



IAPD Report

ROBERT DENNIS LYMAN JR

CRD# 1184978

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 6
Registration and Employment History	8 - 9
Disclosure Information	10



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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

ROBERT DENNIS LYMAN JR (CRD# 1184978)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **10/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/08/2009
IA	SEQUOIA WEALTH MANAGEMENT, LLC	CRD# 170543	10/06/2014

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **46** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	LPL FINANCIAL LLC	6413	HANOVER PARK, IL	09/08/2009 - 10/06/2020
IA	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	104790	HOFFMAN ESTATES, IL	05/04/2004 - 10/13/2009
B	ASSOCIATED SECURITIES CORP.	12969	EVANSTON, IL	04/15/2004 - 09/08/2009

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

Yes

The following types of events are disclosed about this representative:

Type	Count
Financial	1
Judgment/Lien	5



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.

This individual is currently registered with **46** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2009
B	FINRA	General Securities Representative	Approved	09/08/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	09/08/2009
B	FINRA	Investment Co./Variable Contracts Prin	Approved	09/08/2009
B	FINRA	Municipal Fund	Approved	09/08/2009
B	Alabama	Agent	Approved	09/03/2013
B	Alaska	Agent	Approved	10/13/2014
B	Arizona	Agent	Approved	10/26/2010
B	Arkansas	Agent	Approved	06/13/2025
B	California	Agent	Approved	09/08/2009
B	Colorado	Agent	Approved	09/08/2009
B	Connecticut	Agent	Approved	01/07/2014
B	Delaware	Agent	Approved	03/06/2015



Qualifications

	Regulator	Registration	Status	Date
B	District of Columbia	Agent	Approved	08/26/2021
B	Florida	Agent	Approved	09/09/2009
B	Georgia	Agent	Approved	09/08/2009
B	Hawaii	Agent	Approved	03/06/2020
B	Illinois	Agent	Approved	09/08/2009
B	Indiana	Agent	Approved	09/08/2009
B	Iowa	Agent	Approved	09/08/2009
B	Kansas	Agent	Approved	09/08/2009
B	Kentucky	Agent	Approved	09/07/2010
B	Louisiana	Agent	Approved	04/13/2016
B	Maine	Agent	Approved	01/31/2020
B	Maryland	Agent	Approved	09/08/2009
B	Massachusetts	Agent	Approved	10/15/2012
B	Michigan	Agent	Approved	09/08/2009
B	Minnesota	Agent	Approved	09/08/2009
B	Mississippi	Agent	Approved	04/27/2021
B	Missouri	Agent	Approved	09/08/2009
B	Montana	Agent	Approved	09/29/2010
B	Nebraska	Agent	Approved	08/04/2010



Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	09/08/2009
B	New Hampshire	Agent	Approved	02/05/2020
B	New Jersey	Agent	Approved	09/08/2009
B	New Mexico	Agent	Approved	03/14/2017
B	New York	Agent	Approved	05/14/2014
B	North Carolina	Agent	Approved	09/08/2009
B	Ohio	Agent	Approved	09/08/2009
B	Oklahoma	Agent	Approved	11/21/2019
B	Oregon	Agent	Approved	12/11/2012
B	Pennsylvania	Agent	Approved	09/08/2009
B	Rhode Island	Agent	Approved	02/15/2016
B	South Carolina	Agent	Approved	09/08/2009
B	Tennessee	Agent	Approved	01/28/2021
B	Texas	Agent	Approved	09/08/2009
B	Virginia	Agent	Approved	09/08/2009
B	Washington	Agent	Approved	09/08/2009
B	West Virginia	Agent	Approved	12/04/2019
B	Wisconsin	Agent	Approved	09/08/2009
B	Wyoming	Agent	Approved	03/13/2018



Qualifications

Regulator	Registration	Status	Date
-----------	--------------	--------	------

Branch Office Locations

LPL FINANCIAL LLC

200 APPLEBEE ST STE 208
BARRINGTON, IL 60010

LPL FINANCIAL LLC

MUNDELEIN, IL

Employment 2 of 2

Firm Name: **SEQUOIA WEALTH MANAGEMENT, LLC**

Main Address: 200 APPLEBEE ST
SUITE 208
BARRINGTON, IL 60010

Firm ID#: 170543

Regulator	Registration	Status	Date
-----------	--------------	--------	------

IA	Illinois	Investment Adviser Representative	Approved	10/06/2014
----	----------	-----------------------------------	----------	------------

IA	Texas	Investment Adviser Representative	Restricted Approval	03/23/2015
----	-------	-----------------------------------	---------------------	------------

Branch Office Locations

SEQUOIA WEALTH MANAGEMENT, LLC

200 APPLEBEE ST
SUITE 208
BARRINGTON, IL 60010






Qualifications

PASSED INDUSTRY EXAMS




This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	03/31/2003
	General Securities Principal Examination (S24)	Series 24	10/09/1997
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/03/1993

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/29/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/29/1983

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/06/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	12/16/1991

