



IAPD Report

MICKEY LEE HENDERSON

CRD# 1339944

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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

MICKEY LEE HENDERSON (CRD# 1339944)

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 **11/15/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	LPL FINANCIAL LLC	CRD# 6413	11/29/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	29604	Healdsburg, CA	05/21/2014 - 11/29/2017
B	NATIONAL PLANNING CORPORATION	29604	Healdsburg, CA	05/20/2014 - 11/29/2017
B	WRP INVESTMENTS, INC.	7365	HEALDSBURG, CA	01/04/2010 - 06/14/2014

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
Criminal	1
Customer Dispute	1



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 6 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

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	11/29/2017
B FINRA	General Securities Representative	Approved	11/29/2017
B Arizona	Agent	Approved	11/29/2017
B California	Agent	Approved	11/29/2017
IA California	Investment Adviser Representative	Approved	11/29/2017
B Georgia	Agent	Approved	08/02/2021
IA Georgia	Investment Adviser Representative	Approved	08/02/2021
B Hawaii	Agent	Approved	09/03/2021
B New Mexico	Agent	Approved	11/15/2024
IA Washington	Investment Adviser Representative	Approved	10/01/2020

Branch Office Locations

LPL FINANCIAL LLC
SAVANNAH, GA



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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	04/09/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/20/1985

State Securities Law Exams

	Exam	Category	Date
	Uniform Securities Agent State Law Examination (S63)	Series 63	02/19/2013

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	05/21/2014 - 11/29/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	Healdsburg, CA
B	05/20/2014 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	Healdsburg, CA
B	01/04/2010 - 06/14/2014	WRP INVESTMENTS, INC.	CRD# 7365	HEALDSBURG, CA
IA	01/04/2010 - 06/14/2014	WRP INVESTMENTS, INC.	CRD# 7365	HEALDSBURG, CA
IA	04/13/2005 - 12/31/2009	LPL FINANCIAL CORPORATION	CRD# 6413	HEALDSBURG, CA
B	09/25/1998 - 12/31/2009	LPL FINANCIAL CORPORATION	CRD# 6413	HEALDSBURG, CA
B	11/11/1993 - 10/02/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	11/11/1993 - 10/02/1998	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	09/05/1991 - 12/20/1993	TRANSAMERICA FINANCIAL RESOURCES, INC.	CRD# 3600	LOS ANGELES, CA
B	06/30/1989 - 07/12/1991	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	03/20/1989 - 06/15/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	04/24/1985 - 12/22/1988	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	

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
11/2017 - Present	LPL FINANCIAL LLC	Mass Transfer	Y	Healdsburg, CA, United States
05/2014 - Present	NATIONAL PLANNING CORPORATION	INDEPENDENT CONTRACTOR	Y	HEALDSBURG, CA, United States



Registration & Employment History



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. 11/29/2017 - SOWARD FAMILY PARTNERSHIP - Not Investment Related - HEALDSBURG CA 95448 - Other - Managing general partner - Start Date 1986 - 0 Hours During Trading - 20% Time Spent.
2. 11/29/2017 - TIMBER LAND MANAGEMENT.ML HENDERSON & ASSOCIATES - Not Investment Related - HEALDSBURG CA 95448 - Other - Maintenance of land for forest management - Start Date 1986 - 0 Hours During Trading - 20% Time Spent.
3. 11/29/2017 - No Business Name - Investment Related - Insurance Agency - Agent Broker - Start Date 1983 - 5% Time Spent - FIXED INSURANCE SALES. Agent Broker selling insurance. Advisor sells term life, UL and Fixed annuities under his insurance license.



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
Criminal	1
Customer Dispute	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	NAPA COUNTY COURT
Name of Court:	NAPA COUNTY COURT
Location of Court:	NAPA CALIFORNIA, USA
Docket/Case #:	A75-2033
Charge Date:	08/22/1975
Charge(s) 1 of 1	
Formal Charge(s)/Description:	CHARGE 1 BURGLARY; CHARGE 2 POSS OF STOLEN PROP
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	GUILTY
Disposition of charge:	Pled guilty
Current Status:	Final
Status Date:	10/10/1975
Disposition Date:	10/10/1975
Sentence/Penalty:	PAID FINE IN THE AMOUNT OF \$1,250 ON 10/01/1975; 1 YEAR PROBATION; 30 DAYS WORK DETAIL ON THE WEEKENDS
Broker Statement	A GROUP OF KIDS WERE PARTYING AT LAKE BERRYESSA IN NAPA COUNTY, 2 OF THE KIDS IN THE GROUP BROKE INTO A STORE & STOLE BEER. EVERYONE AT THE SCENE WAS CHARGED.



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Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WRP INVESTMENTS, INC.

Allegations: CLIENT ALLEGES THAT REP SOLD HER A FIXED INDEX ANNUITY IN AUGUST 2012 THAT WAS UNSUITABLE AND THAT SHE WAS NOT MADE FULLY AWARE OF THE MATERIAL FACTS OF THE CONTRACT. THE ALLEGATIONS INCLUDE THE TIME PERIOD FROM AUGUST 2012 UNTIL DECEMBER 2012

Product Type: Annuity-Fixed

Alleged Damages: \$310,000.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT IS REQUESTING THAT ALL SURRENDER CHARGES BE WAIVED AND THE MONEY INVESTED INTO THE ANNUITY BE RETURNED TO HER. WE NO LONGER HAVE ACCESS TO THE CONTRACT INFO TO DETERMINE THE EXACT SURRENDER CHARGES OR VALUE OF THE CONTRACT

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: 02/27/2013

Complaint Pending? No

Status: Denied

Status Date: 03/05/2013

Settlement Amount:

Individual Contribution Amount:



End of Report

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