

BrokerCheck Report

EDWIN MARTINEZ

CRD# 4268255

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

EDWIN MARTINEZ

CRD# 4268255

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

IA BANKERS LIFE ADVISORY SERVICES, INC.
 700 Churchill Ct Ste 110
 Woodstock, GA 30188
 CRD# 281285
 Registered with this firm since: 11/30/2017

B BANKERS LIFE SECURITIES, INC.
 700 Churchill Ct Ste 110
 Woodstock, GA 30188
 CRD# 173962
 Registered with this firm since: 10/03/2017

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
- 5 U.S. states and territories

This broker has passed:

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

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

IA MERRIMAC ASSET MANAGEMENT
 CRD# 35463
 ALTAMONTE SPRINGS, FL
 07/2012 - 07/2013

IA WOODBURY FINANCIAL SERVICES, INC.
 CRD# 421
 OAKDALE, MN
 12/2010 - 05/2012

B WOODBURY FINANCIAL SERVICES, INC.
 CRD# 421
 ORLANDO, FL
 09/2010 - 05/2012

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
Judgment/Lien	4



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 5 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **BANKERS LIFE ADVISORY SERVICES, INC.**
 Main Office Address: **303 E. WACKER DRIVE
 5TH FL
 CHICAGO, IL 60601**
 Firm CRD#: **281285**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	11/30/2017

Branch Office Locations

303 E. WACKER DRIVE
 5TH FL
 CHICAGO, IL 60601

700 Churchill Ct Ste 110
 Woodstock, GA 30188

Employment 2 of 2

Firm Name: **BANKERS LIFE SECURITIES, INC.**
 Main Office Address: **303 E WACKER DRIVE
 5TH FL
 CHICAGO, IL 60601**
 Firm CRD#: **173962**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/03/2017



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Delaware	Agent	Approved	03/21/2024
B	Georgia	Agent	Approved	11/13/2017
B	New Hampshire	Agent	Approved	04/27/2023
B	North Carolina	Agent	Approved	10/21/2024
B	South Carolina	Agent	Approved	03/14/2024

Branch Office Locations

BANKERS LIFE SECURITIES, INC.

700 Churchill Ct Ste 110
Woodstock, GA 30188



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, 2 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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	10/03/2017

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	11/11/2017

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
IA 07/2012 - 07/2013	MERRIMAC ASSET MANAGEMENT	35463	ALTAMONTE SPRINGS, FL
IA 12/2010 - 05/2012	WOODBURY FINANCIAL SERVICES, INC.	421	ORLANDO, FL
B 09/2010 - 05/2012	WOODBURY FINANCIAL SERVICES, INC.	421	ORLANDO, FL
IA 01/2010 - 08/2010	CHASE INVESTMENT SERVICES CORP.	25574	ORLANDO, FL
B 05/2009 - 08/2010	CHASE INVESTMENT SERVICES CORP.	25574	ORLANDO, FL
B 05/2001 - 05/2009	WAMU INVESTMENTS, INC.	599	ORLANDO, FL
B 02/2001 - 05/2001	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 02/2001 - 05/2001	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 10/2000 - 01/2001	WM FINANCIAL SERVICES, INC.	599	IRVINE, CA

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
11/2017 - Present	Bankers Life Advisory Services	Financial Advisor	Y	Woodstock, GA, United States
09/2017 - Present	Bankers Life Securities Inc	REGISTERED REPRESENTATIVE	Y	Woodstock, GA, United States
09/2016 - Present	Bankers Life & Casualty	Insurance Agent	N	Woodstock, GA, United States
02/2016 - 08/2016	Renewal By Andersen	Sales Representative	N	Atlanta, GA, United States
06/2012 - 12/2015	Focal Wealth Management	Insurance Agent	N	Orlando, FL, 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.

Insurance Agent with Bankers Life & Casualty as noted on employment history.



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
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A
Judgment/Lien	4	N/A	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORP.
Allegations:	CLIENT ALLEGES, THROUGH ATTORNEY, MISREPRESENTATION, SUITABILITY IN CONNECTION WITH A VARIABLE ANNUITY AND UNAUTHORIZED TRADING OF MUTUAL FUNDS.
Product Type:	Annuity-Variable Mutual Fund
Alleged Damages:	\$80,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-00614
Date Notice/Process Served:	03/04/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	04/11/2012
Monetary Compensation Amount:	\$7,500.00



Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: CHASE INVESTMENT SERVICES CORP.