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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 & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	09/08/2009 - 10/06/2020	LPL FINANCIAL LLC	CRD# 6413	HANOVER PARK, IL
IA	05/04/2004 - 10/13/2009	ASSOCIATED PLANNERS INVESTMENT ADVISORY INC	CRD# 104790	HOFFMAN ESTATES, IL
B	04/15/2004 - 09/08/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	EVANSTON, IL
IA	04/15/2004 - 09/08/2009	ASSOCIATED SECURITIES CORP.	CRD# 12969	NAPERVILLE, IL
IA	01/04/2000 - 03/24/2004	SIGNATOR INVESTORS, INC.	CRD# 468	SCHAUMBURG, IL
B	02/15/1996 - 03/24/2004	SIGNATOR INVESTORS, INC.	CRD# 468	BOSTON, MA
B	02/14/1996 - 05/01/1997	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	09/09/1983 - 01/22/1996	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2014 - Present	SEQUIOA WEALTH MANAGEMENT	CHIEF COMPLIANCE OFFICER, OWNER & INVESTMENT ADVISER REPRESENTATIVE	Y	BARRINGTON, IL, United States
09/2009 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BARRINGTON, IL, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. 04/02/2014 - FRIENDS OF SHALOM FOR UGANDA - NOT INV REL - COMMUNITY, CIVIC AND CHARITABLE BOARD - 1% OF TIME SPENT - MEMBER: BOARD OF DIRECTORS



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2. 3/13/2019 - SEQUOIA WEALTH MANAGEMENT - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date: 10/06/14 - 120 Hours Per Month/120 Hours During Securities Trading - I provide investment advisory services through SEQUOIA WEALTH MANAGEMENT, an independent investment advisor firm. I started this business activity in 10/2014. I expect to spend approximately 120 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
3. 09/25/2019 - Sequoia Financial Planning - Investment related - At reported business location(s) - DBA for LPL Business (entity for LPL business) - start date:09/19/2019 - 40 hrs/mo - 40 hrs during trading.
4. 3/17/2020 - SEQUOIA FINANCIAL NETWORK - Investment Related - At Reported Business Location(s) - Insurance Agency - Started 05/01/2018 - 10 Hours Per Month During Securities Trading - SEQUOIA FINANCIAL NETWORK IS A BROKERAGE AGENCY FOR LIFE, DISABILITY, LONG TERM CARE AND FIXED ANNUITY PRODUCTS.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Financial	1
Judgment/Lien	5

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	02/12/2019
Organization Name:	WINDY CITY FINANCIAL PARTNERS,INC
Individual Position:	PRESIDENT
Organization Investment-Related?	Yes
Type of Court:	NORTHERN DISTRICT OF ILLINOIS
Name of Court:	NORTHERN DISTRICT OF ILLINOIS
Location of Court:	CHICAGO,IL
Docket/Case #:	18-21465
Action Pending?	Yes



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$84,105.74
Judgment/Lien Type:	Tax
Date Filed with Court:	01/29/2025
Date Individual Learned:	02/27/2025
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	CHICAGO, IL
Docket/Case #:	509667825
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEARS 2022 & 2023

Disclosure 2 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	INTERNAL REVENUE SERVICE
Judgment/Lien Amount:	\$45,035.95
Judgment/Lien Type:	Tax
Date Filed with Court:	12/06/2024
Date Individual Learned:	09/29/2025
Type of Court:	INTERNAL REVENUE SERVICE
Name of Court:	INTERNAL REVENUE SERVICE
Location of Court:	CHICAGO, IL
Docket/Case #:	506636824
Judgment/Lien Outstanding?	Yes
Broker Statement	TAX YEAR 2021

Disclosure 3 of 5

Reporting Source:	Individual
Judgment/Lien Holder:	STATE OF ILLINOIS
Judgment/Lien Amount:	\$80,738.44
Judgment/Lien Type:	Tax
Date Filed with Court:	09/12/2024
Date Individual Learned:	10/02/2024



Type of Court: State Court
Name of Court: STATE OF ILLINOIS
Location of Court: SPRINGFIELD, IL
Docket/Case #: 237971
Judgment/Lien Outstanding? Yes

Disclosure 4 of 5

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$70,267.96
Judgment/Lien Type: Tax
Date Filed with Court: 08/11/2022
Date Individual Learned: 09/09/2022
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: INTERNAL REVENUE SERVICE
Location of Court: CHICAGO, IL
Docket/Case #: 457400622
Judgment/Lien Outstanding? Yes
Broker Statement TAX YEAR 2019

Disclosure 5 of 5

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$175,722.14
Judgment/Lien Type: Tax
Date Filed with Court: 08/03/2021
Date Individual Learned: 09/29/2021
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: INTERNAL REVENUE SERVICE
Location of Court: CHICAGO, IL
Docket/Case #: 436713521
Judgment/Lien Outstanding? Yes
Broker Statement TAX YEAR 2018



End of Report

This page is intentionally left blank.