866
TOPEKA, KS
06/2001 - 07/2021

B PRUCO SECURITIES CORPORATION

CRD# 5685
NEWARK, NJ
03/1986 - 03/2001

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

| Type | Count |
|------------------|-------|
| Customer Dispute | 3 |
| Termination | 1 |

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 22 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

| SRO | Category | Status | Date |
|---|--|----------|------------|
| B FINRA | General Securities Principal | Approved | 07/21/2021 |
| B FINRA | General Securities Representative | Approved | 07/21/2021 |
| B FINRA | Invest. Co and Variable Contracts | Approved | 07/21/2021 |
| B FINRA | Investment Co./Variable Contracts Prin | Approved | 07/21/2021 |

| U.S. State/ Territory | Category | Status | Date |
|---|-----------------------------------|----------|------------|
| B Alabama | Agent | Approved | 09/03/2021 |
| B Arizona | Agent | Approved | 07/21/2021 |
| B California | Agent | Approved | 07/21/2021 |
| B Colorado | Agent | Approved | 07/21/2021 |
| B Florida | Agent | Approved | 07/21/2021 |
| B Kansas | Agent | Approved | 07/21/2021 |
| IA Kansas | Investment Adviser Representative | Approved | 07/21/2021 |
| B Massachusetts | Agent | Approved | 07/21/2021 |
| B Missouri | Agent | Approved | 07/21/2021 |

Broker Qualifications



Employment 1 of 1, continued

| U.S. State/ Territory | Category | Status | Date |
|-----------------------|-----------------------------------|---------------------|------------|
| B Nebraska | Agent | Approved | 07/21/2021 |
| B Nevada | Agent | Approved | 07/21/2021 |
| B New Mexico | Agent | Approved | 01/17/2022 |
| B New York | Agent | Approved | 07/21/2021 |
| B North Carolina | Agent | Approved | 07/21/2021 |
| B North Dakota | Agent | Approved | 03/19/2024 |
| B Ohio | Agent | Approved | 07/21/2021 |
| B Oregon | Agent | Approved | 07/21/2021 |
| B Rhode Island | Agent | Approved | 07/21/2021 |
| B South Carolina | Agent | Approved | 07/21/2021 |
| IA South Carolina | Investment Adviser Representative | Approved | 07/21/2021 |
| B South Dakota | Agent | Approved | 06/06/2023 |
| B Tennessee | Agent | Approved | 09/11/2025 |
| B Texas | Agent | Approved | 07/21/2021 |
| IA Texas | Investment Adviser Representative | Restricted Approval | 07/21/2021 |
| B Virginia | Agent | Approved | 07/21/2021 |

Branch Office Locations

LPL FINANCIAL LLC
 4848 SW 21ST ST, STE 101
 TOPEKA, KS 66604

Broker Qualifications



Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 2 principal/supervisory exams, 3 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
| General Securities Principal Examination | Series 24 | 08/27/2001 |
| Investment Company Products/Variable Contracts Principal Examination | Series 26 | 02/04/1992 |

General Industry/Product Exams

| Exam | Category | Date |
|---|----------|------------|
| Securities Industry Essentials Examination | SIE | 10/01/2018 |
| General Securities Representative Examination | Series 7 | 10/18/2000 |
| Investment Company Products/Variable Contracts Representative Examination | Series 6 | 03/13/1986 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Combined State Law Examination | Series 66 | 10/31/2001 |
| Uniform Investment Adviser Law Examination | Series 65 | 12/27/1999 |
| Uniform Securities Agent State Law Examination | Series 63 | 12/18/1985 |

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

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

Chartered Financial Consultant

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>

Registration and Employment History



Registration History

The broker previously was registered with the following firms:

| Registration Dates | Firm Name | CRD# | Branch Location |
|----------------------|---|------|-----------------|
| IA 12/2001 - 07/2021 | WADDELL & REED | 866 | TOPEKA, KS |
| B 06/2001 - 07/2021 | WADDELL & REED | 866 | TOPEKA, KS |
| B 03/1986 - 03/2001 | PRUCO SECURITIES CORPORATION | 5685 | NEWARK, NJ |
| B 03/1986 - 12/1993 | THE PRUDENTIAL INSURANCE COMPANY OF AMERICA | 680 | NEWARK, NJ |

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

| Employment | Employer Name | Position | Investment Related | Employer Location |
|-------------------|---|-------------------|--------------------|---------------------------|
| 07/2021 - Present | LPL FINANCIAL LLC | Financial Advisor | Y | TOPEKA, KS, United States |
| 02/2019 - 07/2021 | ARROWEALTH FINANCIAL LLC | DIRECTOR | Y | TOPEKA, KS, United States |
| 04/2012 - 07/2021 | SALES & MARKETING EXECUTIVES OF TOPEKA | BOARD MEMBER | N | TOPEKA, KS, United States |
| 02/2002 - 07/2021 | VARIOUS INSURANCE CARRIERS FOR W & R INSURANCE AGENCIES | INSURANCE AGENT | Y | TOPEKA, KS, United States |
| 05/2001 - 07/2021 | WADDELL & REED, INC. | ASSOCIATED PERSON | Y | TOPEKA, KS, United States |
| 09/2014 - 05/2021 | TOPEKA BLUES SOCIETY | 2014 BOARD MEMBER | N | TOPEKA, KS, United States |
| 01/2018 - 05/2019 | C7J INC | PRESIDENT | N | TOPEKA, KS, United States |
| 04/2015 - 09/2018 | TOP OF THE TOWER INC | BOARD MEMBER | N | TOPEKA, KS, United States |

