BrokerCheck Report

TREVOR KANE MATHES

CRD# 1977443

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our investor alert on imposters.

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.
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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.

TREVOR K. MATHES

CRD# 1977443

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

This broker was previously registered with the following securities firm(s):

B **WOODMEN FINANCIAL SERVICES, INC.**
CRD# 117365
BRISTOL, TN
02/2016 - 10/2018

B **ALLSTATE FINANCIAL SERVICES, LLC**
CRD# 18272
BRISTOL, TN
09/2011 - 02/2016

B **INVESTORS CAPITAL CORP.**
CRD# 30613
BRISTOL, TN
01/1993 - 09/2011

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
Financial	1
Judgment/Lien	1

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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 broker is not currently registered.

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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.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	06/01/1994

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	General Securities Representative Examination	Series 7	04/29/1993
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	08/29/1989

State Securities Law Exams

Exam		Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	11/30/1995
B	Uniform Securities Agent State Law Examination	Series 63	06/04/1990

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/.

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Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

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Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates		Firm Name	CRD#	Branch Location
B	02/2016 - 10/2018	WOODMEN FINANCIAL SERVICES, INC.	117365	BRISTOL, TN
B	09/2011 - 02/2016	ALLSTATE FINANCIAL SERVICES, LLC	18272	BRISTOL, TN
B	01/1993 - 09/2011	INVESTORS CAPITAL CORP.	30613	BRISTOL, TN
B	12/1991 - 01/1993	FINANCIAL SECURITIES NETWORK,INC.	16153	
B	03/1990 - 12/1991	NAP FINANCIAL CORPORATION	16023	IRVINE, CA
B	10/1989 - 03/1990	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ
B	10/1989 - 03/1990	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
02/2016 - Present	WOODMEN FINANCIAL SERVICES, INC.	FINANCIAL REPRESENTATIVE	Y	OMAHA, NE, United States
12/2015 - Present	WOODMEN OF THE WORLD LIFE INSURANCE SOCIETY	REPRESENTATIVE	N	OMAHA, NE, United States
09/2011 - 02/2016	ALLSTATE INSURANCE CO	AGENT	N	BRISTOL, TN, United States

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.

WOODMEN OF THE WORLD LIFE INSURANCE SOCIETY, DECEMBER 2015 TO PRESENT. WOODMEN INSURANCE AGENCY, JANUARY 2016 TO PRESENT. REPRESENTATIVE. 1241 VOLUNTEER PKWY, SUITE 230, BRISTOL, TN 37620.

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Registration and Employment History

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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:**
   - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
   - 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.
   -
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - 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.
   -
4. **There are different statuses and dispositions for disclosure events:**
   - 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.
   - 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
Financial	0	1	N/A
Judgment/Lien	1	N/A	N/A

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Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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:	INVESTORS CAPITAL CORP.
Allegations:	CLAIMANT ALLEGES, MORE THAN 8 YEARS AFTER THE FACT, THAT HER 2004 INVESTMENT IN BEHRINGER HARVARD REIT I WAS UNSUITABLE.
Product Type:	Real Estate Security
Alleged Damages:	$157,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03936
Filing date of arbitration/CFTC reparation or civil litigation:	11/09/2012

Customer Complaint Information

Date Complaint Received: 02/13/2013

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Complaint Pending?	No
Status:	Settled
Status Date:	08/29/2014
Settlement Amount:	$125,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	CLAIMANT ALLEGES THAT HER 2004 INVESTMENT IN BEHRINGER HARVARD REIT I WAS UNSUITABLE
Product Type:	Real Estate Security
Alleged Damages:	$157,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03936
Filing date of arbitration/CFTC reparation or civil litigation:	01/03/2013

Customer Complaint Information

Date Complaint Received:	03/01/2013
Complaint Pending?	No
Status:	Settled
Status Date:	09/08/2014
Settlement Amount:	$125,000.00

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Individual Contribution Amount:	$0.00

Disclosure 2 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	SOME 6 TO 8 YEARS AFTER ELECTING TO MAKE TWO INVESTMENTS, CLIENT NOW CLAIMS THAT THOSE INVESTMENTS WERE UNSUITABLE.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$215,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03530
Filing date of arbitration/CFTC reparation or civil litigation:	10/01/2012

Customer Complaint Information

Date Complaint Received:	11/19/2012
Complaint Pending?	No
Status:	Settled
Status Date:	11/27/2013
Settlement Amount:	$106,000.00
Individual Contribution Amount:	$0.00

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Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	INVESTORS CAPITAL CORP.
Allegations:	SOME 6 TO 8 YEARS AFTER ELECTING TO MAKE TO INVESTMENTS, CLIENT NOW CLAIMS THAT THOSE INVESTMETNS WERE UNSUITABLE.
Product Type:	Equipment Leasing Real Estate Security
Alleged Damages:	$215,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-03530
Filing date of arbitration/CFTC reparation or civil litigation:	10/01/2012

Customer Complaint Information

Date Complaint Received:	12/17/2012
Complaint Pending?	No
Status:	Settled
Status Date:	11/27/2013
Settlement Amount:	$106,000.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	ICC

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Allegations:	CLAIMANTS ALLEGE UNSUITABLE RECOMMENDATIONS RELATIVE TO INVESTMENTS MADE IN 2000. NO COMPENSATORY DAMAGES ARE SPECIFIED IN THE STATEMENT OF CLAIM.
Product Type:	Mutual Fund(s)
Alleged Damages:	$0.00

Customer Complaint Information

Date Complaint Received:	02/26/2007
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/26/2007
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD CASE # 07-00453
Date Notice/Process Served:	02/26/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	09/22/2008
Monetary Compensation Amount:	$5,000.00
Individual Contribution Amount:	$5,000.00
Broker Statement	DESPITE THE LACK OF MERIT OF CLAIMANT'S ALLEGATIONS, AND WITHOUT ADMITTING ANY WRONGDOING, THIS MATTER WAS SETTLED FOR A NOMINAL AMOUNT REPRESENTING ITS NUISANCE VALUE AND IN CONSIDERATION OF THE TIME AND EXPENSE ASSOCIATED WITH CONTINUED LITIGATION.

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Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	01/27/2017
Organization Name:	N/A
Individual Position:	N/A
Organization Investment-Related?	No
Type of Court:	Federal Court
Name of Court:	EASTERN DISTRICT TENNESSEE
Location of Court:	GREENVILLE, TN
Docket/Case #:	17-50117EDT
Action Pending?	No
Disposition:	Discharged
Disposition Date:	05/11/2017

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Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$140,000.00
Judgment/Lien Type:	Tax
Date Filed with Court:	04/27/2018
Date Individual Learned:	05/14/2018
Type of Court:	COUNTY COURT
Name of Court:	SULLIVAN COUNTY COURT
Location of Court:	SULLIVAN COUNTY, TENNESSEE
Docket/Case #:	26-190-56
Judgment/Lien Outstanding?	Yes
Broker Statement	LIEN WAS FILED BY IRS PENDING APPEAL AND RESOLUTION OF DEBT. MATTER IS A RESULT OF LOAN FORGIVENESS THAT WE DID NOT REPORT AS INCOME. CASE IS CURRENTLY UNDER REVIEW.

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End of Report

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