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IAPD Report

JACK WENDELL GRIFFITH JR

CRD# 1446978

Section Title	Page(s)
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Information	8

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

User Guidance

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Report Summary

JACK WENDELL GRIFFITH JR (CRD# 1446978)

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 **03/27/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/18/2023
IA	LPL FINANCIAL LLC	CRD# 6413	05/18/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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
B	SIGMA FINANCIAL CORPORATION	14303	Columbia, SC	07/30/2021 - 05/18/2023
IA	SPC	110692	Columbia, SC	07/30/2021 - 05/18/2023
B	JANNEY MONTGOMERY SCOTT LLC	463	COLUMBIA, SC	01/27/2014 - 08/04/2021

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
Customer Dispute	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 **8** 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	05/18/2023
B	FINRA	General Securities Representative	Approved	05/18/2023
B	FINRA	General Securities Sales Supervisor	Approved	05/18/2023
B	Arizona	Agent	Approved	05/18/2023
B	District of Columbia	Agent	Approved	05/18/2023
B	Florida	Agent	Approved	05/18/2023
B	Georgia	Agent	Approved	05/22/2023
B	North Carolina	Agent	Approved	05/18/2023
B	Rhode Island	Agent	Approved	05/18/2023
B	South Carolina	Agent	Approved	05/18/2023
IA	South Carolina	Investment Adviser Representative	Approved	04/03/2025
B	Texas	Agent	Approved	05/18/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/18/2023

Qualifications

Branch Office Locations

LPL FINANCIAL LLC
COLUMBIA, SC

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
B	General Securities Principal Examination (S24)	Series 24	11/18/2009
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	04/17/1996

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	National Commodity Futures Examination (S3)	Series 3	10/17/1997
B	General Securities Representative Examination (S7)	Series 7	01/18/1986

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/04/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/01/1986

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
B	07/30/2021 - 05/18/2023	SIGMA FINANCIAL CORPORATION	CRD# 14303	Columbia, SC
IA	07/30/2021 - 05/18/2023	SPC	CRD# 110692	Columbia, SC
B	01/27/2014 - 08/04/2021	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	COLUMBIA, SC
IA	01/27/2014 - 08/04/2021	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	COLUMBIA, SC
B	10/05/2009 - 01/28/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	COLUMBIA, SC
IA	10/05/2009 - 01/28/2014	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	COLUMBIA, SC
IA	05/22/2007 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	COLUMBIA, SC
B	05/16/2007 - 10/05/2009	AMERIPRISE ADVISOR SERVICES, INC.	CRD# 5979	COLUMBIA, SC
B	05/21/2004 - 05/22/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	SUMTER, SC
IA	05/21/2004 - 05/22/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	SUMTER, SC
IA	09/28/1998 - 05/28/2004	LEGG MASON WOOD WALKER INC	CRD# 6555	COLUMBIA, NC
B	07/02/1998 - 05/28/2004	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	11/20/1995 - 07/14/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	01/23/1986 - 11/20/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
05/2023 - Present	LPL Financial	Registered Representative	Y	Colombia, SC, United States
07/2021 - 05/2023	SPC	Investment Advisor Representative	Y	Ann Arbor, MI, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2021 - 05/2023	Sigma Financial Corporation	Registered Representative	Y	Ann Arbor, MI, United States
01/2014 - 07/2021	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	COLUMBIA, SC, 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. 06/28/2023 - Upstream Investment Partners - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date 05/09/2023 - 120 Hours Per Month/ 8 Hours During Securities Trading - Time Spent 100%

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
Customer Dispute	5

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 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Janney Montgomery Scott LLC
Allegations:	Claimants allege that FA made unsuitable investments in their accounts.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$150,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Arbitration
Docket/Case #:	18-00083
Filing date of arbitration/CFTC reparation or civil litigation:	01/08/2018

Customer Complaint Information

Date Complaint Received:	01/10/2018
Complaint Pending?	No
Status:	Settled

Status Date:	02/20/2019
Settlement Amount:	$12,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	JANNEY MONTGOMERY SCOTT LLC
Allegations:	Clients through their attorney allege that the Financial Advisor made questionable recommendations for the client's account, exposed the client to overconcentration and breached his fiduciary duty.
Product Type:	Equity-OTC
Alleged Damages:	$200,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA Dispute Resolution Arbitration
Docket/Case #:	18-00081
Filing date of arbitration/CFTC reparation or civil litigation:	01/08/2018

Customer Complaint Information

Date Complaint Received:	01/10/2018
Complaint Pending?	No
Status:	Settled
Status Date:	02/25/2019
Settlement Amount:	$35,000.00
Individual Contribution Amount:	$0.00

Disclosure 3 of 5

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Janney Montgomery Scott LLC
Allegations:	Client through its attorney alleges that the Financial Advisor recommended unsuitable securities and caused the client's accounts to be over-concentrated in energy investments.
Product Type:	Equity Listed (Common & Preferred Stock)

Alleged Damages:	$4,265,639.00
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:	02/17/2017
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	08/17/2017
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA DISPUTE RESOLUTION ARBITRATION
Docket/Case #:	17-02080
Date Notice/Process Served:	08/17/2017
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/26/2018
Monetary Compensation Amount:	$650,000.00
Individual Contribution Amount:	$5,000.00
Broker Statement	THIS MATTER WAS SETTLED IN THE INTEREST OF CLIENT RELATIONS AND TO AVOID POTENTIALLY LENGTHY AND COSTLY LITIGATION.

Disclosure 4 of 5

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	AMERIPRISE FINANCIAL SERVICES INC.
Allegations:	THE CLIENT ALLEGED A GNMA PURCHASE IN DECEMBER 2011 AND A FNMA PURCHASE IN FEBRUARY 2013 WERE MISREPRESENTED.
Product Type:	Debt-Government
Alleged Damages:	$8,435.30
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: 08/11/2014

Complaint Pending? No

Status: Denied

Status Date: 08/28/2014

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES, INC.

Allegations: THE CLIENT ALLEGED A GNMA PURCHASE IN DECEMBER 2011 AND A FNMA PURCHASE IN FEBRUARY 2013 WERE MISREPRESENTED.

Product Type: Debt-Government

Alleged Damages: $8,435.30

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: 08/11/2014

Complaint Pending? No

Status: Denied

Status Date: 08/28/2014

Settlement Amount:

Individual Contribution Amount:

Disclosure 5 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERIPRISE FINANCIAL SERVICES, INC.

Allegations: CLAIMANT ALLEGES THAT HIS ADVISOR MADE AN UNSUITABLE RECOMMENDATION THAT HE INVEST $125,000 IN LEHMAN BROTHERS BONDS IN JULY 2008. AFTER LEHMAN BROTHERS DECLARED BANKRUPTCY IN SEPTEMBER 2008, THE BONDS WERE SOLD, REALIZING A PURPORTED LOSS OF $94,162.

Product Type:	Other: LEHMAN BOND
Alleged Damages:	$94,162.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA - SC
Docket/Case #:	11-02584
Filing date of arbitration/CFTC reparation or civil litigation:	07/11/2011

Customer Complaint Information

Date Complaint Received:	07/11/2011
Complaint Pending?	No
Status:	Settled
Status Date:	08/27/2012
Settlement Amount:	$53,000.00
Individual Contribution Amount:	$0.00
Broker Statement	AMERIPRISE CHOSE TO SETTLE THE MATTER IN ORDER TO AVOID THE COSTS ASSOCIATED WITH FINRA ARBITRATION.

End of Report

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