

BrokerCheck Report

MICHAEL LAWRENCE MANN

CRD# 5937029

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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.

**MICHAEL L. MANN**

CRD# 5937029

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

IA **AUSDAL FINANCIAL PARTNERS, INC.**
 CHESTERFIELD, MI
 CRD# 7995
 Registered with this firm since: 05/06/2020

B **AUSDAL FINANCIAL PARTNERS, INC.**
 CHESTERFIELD, MI
 CRD# 7995
 Registered with this firm since: 04/27/2020

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
- 18 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):**

- IA** **EMERSON EQUITY LLC**
 CRD# 130032
 SAN MATEO, CA
 02/2020 - 03/2020
- B** **EMERSON EQUITY LLC**
 CRD# 130032
 SAN MATEO, CA
 08/2019 - 03/2020
- B** **ASCENDANT ALTERNATIVE STRATEGIES, LLC**
 CRD# 283881
 Austin, TX
 03/2017 - 08/2019

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
Criminal	1
Judgment/Lien	2



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

Employment 1 of 1

Firm Name: **AUSDAL FINANCIAL PARTNERS, INC.**

Main Office Address: **5187 UTICA RIDGE RD
DAVENPORT, IA 52807**

Firm CRD#: **7995**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	04/27/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	04/27/2020

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	11/12/2020
B	Arkansas	Agent	Approved	03/24/2025
B	California	Agent	Approved	04/28/2020
B	Colorado	Agent	Approved	11/30/2022
IA	Colorado	Investment Adviser Representative	Approved	11/30/2022
B	Florida	Agent	Approved	11/04/2025
B	Idaho	Agent	Approved	06/20/2023
B	Illinois	Agent	Approved	02/23/2022
B	Iowa	Agent	Approved	06/19/2025
B	Kansas	Agent	Approved	01/23/2023
B	Michigan	Agent	Approved	05/14/2020

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
IA	Michigan	Investment Adviser Representative	Approved	07/21/2022
B	Minnesota	Agent	Approved	08/25/2023
B	Missouri	Agent	Approved	10/25/2022
B	Nebraska	Agent	Approved	10/25/2022
IA	Nebraska	Investment Adviser Representative	Approved	10/27/2022
B	North Carolina	Agent	Approved	03/08/2022
IA	North Carolina	Investment Adviser Representative	Approved	03/22/2022
B	Ohio	Agent	Approved	05/27/2022
B	Oklahoma	Agent	Approved	01/13/2022
B	Texas	Agent	Approved	05/06/2020
IA	Texas	Investment Adviser Representative	Approved	05/06/2020
B	Washington	Agent	Approved	10/24/2024

Branch Office Locations

AUSDAL FINANCIAL PARTNERS, INC.
CHESTERFIELD, MI



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 Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	02/02/2015
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/14/2012

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/15/2013
B Uniform Securities Agent State Law Examination	Series 63	10/17/2012

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 **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
IA 02/2020 - 03/2020	EMERSON EQUITY LLC	130032	Anaheim, CA
B 08/2019 - 03/2020	EMERSON EQUITY LLC	130032	SAN MATEO, CA
B 03/2017 - 08/2019	ASCENDANT ALTERNATIVE STRATEGIES, LLC	283881	Austin, TX
B 08/2014 - 03/2017	AXIOM CAPITAL MANAGEMENT, INC.	26580	AUSTIN, TX
IA 11/2013 - 08/2014	AMERICAN FUNDS DISTRIBUTORS, INC.	6247	SAN ANTONIO, TX
B 09/2012 - 08/2014	AMERICAN FUNDS DISTRIBUTORS, INC.	6247	SAN ANTONIO, TX

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
09/2020 - Present	MIAMI LIFE, INC	WHOLESALE	Y	PITTSBURGH, PA, United States
04/2020 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
04/2019 - 04/2020	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
03/2017 - 08/2019	Ascendant Alternative Strategies, LLC	Registered Representative	Y	Austin, TX, United States
08/2014 - 03/2017	AXIOM CAPITAL MANAGEMENT, INC.	REGISTERED	Y	NEW YORK, NY, 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 SALES; INVESTMENT RELATED; CHESTERFIELD, MI; SALE OF INSURANCE PRODUCTS; AGENT; ACTIVITY BEGAN 05/2020; I DEVOTE APPX 80 HOURS PER MONTH TO THIS ACTIVITY WITH 40 OF THOSE HOURS DURING TRADING HOURS; SALE OF INSURANCE PRODUCTS TO CLIENTS.

NATIONAL BROKERAGE ATLANTIC/MIAMI LIFE; INVESTMENT RELATED; CHESTERFIELD, MI; RECRUIT INSURANCE AGENTS; RECRUITER; ACTIVITY BEGAN 09/2020; I DEVOTE 20 HOURS TO THIS ACTIVITY WITH 10 HOURS DURING TRADING HOURS; WHOLESALE INDEPENDENT CONTRACTOR.

