

## BrokerCheck Report

**MEAGAN NICOLE PHELPS**

CRD# 4064499

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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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**MEAGAN N. PHELPS**

CRD# 4064499

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

**IA MADISON AVENUE SECURITIES, LLC**  
 321 N. Larchmont Blvd,  
 Suite 800  
 Los Angeles, CA 90004  
 CRD# 23224  
 Registered with this firm since: 07/21/2009

**B MADISON AVENUE SECURITIES, LLC**  
 321 N. Larchmont Blvd,  
 Suite 800  
 Los Angeles, CA 90004  
 CRD# 23224  
 Registered with this firm since: 07/17/2009

**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
- 21 U.S. states and territories

**This broker has passed:**

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

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

**B SYNDICATED CAPITAL, INC.**  
 CRD# 29037  
 SANTA MONICA, CA  
 01/2003 - 08/2009

**IA INDEPENDENT CAPITAL MANAGEMENT**  
 CRD# 121354  
 SAN DIEGO, CA  
 06/2002 - 03/2003

**B SUNAMERICA SECURITIES, INC.**  
 CRD# 20068  
 PHOENIX, AZ  
 11/1999 - 01/2003

**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? **No**



## 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 21 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **MADISON AVENUE SECURITIES, LLC**

Main Office Address: **13500 EVENING CREEK DR N  
#555  
SAN DIEGO, CA 92128**

Firm CRD#: **23224**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/17/2009

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	08/15/2013
B	California	Agent	Approved	07/17/2009
IA	California	Investment Adviser Representative	Approved	07/21/2009
B	Colorado	Agent	Approved	12/08/2020
B	Connecticut	Agent	Approved	12/05/2019
B	Florida	Agent	Approved	10/19/2009
B	Idaho	Agent	Approved	07/07/2010
B	Illinois	Agent	Approved	02/18/2022
B	Kansas	Agent	Approved	03/25/2014
B	Maine	Agent	Approved	07/13/2016
B	Maryland	Agent	Approved	03/06/2020
B	Michigan	Agent	Approved	07/22/2021



## Broker Qualifications

### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Missouri	Agent	Approved	09/21/2009
B	Montana	Agent	Approved	10/20/2020
B	Nevada	Agent	Approved	07/17/2009
B	New Mexico	Agent	Approved	10/09/2020
B	New York	Agent	Approved	01/24/2013
B	North Carolina	Agent	Approved	01/25/2022
B	Oklahoma	Agent	Approved	07/17/2009
B	Oregon	Agent	Approved	02/26/2025
B	Texas	Agent	Approved	01/24/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	07/06/2018
B	Washington	Agent	Approved	03/18/2010

### Branch Office Locations

#### MADISON AVENUE SECURITIES, LLC

321 N. Larchmont Blvd,  
Suite 800  
Los Angeles, CA 90004



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	04/17/2001
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	11/16/1999

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	09/22/2000
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/22/1999

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/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications

### Professional Designations

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

#### Certified Financial Planner

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
<b>B</b> 01/2003 - 08/2009	SYNDICATED CAPITAL, INC.	29037	SANTA MONICA, CA
<b>IA</b> 06/2002 - 03/2003	INDEPENDENT CAPITAL MANAGEMENT	121354	CAMARILLO, CA
<b>B</b> 11/1999 - 01/2003	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ

### 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
01/2012 - Present	EMPRESS TAX SOLUTIONS, LLC DBA WESTSIDE TAX SOLUTIONS	OWNER (ACTIVE)	N	Los Angeles, CA, United States
09/2009 - Present	EMPRESS INVESTMENT GROUP	OWNER	Y	Los Angeles, CA, United States
05/2009 - Present	MADISON AVENUE SECURITIES, INC	REGISTERED REP	Y	San Diego, CA, 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). NAME OF BUSINESS: EMPRESS INVESTMENT GROUP POSITION: OWNER (ACTIVE) NATURE: FINANCIAL ADVISORY PRACTICE INVOLVING SECURITIES AND INSURANCE. INVESTMENT RELATED: YES NUMBER OF HOURS: 160 INVESTMENT RELATED HOURS: START DATE: 09/01/2009 ADDRESS: 321 N. LARCHMONT BLVD. SUITE 800, LOS ANGELES, CA 90004 DESCRIPTION: Wealth management, insurance and investment advisory services. Comprehensive financial planning.

