IAPD Report

STEPHEN JEFFREY CAMPBELL

CRD# 1430366

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

STEPHEN JEFFREY CAMPBELL (CRD# 1430366)

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 **04/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/21/2022
IA	LPL FINANCIAL LLC	CRD# 6413	04/21/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	SECURITIES AMERICA ADVISORS, INC.	110518	FISHERSVILLE, VA	11/12/2003 - 04/21/2022
B	SECURITIES AMERICA, INC.	10205	FISHERSVILLE, VA	10/29/2002 - 04/21/2022
B	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA	08/22/1989 - 10/30/2002

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

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 **17** 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	04/21/2022
B	FINRA	General Securities Representative	Approved	04/21/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	04/21/2022
B	Arizona	Agent	Approved	04/21/2022
B	Arkansas	Agent	Approved	04/21/2022
B	Delaware	Agent	Approved	11/09/2022
B	Florida	Agent	Approved	04/21/2022
B	Indiana	Agent	Approved	04/25/2022
B	Kansas	Agent	Approved	04/21/2022
B	Maryland	Agent	Approved	04/21/2022
B	Mississippi	Agent	Approved	10/31/2022
B	North Carolina	Agent	Approved	04/22/2022
B	Ohio	Agent	Approved	04/29/2025

Qualifications

	Regulator	Registration	Status	Date
B	Oklahoma	Agent	Approved	04/29/2026
B	Pennsylvania	Agent	Approved	04/21/2022
B	South Carolina	Agent	Approved	04/21/2022
B	Tennessee	Agent	Approved	04/21/2022
B	Texas	Agent	Approved	04/29/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	04/04/2025
B	Virginia	Agent	Approved	04/21/2022
IA	Virginia	Investment Adviser Representative	Approved	04/21/2022
B	West Virginia	Agent	Approved	04/21/2022

Branch Office Locations

LPL FINANCIAL LLC
FISHERSVILLE, VA

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/06/2002

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/16/1987
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/30/1985

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	10/30/2003
B	Uniform Securities Agent State Law Examination (S63)	Series 63	11/15/1985

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/12/2003 - 04/21/2022	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	FISHERSVILLE, VA
B	10/29/2002 - 04/21/2022	SECURITIES AMERICA, INC.	CRD# 10205	FISHERSVILLE, VA
B	08/22/1989 - 10/30/2002	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	08/19/1986 - 08/26/1989	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	11/06/1985 - 09/02/1986	RELIASTAR FINANCIAL MARKETING CORP.	CRD# 4234	

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
04/2022 - Present	LPL Financial	Registered representative	Y	Fishersville, VA, United States
05/2005 - 04/2022	EVERBANK	EMPLOYEE-MORTGAGE ORIGINATION & BANKING SERVICES	Y	JACKSONVILLE, FL, United States
11/2003 - 04/2022	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	FISHERSVILLE, VA, United States
10/2002 - 04/2022	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	FISHERSVILLE, VA, United States
04/1978 - 04/2022	CAMPBELL FINANCIAL SERVICES	INSURANCE AGENT / SOLE PROPRIETOR	Y	FISHERSVILLE, VA, 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- 07/01/2006 / Stephen J campbell Real Estate LLC / Real Estate Rental / Investment Related / 1904 jefferson Hwy, Fishersville, VA 22939
2- 04/2022 / DBA for LPL Business (entity for LPL business) / Cornerstone Wealth Advisor Group / Investment Related / 160 HR MNTH & 8 HR During Trading / Fishersville Fishersville, Fishersville, VA 22939

Registration & Employment History

OTHER BUSINESS ACTIVITIES

3- 07/2000 / Real Property / Real Estate Rental / Investment Related / 128 henry ave waynesboro VA 22980
4- 04/26/2023 - Advisors Excel - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Insurance Agent - Start Date 04/17/2023 - 4 Hours Per Month/2 Hours During Securities Trading
5- 10/04/2023 - Real Estate Rental - Condo - Investment Related - Emerald Isle, NC - Start Date 09/28/2023 - 2 Hours Per Month/ 0 Hurs During Trading

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

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:	VIRGINIA - STATE CORPORATION COMMISSION DIVISION OF SECURITIES
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	
Date Initiated:	03/10/1993
Docket/Case Number:	SEC930006
Employing firm when activity occurred which led to the regulatory action:	MID-STATES GENERAL, INC.
Product Type:	Other
Other Product Type(s):	LIMITED PARTNERSHIP
Allegations:	OFFERED FOR SALE AND SOLD UNREGISTERED SECURITIES; SUCH SECURITIES BEING IN THE FORM OF LIMITED PARTNERSHIP UNITS/INVESTMENT CONTRACTS; TRANSACTED BUSINESS AS AN UNREGISTERED AGENT FOR MID STATES GENERAL, INC. AND EFFECTED SECURITIES TRANSACTIONS THAT WERE NEITHER RECORDED ON THE REGULAR BOOKS OF THE BROKER-DEALER WITH WHOM HE WAS REGISTERED NOR AUTHORIZED IN WRITING BEFOREHAND.
Current Status:	Final
Resolution:	Consent