FIRSTGEN PLANNING LLC; INVESTMENT RELATED; BIRMINGHAM, MI; FINANCIAL PLANNING SERVICES; OWNER; ACTIVITY BEGAN 06/2020; I DEVOTE 160 HOURS PER MONTH TO THIS ACTIVITY WITH 120 OF THOSE HOURS DURING TRADING HOURS; SALE OF FINANCIAL PLANNING SERVICES TO CLIENTS.

TAX MASTER NETWORK; NOT INVESTMENT RELATED; BIRMINGHAM, MI; TAX PLANNING STRATEGIES; REFERRING AGENT; ACTIVITY BEGAN IN 08/2021; I DEVOTE APPX 10 HOURS PER MONTH TO THIS ACTIVITY WITH 4 OF THOSE HOURS DURING TRADING HOURS; REFER CLIENTS TO TAX MASTER NETWORK FOR A REFERRAL FEE.

ENDOWMENT MANAGEMENT GROUP; INVESTMENT RELATED; BIRMINGHAM, MI; CHARITABLE TAX PLANNING STRATEGIES; REFERRAL AGENT; ACTIVITY BEGAN 08/2021; I DEVOTE APPX 10 HOURS PER MONTH WITH 8 OF THOSE HOURS DURING TRADING HOURS; REFER CLIENTS FOR CHARITABLE TAX PLANNING STRATEGIES AND IMPLEMENTATION.

PHIL KLEIN INSURANCE GROUP A SUBSIDIARY OF ALERA; INVESTMENT RELATED; CHESTERFIELD, MI; OUTSIDE INSURANCE SALES; AGENT; ACTIVITY WILL BEGIN IN MARCH 2024; I DEVOTE APPX 10 HOURS PER MONTH ALL DURING TRADING HOURS TO THIS ACTIVITY; OUTSOURCING LIFE, ACCIDENT AND HEALTH REFERRALS TO PHIL KLEIN INSURANCE GROUP.

FIRST GEN PLANNING, LLC; THIS ACTIVITY IS NOT INVESTMENT RELATED; CHESTERFIELD, MI; REFERRING AGENT; ACTIVITY BEGAN 10/2025; I DEVOTE APPX 10 HOURS TO THIS ACTIVITY ALL DURING TRADING HOURS; IDENTIFY AND RECOMMEND QUALIFIED INVESTORS TO SOLAR/BATTERY INSTALL COMPANIES FOR POTENTIAL OWNERSHIP OF SOLAR LEASING PROJECTS.

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
Criminal	0	1	0
Judgment/Lien	2	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Formal Charges were brought in:	COUNTY COURT
Name of Court:	ISABELLA COUNTY TRIAL COURT (STATE OF MICHIGAN 76TH JUDICIAL COURT)
Location of Court:	MT. PLEASANT, MI
Docket/Case #:	12-313-SM
Charge Date:	04/02/2012
Charge(s) 1 of 1	
Formal Charge(s)/Description:	LARCENY => \$200 < \$1000, RECEIVE AND CONCEAL STOLEN PROPERTY
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NO CONTEST
Disposition of charge:	Dismissed
Current Status:	Final
Status Date:	06/07/2012
Disposition Date:	06/07/2012



Sentence/Penalty:

PROBATION STARTED 4/23/12; ENDED 6/11/12. COMMUNITY SERVICE ASSIGNED ON 4/23/12, COMMUNITY SERVICE COMPLETED BY 5/3/12. FINES ASSESSED ON 4/23/12: \$1850, PAID ON 4/23/12. ALL DATES EXACT.

Broker Statement

I SOLD A CELL PHONE FOR SOMEONE I THOUGHT I COULD TRUST FOR PRICE I THOUGHT TO BE FAIR. THE COURTS THOUGHT I WAS NEGLIGENT AND IN ORDER TO GET NOTHING ON MY RECORD I NEEDED TO PLEA "NO CONTEST" TO BOTH. I PLEAD "NO CONTEST" TO BOTH, PAID MY FINES THE DAY OF, DID MY COMMUNITY SERVICE IN UNDER TWO WEEKS, AND HAVE FINISHED PROBATION. CHARGES HAVE BEEN DISMISSED, I'VE BEEN OKAYED TO FINRA TO WORK IN THE FINANCIAL INDUSTRY.



Judgment / Lien

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

Disclosure 1 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	\$4,799.20
Judgment/Lien Type:	Tax
Date Filed with Court:	09/29/2025
Date Individual Learned:	10/31/2025
Type of Court:	State Court
Name of Court:	MACOMB COUNTY
Location of Court:	MOUNT CLEMENS, MI
Docket/Case #:	1493157
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 2

Reporting Source:	Broker
Judgment/Lien Holder:	State of Michigan
Judgment/Lien Amount:	\$6,343.08
Judgment/Lien Type:	Tax
Date Filed with Court:	05/29/2025
Date Individual Learned:	10/31/2025
Type of Court:	State Court
Name of Court:	Macomb County
Location of Court:	MOUNT CLEMENS, MI
Docket/Case #:	1479928
Judgment/Lien Outstanding?	Yes

End of Report



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