2). NAME OF BUSINESS: EMPRESS TAX SOLUTIONS, LLC DBA WESTSIDE TAX SOLUTIONS POSITION: OWNER (ACTIVE) NATURE: TAX PREPARATION AND PLANNING SERVICES INVESTMENT RELATED: NO NUMBER OF HOURS: 40 HOURS PER YEAR, INVESTMENT RELATED HOURS: 1 START DATE: 01/26/2012 ADDRESS: 321 N. LARCHMONT BLVD. SUITE 800, LOS ANGELES, CA 90004 DESCRIPTION: I WILL BE MANAGING THE TAX PRACTICE, HOWEVER NOT PREPARING RETURNS.





## Registration and Employment History

### Other Business Activities, continued

3).NAME OF BUSINESS: MEAGAN PHELPS POSITION: CONSULTANT NATURE: REFERRALS TO MORTGAGE BROKERS INVESTMENT RELATED: NO NUMBER OF HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 05/01/2011 ADDRESS: 321 N. LARCHMONT BLVD. SUITE 800, LOS ANGELES, CA 90004 DESCRIPTION: I REFER CLIENTS THAT ARE LOOKING TO REFINANCE TO A MORTGAGE BROKER. IF THE CLIENT AND BROKER WORK TOGETHER, I AM COMPENSATED FOR REFERRING THAT INDIVIDUAL. STANDARD REFERRAL FEE.

4). 05/2007 INDEPENDENT LICENSED REAL ESTATE AGENT; RENTAL PROPERTIES INVESTOR/OWNER; 5% OF TIME; INVESTMENT RELATED; FROM BUSINESS ADDRESS: 321 N. LARCHMONT BLVD. SUITE 800, LOS ANGELES, CA 90004.

5). NAME:MCQUEEN LEASING, LLC; INV RELATED:NO; ADDRESS:; NATURE:LEASE VEHICLES TO EIG EMPLOYEES; POSITION:OFFICER/OWNER (LESS THAN 20%); START DATE:2015; HOURS/MONTH:0; TRADING HOURS/MONTH:0; DUTIES: N/A.

6). NAME:MNP ENTERPRISES; INV RELATED:NO; ADDRESS:; NATURE:PAYS FOR MARKETING & BUSINESS DEVELOPMENT OF EIG; POSITION:OWNER; START DATE:2015; HOURS/MONTH:15 OR SO; TRADING HOURS/MONTH:YES AND NO (BOTH); DUTIES:CONSULTANT.

7). NAME: CITADEL LAW OFFICES ESTATE PLANNING: INV RELATED:NO; NATURE:REFER CLIENTS FOR ESTATE PLANNING PURPOSES; START DATE:2009; HOURS/MONTH: LESS THAN 1, AS NEEDED; TRADING HOURS/MONTH:0.

8). NAME: ENCORE ESTATE; INVESTMENT RELATED: NO; POSITION: FINANCIAL PLANNER; DUTIES: COLLECT DATA FROM CLIENTS, ENTER INTO PORTAL, WORK WITH ENCORE ESTATE TO MAKE REVISION AS NEEDED, REVIEW VARIOUS TYPES OF ESTATE PLANS, DELIVER PLANS TO CLIENTS; HOURS PER WEEK: 1-5 HOURS; START DATE: 03/2024.

9.) NAME: WEALTH.COM; INVESTMENT RELATED: NO; ADDRESS: 51 W 3RD ST #110, TEMPE, AZ 85281; NATURE OF THE BUSINESS: ESTATE PLANNING SERVICE; POSITION: WE PAY THEM \$5K PER YEAR SUBSCRIPTION AND WE GET TO USE IT TO BUILD 50 ESTATE PLANNING DOCUMENTS; HOURS PER WEEK: 1-5 HOURS (ME), 1-10 HOURS (EIG TEAM); START DATE: 10/30/2025.

10.) NAME: BIG SKY MNP LLC; INVESTMENT RELATED: NO; ADDRESS: 71 SUSSEX DR., KALLISPELL, MT 59901; NATURE OF THE BUSINESS: REAL ESTATE; POSITION; OWNER; HOURS PER WEEK: LESS THAN 1 HOUR; START DATE: 06/2022

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## End of Report



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