Resolution Date:	03/10/1993
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	DEFENDANT AGREED, WITHOUT ADMITTING NOR DENYING THE ALLEGATIONS, NOT TO VIOLATE THE LAW IN THE FUTURE; TO OFFER FOR SALE AND SELL IN VIRGINIA ONLY SECURITIES ISSUED BY AN INVESTMENT COMPANY, WHICH ARE REGISTERED UNDER THE VIRGINIA SECURITIES ACT OR EXEMPTED THEREFROM; NOT TO APPLY FOR REGISTRATION WITH THIS DIVISION AS EITHER AN INVESTMENT ADVISOR OR A BROKER-DEALER FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE ORDER OF SETTLEMENT; NOT TO ENGAGE, DIRECTLY OR INDIRECTLY, IN ANY PROMOTIONAL ACTIVITY ON BEHALF OF ANY ISSUER INCLUDING, BUT NOT LIMITED TO, THE ACTIVITY OF STRUCTURING OR PREPARING SECURITIES OFFERING DOCUMENTS FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE ORDER; NOT TO SERVE IN ANY SUPERVISORY CAPACITY FOR ANY BD REGISTERED UNDER THE VA. SECURITIES ACT OR FOR ANY ISSUER WHOSE SECURITIES ARE OFFERED OR SOLD IN VA FOR A PERIOD OF FIVE YEARS FROM THE DATE OF THE ORDER; TO CAUSE ANY BD, WHICH IS REGISTERED IN VA, AND FOR WHICH HE IS A REGISTERED AGENT, TO SUBMIT A WRITTEN AGREEMENT THAT IT AGREE, FOR A PERIOD OF FIVE YEARS FROM THE DATE OF ORDER, IT WILL REVIEW THE DEFENDANTS TRANSACTIONS ON A QUARTERLY BASIS AND CONTACT A MINIMUM OF FIVE CLIENTS ON A RANDOM BASIS TO DETERMINE IF THEY HAVE ANY COMPLAINTS WITH REGARD TO THE HANDLING OF THEIR ACCOUNTS AND IMMEDIATELY NOTIFY THE DIVISION OF ANY IRRIGULARITIES THAT ARISE WITH RESPECT TO ANY SUCH CLIENT'S ACCOUNTS; AND PAY $1,000 TO DEFRAY THE COST OF THE INVESTIGATION.
Regulator Statement	CONTACT MAX ZOECKLER, CHIEF INVESTIGATION, 804-371-9611.

Reporting Source:	Individual
Regulatory Action Initiated By:	COMMONWEALTH OF VIRGINIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	03/10/1993
Docket/Case Number:	SEC930006
Employing firm when activity occurred which led to the regulatory action:	MID-STATES GENERAL, INC.
Product Type:	
Other Product Type(s):	
Allegations:	SOLD UNREGISTERED NON-EXEMPT SECURITIES, TRANSACTED BUSINESS AS UNREGISTERED AGENT FOR THE MID STATES GENERAL LIMITED PARTNERSHIPS, EFFECTED SECURITIES TRANSACTIONS THAT WERE NEITHER RECORDED ON REGULAR BOOKS OR RECORDS OF

	THE BROKER/DEALER NOR AUTHORIZED IN WRITING BEFOREHAND.
Current Status:	Final
Resolution:	Consent
Resolution Date:	03/10/1993
Sanctions Ordered:	
Other Sanctions Ordered:	
Sanction Details:	I ENTERED INTO AN ORDER ACCEPTING OFFER OF SETTLEMENT WITH THE COMMONWEALTH OF VIRGINIA WHERE I AGREED TO NOT APPLY FOR REGISTRATION AS AN INVESTMENT ADVISOR OR BROKER/DEALER FOR FIVE YEARS, TO NOT ENGAGE DIRECTLY OR INDIRECTLY IN ANY PROMOTIONAL ACTIVITY ON BEHALF OF ANY ISSUER, TO NOT VIOLATE VIRGINIA LAW, TO NOT SERVE IN ANY SUPERVISORY CAPACITY FOR FIVE YEARS, TO BE SUBJECT TO SPECIAL SUPERVISION BY MY BROKER/DEALER FOR FIVE YEARS AND TO PAY $1,000 TO VIRGINIA COMMISSION TO DEFRAY THE COST OF THE INVESTIGATION.
Broker Statement	Not Provided

End of Report

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