

BrokerCheck Report
Alan Henry Blank
CRD# 23169

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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.

**Alan H. Blank**

CRD# 23169

Currently employed by and registered with the following Firm(s):

- B THE LEADERS GROUP, INC.**
 475 Springfield Ave
 Summit, NJ 07901
 CRD# 37157
 Registered with this firm since: 01/03/2020

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
- 1 U.S. state or territory

This broker has passed:

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

Registration History

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

- B BLUEROCK CAPITAL MARKETS LLC**
 CRD# 136974
 Encino, CA
 10/2016 - 02/2020
- B INFINEX INVESTMENTS, INC.**
 CRD# 35371
 ENCINO, CA
 01/2004 - 10/2016
- B SECURITY DISTRIBUTORS, INC.**
 CRD# 3336
 TOPEKA, KS
 04/2003 - 03/2004

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
Regulatory Event	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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **THE LEADERS GROUP, INC.**

Main Office Address: **475 SPRINGFIELD AVE
SUMMIT, NJ 07901**

Firm CRD#: **37157**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/03/2020
B	FINRA	General Securities Representative	Approved	01/03/2020

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/03/2020

Branch Office Locations

THE LEADERS GROUP, INC.

475 Springfield Ave
Summit, NJ 07901



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	07/23/1982

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	09/01/1972

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/07/1986

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 **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 10/2016 - 02/2020	BLUEROCK CAPITAL MARKETS LLC	136974	Encino, CA
B 01/2004 - 10/2016	INFINEX INVESTMENTS, INC.	35371	ENCINO, CA
B 04/2003 - 03/2004	SECURITY DISTRIBUTORS, INC.	3336	TOPEKA, KS
B 11/1999 - 08/2002	SAGE DISTRIBUTORS, INC.	44831	STAMFORD, CT
B 04/1998 - 09/1999	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ
B 05/1994 - 10/1996	AMERICAN SKANDIA MARKETING, INC.	21570	SHELTON, CT
B 08/1991 - 02/1994	LIBERTY SECURITIES CORPORATION	14416	PURCHASE, NY
B 11/1982 - 08/1991	PAMCO SECURITIES AND INSURANCE SERVICES	11028	
B 05/1987 - 08/1989	CNL, INC.	15820	NORTHBROOK, IL
B 03/1981 - 07/1986	INA SECURITY CORPORATION	422	
B 05/1983 - 12/1983	FINANCIAL PLANNERS EQUITY CORPORATION	7420	
B 05/1982 - 10/1983	UNITED INTEGRATED EQUITIES, INC.	10509	
B 04/1981 - 08/1982	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B 11/1977 - 10/1979	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	5774	
B 03/1974 - 08/1976	INA SECURITY CORPORATION	422	
B 06/1973 - 08/1973	E. F. HUTTON & COMPANY INC	235	
B 09/1972 - 07/1973	SHEARSON, HAMMILL & CO., INCORPORATED	766	

Employment History



Registration and Employment History

Employment History, continued

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
01/2020 - Present	The Leaders Group Inc	Registered Representative	Y	Littleton, CO, United States
09/1996 - Present	Midwood Financial Services, Inc.	President	N	Encino, CA, United States
10/2016 - 01/2020	Bluerock Capital Markets, LLC	Vice President	Y	Irvine, CA, United States
01/2004 - 10/2016	Infinex Investments, Inc.	Wholesaler	Y	Farmington, CT, 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.

1.) MIDWOOD FINANCIAL SERVICES INC - 12/1/2019 - 16133 Ventura Blvd, Suite 700, Encino, CA 91436 - President, Run the company, Invst Rel, Insurance business, 173 hrs/mo; 173 hrs/mo (during trading hours).

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.
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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
Regulatory Event	0	1	0



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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker'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:	07/26/1988
Docket/Case Number:	LA-4168-AWC
Employing firm when activity occurred which led to the regulatory action:	PAMCO SECURITIES & INSURANCE SERVICES
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	07/26/1988
Sanctions Ordered:	Censure Monetary/Fine \$5,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

ON JULY 26, 1988, THE LETTER OF ACCEPTANCE, WAIVER AND CONSENT NO. LA-4168-AWC (DISTRICT NO. 2S) SUBMITTED BY RESPONDENTS PAMCO SECURITIES AND INSURANCE SERVICES AND ALAN HENRY BLANK WAS ACCEPTED; THEREFORE, THEY ARE CENSURED AND FINED \$5,000.00 (ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE - RESPONDENT MEMBER, ACTING THROUGH RESPONDENT BLANK, ENGAGED IN A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL). ***** \$5,000 PAID J&S 8-9-88.

Reporting Source:

Broker

Regulatory Action Initiated By:

Not Provided

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

07/26/1988

Docket/Case Number:

LA-4168-AWC

Employing firm when activity occurred which led to the regulatory action:

PAMCO SECURITIES & INSURANCE SERVICES

Product Type:**Other Product Type(s):****Allegations:**

Not Provided

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

07/26/1988

Sanctions Ordered:Censure
Monetary/Fine \$5,000.00**Other Sanctions Ordered:****Sanction Details:**

Not Provided

**Broker Statement**

7/26/88: NASD CENSURE AND FINE ACCEPTANCE, WAIVER AND CONSENT, CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY WITH ANOTHER RESPONDENT, BY THE NASD FOR VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE. WITHOUT ADMITTING OR DENYING THE COMPLAINT ALLEGATIONS. BLANK CONSENTED TO THE FOLLOWING FINDINGS: A MEMBER FIRM, ACTING THROUGH BLANK, ENGAGED IN A SECURITIES BUSIENSS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL. NASD COMPLAINT NO. LA-4168-AWC.

End of Report



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