



IAPD Report

SHAWN PARIS PATRICK

CRD# 1419385

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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

SHAWN PARIS PATRICK (CRD# 1419385)

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 **10/30/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	01/06/2012
IA	TRANSAMERICA FINANCIAL ADVISORS, LLC	CRD# 16164	01/06/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	CINCINNATI, OH	09/25/2006 - 01/06/2012
B	WORLD GROUP SECURITIES, INC.	114473	CINCINNATI, OH	04/04/2002 - 01/06/2012
B	WMA SECURITIES, INC.	32625	DULUTH, GA	07/08/1996 - 04/12/2002

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
Regulatory Event	1
Customer Dispute	1
Termination	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 **14** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **TRANSAMERICA FINANCIAL ADVISORS, LLC**
Main Address: TWO LIBERTY PLACE
50 SOUTH 16TH STREET, SUITE 3700
PHILADELPHIA, PA 19102
Firm ID#: 16164

Regulator	Registration	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/06/2012
B FINRA	Investment Co./Variable Contracts Prin	Approved	01/06/2012
B California	Agent	Approved	12/20/2024
B Florida	Agent	Approved	01/06/2012
B Georgia	Agent	Approved	02/28/2012
B Illinois	Agent	Approved	11/25/2025
B Indiana	Agent	Approved	01/06/2012
B Kentucky	Agent	Approved	01/06/2012
B Maine	Agent	Approved	01/06/2012
B Michigan	Agent	Approved	12/05/2019
IA North Carolina	Investment Adviser Representative	Approved	07/22/2016
B North Carolina	Agent	Approved	07/02/2019
B Ohio	Agent	Approved	01/06/2012



Qualifications

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	01/06/2012
B Oklahoma	Agent	Approved	06/07/2022
B Tennessee	Agent	Approved	02/25/2020
B Texas	Agent	Approved	10/27/2021
IA Texas	Investment Adviser Representative	Restricted Approval	01/13/2018
B Virginia	Agent	Approved	08/03/2023

Branch Office Locations

TRANSAMERICA FINANCIAL ADVISORS, LLC
11421 CHESTER ROAD
CINCINNATI, OH 45246




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	04/01/1988

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/26/1985

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	08/29/2006
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/20/1985

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	09/25/2006 - 01/06/2012	INVESTMENT ADVISORS INTERNATIONAL, INC.	CRD# 139233	CINCINNATI, OH
B	04/04/2002 - 01/06/2012	WORLD GROUP SECURITIES, INC.	CRD# 114473	CINCINNATI, OH
B	07/08/1996 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA
B	11/27/1985 - 07/12/1996	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, GA

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
02/2021 - Present	Net Law Group Inc.	Representative	N	Louisville, KY, United States
01/2016 - Present	WealthWave	NA	Y	Cincinnati, OH, United States
01/2012 - Present	TRANSAMERICA FINANCIAL ADVISORS, INC	Mass Transfer	Y	CINCINNATI, OH, United States
06/2001 - Present	WFG	ASSOC./SALES	N	CINCINNATI, OH, 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.

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

Wealthwave | investment related | marketing | 01/2016 | CincinnatiOhioUnited States| approved co-brand company through WFGIA

Net Law Group Inc. / 0220-Present /Investment Related: No/ 12910 Shelbyville Rd. Suite 124 Louisville, KY 40243/ Representative / Provides Estate Documents / Hrs Work Monthly: 4 / Sec Trading Hrs: 0 / If a client or prospect wishes to have a Estate document such as a Will or Trust, I can an account for them through NetLaw and they can create their Will and Trust documents.



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
Regulatory Event	1
Customer Dispute	1
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	01/04/2022
Docket/Case Number:	2020067798901
Employing firm when activity occurred which led to the regulatory action:	TransAmerica Financial Advisors, Inc.
Product Type:	Other: 401(k) plans
Allegations:	Without admitting or denying the findings, Patrick consented to the sanctions and to the entry of findings that he impersonated customers in telephone calls to a third-party firm that administered the 401(k) plan in which the customers participated. The findings stated that Patrick met with individual participants in a 401(k) plan. Four of those individuals requested his assistance making changes to their accounts, including reallocating account holdings. Patrick made four separate calls to the firm that administered the 401(k) plan. During those calls, Patrick posed as the customers and, while doing so, made the requested changes to the customers' account allocations.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

01/04/2022

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: In determining the appropriate sanctions in this matter, FINRA considered, among other factors, that Patrick's member firm suspended him for 14 days and fined him \$7,500.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: 10 Business Days
Start Date: 02/07/2022
End Date: 02/18/2022

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)
Total Amount: \$5,000.00
Portion Levied against individual: \$5,000.00
Payment Plan:
Is Payment Plan Current:
Date Paid by individual: 01/27/2022
Was any portion of penalty waived? No

Amount Waived:

.....
Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought:
Date Initiated: 01/04/2022
Docket/Case Number: [2020067798901](#)
Employing firm when activity occurred which led to the regulatory action: Transamerica Financial Advisors, Inc.



Product Type:	Other: 401(k) plans
Allegations:	Without admitting or denying the findings, Patrick consented to the sanctions and to the entry of findings that he impersonated customers in telephone calls to a third-party firm that administered the 401(k) plan in which the customers participated. The findings stated that Patrick met with individual participants in a 401(k) plan. Four of those individuals requested his assistance making changes to their accounts, including reallocating account holdings. Patrick made four separate calls to the firm that administered the 401(k) plan. During those calls, Patrick posed as the customers and, while doing so, made the requested changes to the customers' account allocations.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/04/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	10 Business Days
Start Date:	02/07/2022
End Date:	02/18/2022
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	



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:	WORLD GROUP SECURITIES
Allegations:	THE CLIENT STATED THAT HE REQUESTED A DISTRIBUTION FROM HIS IRA WITHOUT ANY PENALTIES OR TAXES YET RECEIVED THEM.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	\$25,217.00

Customer Complaint Information

Date Complaint Received:	05/29/2008
Complaint Pending?	No
Status:	Denied
Status Date:	11/07/2008
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	COMPLAINT DENIED.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Individual
Firm Name:	PFS INVESTMENTS, INC.
Termination Type:	Voluntary Resignation
Termination Date:	07/05/1996
Allegations:	I WAS ACCUSED OF MISAPPROPRIATING 3 COMMISSION CHECKS FROM A PRIMERICA REPRESENTATIVE. THE COMPLAINING PARTY WAS PAID FROM MY FUNDS. THE INVESTIGATION WAS CONCLUDED 7/25/96. THE CURRENT STATUS OF THE EVENT IS CLOSED.
Product Type:	Insurance
Other Product Types:	
Broker Statement	I VOLUNTARILY RESIGNED FROM PFS INVESTMENTS ON JULY 5, 1996. MY PURPOSE OF RESIGNING FROM PFS WAS TO PURSUE ANOTHER OPPORTUNITY.



End of Report

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