Registration and Employment History



Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) 02/16/2019 - Business Entity For Tax/Investment Purposes Only / ArroWealth Financial, LLC / Not Investment Related / 0Hrs/Mo / Topeka, KS 66604
- 2) 02/16/2019 - DBA for LPL Business (entity for LPL business) / ArroWealth Financial, LLC / Investment Related / 0Hrs/Mo / Topeka, KS 66604
- 3) 12/08/2025 - CJ7 LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Topeka, KS - Start Date 12/08/2025 - 4 hours per month/ 0 hours during trading

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

| | Pending | Final | On Appeal |
|------------------|---------|-------|-----------|
| Customer Dispute | 0 | 3 | N/A |
| Termination | N/A | 1 | N/A |



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES, LLC.
Allegations: REGARDING THE 2001 PURCHASE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN AND SUITABILITY.

Product Type: Insurance
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/21/2008

Complaint Pending? No

Status: Settled

Status Date: 11/20/2008

Settlement Amount: \$162,089.80

Individual Contribution Amount: \$0.00

Firm Statement THIS MATTER IS BEING REPORTED CONSISTENT WITH FINRA RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY BY THIS FILING MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES INC.
Allegations: REGARDING THE 2001 PURCHASE OF A VARIABLE UNIVERSAL LIFE INSURANCE POLICY. THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN AND SUITABILITY
Product Type: Insurance
Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 05/21/2008

Complaint Pending? No

Status: Settled

Status Date: 11/20/2008

Settlement Amount: \$162,089.80

Individual Contribution Amount: \$0.00

Broker Statement THE MATTER IS BEING REPORTED CONSISTENT WITH FINRA RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS. THE COMPANY (PRUCO SECURITIES) MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

Disclosure 2 of 3

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: PRUCO SECURITIES
Allegations: PLAINTIFFS [CUSTOMERS] ALLEGE FRAUD AGAINST DEFENDANT MARTIN IN CONNECTION WITH THE SALE OF LIFE INSURANCE POLICIES AND ALLEGES COMPENSATORY DAMAGES AND PUNITIVE DAMAGES IN EXCESS OF \$100,000.00
Product Type: Insurance

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 06/05/2001**Complaint Pending?** No**Status:** Litigation**Status Date:** 06/05/2001**Settlement Amount:****Individual Contribution****Amount:****Civil Litigation Information****Court Details:** CIRCUIT COURT, FORTY-FIRST JUDICIAL CIRCUIT, MACON COUNTY, MISSOURI #CV101-91CC**Date Notice/Process Served:** 06/05/2001**Litigation Pending?** No**Disposition:** Settled**Disposition Date:** 06/13/2002**Monetary Compensation**
Amount: \$281,135.00**Individual Contribution**
Amount: \$0.00**Reporting Source:** Broker**Employing firm when**
activities occurred which led
to the complaint: PRUDENTIAL**Allegations:** CLASS ACTION LAW SUIT INVOLVED FIVE FAMILIES IN SAME TOWN WITH DIFFERENT AGENTS WHERE I AM THE SUPERVISOR.**Product Type:** Mutual Fund(s)**Other Product Type(s):** VARIABLE UNIVERSAL LIFE**Alleged Damages:** \$200,000.00**Customer Complaint Information**



Date Complaint Received: 05/07/2001

Complaint Pending? No

Status: Litigation

Status Date: 05/07/2001

Settlement Amount:

Individual Contribution

Amount:

Civil Litigation Information

Court Details: CASE NO. CV 101-91CC
IN THE CIRCUIT COURT, FORTY-FIRST JUDICIAL CIRCUIT, MACON COUNTY,
MISSOURI.

Date Notice/Process Served: 07/11/2001

Litigation Pending? No

Disposition: Settled

Disposition Date: 06/13/2002

Monetary Compensation Amount: \$281,135.00

Individual Contribution Amount: \$0.00

Broker Statement PRUDENTIAL UPDATED THE FORM U5 FOR RR ON NOVEMBER 16, 2005,
ALERTING RR TO UPDATE HIS FORM U4.

Disclosure 3 of 3

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: THE PRUDENTIAL

Allegations: ALLEGED SHE WAS TOLD POLICY WOULD RETIRE BEFORE SHE DID. RR WAS NOT SELLING AGENT, BUT DID ASSIST IN CASE.

Product Type: Insurance

Alleged Damages: \$16,000.00

Is this an oral complaint? No



Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 04/30/2001

Complaint Pending? No

Status: Settled

Status Date: 10/30/2001

Settlement Amount: \$17,500.38

Individual Contribution Amount: \$0.00

Broker Statement IN AN ATTEMPT TO CLEAN-UP THIS ITEM, RR CONTACTED PRUCO, WHO WAS UNABLE TO LOCATE THE COMPLAINT FILE AND HAD NEVER DISCLOSED THIS MATTER ON THE RR'S U5. DATE OF SETTLEMENT IS APPROXIMATE AS RR IS UNABLE TO VERIFY THE DATE.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Broker
Employer Name: PRUCO SECURITIES CORPORATION
Termination Type: Voluntary Resignation
Termination Date: 03/02/2001
Allegations: BUSINESS CARDS WITH DESIGNATIONS THAT HAD NOT BEEN RECEIVED YET.
Product Type: No Product
Other Product Types:
Broker Statement VOLUNTARY RESIGNATION. RESIGNATION AND THIS INCIDENT ARE NOT RELATED. I HAD BEEN SEARCHING FOR A DIFFERENT CAREER PATH.

End of Report



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