Allegations: CLIENT ALLEGES, THROUGH ATTORNEY, MISREPRESENTATION, SUITABILITY IN CONNECTION WITH A VARIABLE ANNUITY AND UNAUTHORIZED TRADING OF MUTUAL FUNDS.

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: \$80,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 11-00614

Date Notice/Process Served: 03/30/2011

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/04/2012

Monetary Compensation Amount: \$7,500.00

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	CHASE INVESTMENT SERVICES CORPORATION
Allegations:	CLIENT ALLEGES MISREPRESENTATION RELATING TO A MUTUAL FUND INVESTMENT. ACTIVITY DATES: 05/22/2008 - 05/22/2008
Product Type:	Mutual Fund
Alleged Damages:	\$90,000.00
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:	05/05/2009
Complaint Pending?	No
Status:	Denied
Status Date:	06/19/2009
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WAMU INVESTMENTS, INC.



Allegations: CLIENT ALLEGES FINANCIAL CONSULTANT FAILED TO ADVISE HIM IN AUGUST 2007 ABOUT AN APPROXIMATE \$17,000 SALES CHARGE TO SELL UNIT INVESTMENT TRUST.

Product Type: Unit Investment Trust(s)

Alleged Damages: \$17,000.00

Customer Complaint Information

Date Complaint Received: 11/19/2007

Complaint Pending? No

Status: Denied

Status Date: 01/30/2008

Settlement Amount:

Individual Contribution Amount:



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: Firm

Employer Name: WOODBURY FINANCIAL SERVICES INC

Termination Type: Permitted to Resign

Termination Date: 05/23/2012

Allegations: THE REPRESENTATIVE PROVIDED BLANK PROPRIETARY FIRM DOCUMENTS TO AN UNAPPROVED THIRD PARTY AND CONTINUED TO ENGAGE THE UNAPPROVED THRID PARTY AFTER THE FIRM INSTRUCTED HIM TO CEASE THESE ACTIVITIES.

Product Type: No Product

Reporting Source: Broker

Employer Name: WOODBURY FINANCIAL SERVICES INC

Termination Type: Permitted to Resign

Termination Date: 05/23/2012

Allegations: THE REPRESENTATIVE PROVIDED BLANK PROPRIETARY FIRM DOCUMENTS TO AN UNAPPROVED THIRD PARTY AND CONTINUED TO ENGAGE THE UNAPPROVED THIRD PARTY AFTER THE FIRM INSTRUCTED HIM TO CEASE THESE ACTIVITIES.

Product Type: No Product

Broker Statement THE REPRESENTATIVE VEHEMENTLY DENIES ANY WRONGDOING AND REASSERTS THE UNREFUTED REALITY THAT NO VIOLATION OF REGULATIONS OCCURRED. THE DISTRIBUTION OF PROPRIETARY MATERIALS WAS IN FACT A MISUNDERSTANDING ON A THIRD PARTY'S PART WHICH RESULTED IN THIS INDIVIDUAL FORWARDING A COPY OF A FIRM ACCOUNT APPLICATION TO SOMEONE ELSE WITH THE REPRESENTATIVE'S KNOWLEDGE.



Judgment / Lien

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

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$8,829.15
Judgment/Lien Type:	Tax
Date Filed with Court:	01/28/2025
Date Individual Learned:	02/06/2025
Type of Court:	State Court
Name of Court:	Superior Court Cherokee County
Location of Court:	Canton, GA
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	\$5,913.89
Judgment/Lien Type:	Tax
Date Filed with Court:	10/03/2019
Date Individual Learned:	10/20/2019
Type of Court:	State Court
Name of Court:	Clerk of Superior Court Cherokee County
Location of Court:	Cherokee County
Judgment/Lien Outstanding?	Yes
Broker Statement	We have recently amended the tax returns and the items are currently in an noncollectable status.

Disclosure 3 of 4



Reporting Source: Broker
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$6,986.29
Judgment/Lien Type: Tax
Date Filed with Court: 08/17/2016
Date Individual Learned: 08/17/2016
Type of Court: State Court
Name of Court: Cherokee County, GA
Location of Court: Cherokee County, GA
Docket/Case #: 8191
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Broker
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$33,344.61
Judgment/Lien Type: Tax
Date Filed with Court: 04/05/2016
Date Individual Learned: 04/05/2017
Type of Court: State Court
Name of Court: Orange County, FL
Location of Court: Orange County, FL
Docket/Case #: 20160168383
Judgment/Lien Outstanding? Yes

Broker Statement This lien is due to an error made on 2008 and 2010 tax returns. The lien is currently in a status as Currently Not Collectible.

End of Report



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