BrokerCheck Report

MELVIN MUELA

CRD# 4330131

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.
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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.

MELVIN MUELA

CRD# 4330131

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

IA **TRANSAMERICA FINANCIAL ADVISORS, LLC**
1036 W ROBINHOOD DR
#206
STOCKTON, CA 95207
CRD# 16164
Registered with this firm since: 01/06/2012

B **TRANSAMERICA FINANCIAL ADVISORS, LLC**
1036 W ROBINHOOD DR
#206
STOCKTON, CA 95207
CRD# 16164
Registered with this firm since: 01/06/2012

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
- 4 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **INVESTMENT ADVISORS INTERNATIONAL, INC.**
CRD# 139233
JOHNS CREEK, GA
02/2009 - 01/2012

B **WORLD GROUP SECURITIES, INC.**
CRD# 114473
RIPON, CA
04/2002 - 01/2012

B **WMA SECURITIES, INC.**
CRD# 32625
DULUTH, GA
02/2001 - 04/2002

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

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**

Main Office Address: **TWO LIBERTY PLACE**
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102

Firm CRD#: **16164**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	01/06/2012
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/06/2012

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/06/2012
IA	California	Investment Adviser Representative	Approved	01/06/2012
B	Idaho	Agent	Approved	04/23/2021
B	Missouri	Agent	Approved	05/17/2024
B	Texas	Agent	Approved	05/17/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	05/17/2022

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
1036 W ROBINHOOD DR
#206
STOCKTON, CA 95207

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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination	Series 26	07/22/2003

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	02/10/2001

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	12/31/2008
B	Uniform Securities Agent State Law Examination	Series 63	03/17/2001

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	02/2009 - 01/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	RIPON, CA
B	04/2002 - 01/2012	WORLD GROUP SECURITIES, INC.	114473	RIPON, CA
B	02/2001 - 04/2002	WMA SECURITIES, INC.	32625	DULUTH, GA

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
12/2023 - Present	Champion Health, Inc.	Agent	N	Scottsdale, AZ, United States
11/2022 - Present	Wash & Post Inc	Owner	N	Stockton, CA, United States
11/2017 - Present	LIFE SONG OF STOCKTON	BOARD MEMBER	N	STOCKTON, CA, United States
06/2017 - Present	Melvin Muela Pass Through	Account Holder	N	Lodi, CA, United States
04/2016 - Present	BLUE SHIELD OF CALIFORNIA LIFE & HEALTH INS CO	PRODUCER	N	LODI, CA, United States
11/2015 - Present	UNITED AMERICAN INSURANCE COMPANY	MARKET MEDICARE SUPPS	Y	MCKINNEY, TX, United States
01/2012 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	REGISTERED REP/INVESTMENT ADVISOR REP.	Y	STOCKTON, CA, United States
06/2010 - Present	VAUGHT AND MUELA INSURANCE SERVICES	OVERSEE OPERATIONS	N	STOCKTON, CA, United States
07/2007 - Present	RENTAL REAL ESTATE	PRESIDENT	N	STOCKTON, CA, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2001 - Present	WFGIA	ASSOCIATE	Y	STOCKTON, CA, United States
02/1991 - Present	GORDITO BURRITO, INC	OWNER	N	SCARAMENTO, CA, United States
06/2004 - 06/2017	MUELA & ASSOC MOUNTAIN HOUSE FINANCIAL PASS THRU ACCOUNT	PASS THRU ACCT FOR BUSINESS EXPENSES	N	TRACY, CA, United States
12/2004 - 01/2017	MUELA AND ASSOCIATES	PRESIDENT	N	STOCKTON, CA, United States
02/2015 - 10/2015	FIVE STAR	TRAINING AND MARKETING	N	CAMPBELL, CA, United States
01/1991 - 10/2015	CHRISTIAN WORSHIP CENTER	BOARD OF DIRECTOR	N	MANTECA, 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.

Sales of insurance and non-insurance products, part-time or full-time, for companies affiliated with Transamerica Financial Advisors, Inc.

Champion Health, Inc.ScottsdaleArizonaUnited StatesNoAgent 12/2023PRESENT

Melvin Muela Pass Through/no/P/O Box 1381 Lodi CA 95241/Account Owner-Sole Proprietor/1/

RENTAL REAL ESTATE, INVESTMENT RELATED - NO,ADDRESS - 1843 BRISTOL AVENUE, STOCKTON, CA, NATURE OF BUSINESS - RENTAL INCOME PROPERTY, POSITION, TITLE OR RELATIONSHIP WITH THE OTHER BUSINESS - PRESIDENT, START DATE - 7/1/2007, HRS/MO DEVOTED TOWARD BUSINESS - 8.

LIFE LONG STOCKTON/ 1.1.2018/ NON INVESTMENT RELATED/ BOARD MEMBER/ 3034 MICHIGAN AVE STOCKTON CA 95204/ MEETINGS ONCE A QTR/ 1HRS/MTH/ APPROVED WITHOUT RESTRICTIONS

VAUGHT AND MUELA INSURANCE SERVICES/no/17910 murphy pkwy lathrop ca 95330/partnership oversee operations - 5-2010/ sell property + casualty insurance/partner

WASH & POST INC POSITION: Owner NATURE: Laundromat INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 0 START DATE: 11/01/2022 ADDRESS: 2704 Country Club Blvd, Stockton CA 95204, United States DESCRIPTION: Owner support to Staff

Registration and Employment History

Other Business Activities, continued

GORDITO BURRITO, INC / 02/1991 / Investment Related: No / SCARAMENTO, CA / Owner / NA/ Hrs. Work Monthly:0 / Sec Trading Hrs.:0 / NA

UNITED AMERICAN INSURANCE COMPANY; 11/01/2015; YES INV RELATED; 3700 S. STONEBRIDGE DRIVE, MCKINNEY, TX 75050; MARKET MEDICARE SUPPS; MEDICARE SUPPLEMENT POLICIES; 5 HRS/MO; 0 TRADING; MARKET MEDICARE SUPPLEMENTS.

BLUE SHIELD OF CALIFORNIA AND BLUE SHIELD OF CALIFORNIA LIFE & HEALTH INSURANCE COMPANY/PRODUCER/INVESTMENT RELATED-NO/P.O. BOX 2630, LODI, CA 95241/4-1-2016/5/0/SELL MEDICARE SUPPLEMENT POLICY.

End of Report

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