User Guidance

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IAPD Report

EDWARD ANTHONY HUNTON

CRD# 1478492

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

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Report Summary

EDWARD ANTHONY HUNTON (CRD# 1478492)

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 **05/14/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/22/2023
IA	LPL FINANCIAL LLC	CRD# 6413	11/27/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	B. RILEY WEALTH MANAGEMENT	2543	Seattle, WA	07/22/2022 - 11/27/2023
IA	B. RILEY WEALTH ADVISORS, INC.	115927	SEATTLE, WA	06/25/2021 - 11/27/2023
B	NATIONAL SECURITIES CORPORATION	7569	SEATTLE, WA	09/08/2015 - 07/22/2022

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	4

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 **10** 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 Representative	Approved	11/22/2023
B	Alaska	Agent	Approved	11/22/2023
B	Arizona	Agent	Approved	05/28/2024
B	California	Agent	Approved	11/22/2023
B	Hawaii	Agent	Approved	11/22/2023
B	Idaho	Agent	Approved	11/22/2023
B	Iowa	Agent	Approved	11/22/2023
B	New York	Agent	Approved	11/22/2023
B	Oregon	Agent	Approved	11/22/2023
B	Utah	Agent	Approved	11/22/2023
B	Washington	Agent	Approved	11/22/2023
IA	Washington	Investment Adviser Representative	Approved	11/27/2023

Branch Office Locations

Qualifications

LPL FINANCIAL LLC
SPOKANE, WA

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 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	06/24/2009

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	01/07/2009

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/11/2020
IA B	Uniform Combined State Law Examination (S66)	Series 66	07/26/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/13/2009

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
B	07/22/2022 - 11/27/2023	B. RILEY WEALTH MANAGEMENT	CRD# 2543	Seattle, WA
IA	06/25/2021 - 11/27/2023	B. RILEY WEALTH ADVISORS, INC.	CRD# 115927	SEATTLE, WA
B	09/08/2015 - 07/22/2022	NATIONAL SECURITIES CORPORATION	CRD# 7569	SEATTLE, WA
B	07/23/2013 - 09/10/2015	COUNTRY CAPITAL MANAGEMENT COMPANY	CRD# 12060	SPOKANE VALLEY, WA
IA	07/27/2012 - 07/11/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SPOKANE, WA
B	07/24/2012 - 07/11/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	SPOKANE, WA
B	01/08/2009 - 07/05/2012	FREEDOM INVESTORS CORP.	CRD# 23714	BROOKFIELD, WI
B	01/06/2011 - 04/11/2011	KCD FINANCIAL, INC.	CRD# 127473	GREEN BAY, WI
B	08/18/2004 - 09/07/2004	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
IA	05/25/1999 - 06/05/2002	UBS PAINEWEBBER INC.	CRD# 8174	SPOKANE, WA
B	05/03/1999 - 06/05/2002	UBS PAINEWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	07/10/1996 - 04/22/1999	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	07/29/1994 - 07/12/1996	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/07/1988 - 07/22/1994	NATIONAL SECURITIES CORPORATION	CRD# 7569	BOCA RATON, FL
B	07/12/1988 - 10/22/1988	DAROZA ANDERSON, INC.	CRD# 16022	
B	01/13/1988 - 05/20/1988	DILLON SECURITIES, INC.	CRD# 10660	
B	06/25/1986 - 09/26/1986	DILLON SECURITIES, INC.	CRD# 10660	

Registration & Employment History

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
11/2023 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Spokane, WA, United States
07/2022 - 11/2023	B. RILEY WEALTH MANAGEMENT	Mass Transfer	Y	SEATTLE, WA, United States
06/2021 - 11/2023	B. RILEY WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	SEATTLE, WA, United States
09/2015 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SEATTLE, WA, 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) 10/27/2023 - BREAKSTONE SALON, LLC - Business Owner - Hair Salon - WA 99204 - Non investment related - 1% time spent - Start date: 8/15/2013.

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	4

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 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, NEGLIGENCE, UNAUTHORIZED TRADING, FRAUD AND CHURNING IN CONNECTION WITH STOCKS PURCHASED IN HER UBS PW ACCOUNTS.
Product Type:	Equity - OTC
Alleged Damages:	$204,160.00

Customer Complaint Information

Date Complaint Received:	04/15/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/05/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD: DOCKET # 02-03007
Date Notice/Process Served:	06/05/2002

Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/08/2003
Monetary Compensation Amount:	$155,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLIENT MAKES AN ADDITIONAL CLAIM OF CHURNING. DAMAGES ESTIMATED TO EXCEED $5000.
Product Type:	Equity - OTC
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	04/15/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/08/2003
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DOCKET # 02-03007
Date Notice/Process Served:	06/05/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/08/2003
Monetary Compensation Amount:	$155,000.00
Individual Contribution Amount:	$0.00

Disclosure 2 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS PAINEWEBBER INC.
Allegations:	CLIENT ALLEGES THAT FA ENGAGED IN UNAUTHORIZED TRADING BY

	EXCEEDING THE AGREEMENT THAT SHE MADE WITH THE FA WITH RESPECT TO THE EXERCISE OF DISCRETION IN THE ACCOUNT. IN ADDITION CLIENT ALLEGES THAT THE VERTEL POSITION MAINTAINED IN THE ACCOUNT WAS NOT SUITABLE. THE CLIENT ALLEGES THAT SHE WANTED TO PLACE $258,000 IN A "RISK FREE" SAFE INTEREST ACCOUNT AND THAT FA INSTEAD PLACED THESE FUNDS IN VERTEL. IN ADDITION, CLIENT ALLEGES THE FA "GOT TOO AGGRESSIVE WITH MY ACCOUNT AND OVERSTEPPED OUR AGREEMENT". THE TIME PERIOD IS APRIL 1999 TO MAY 2000.
Product Type:	Equity - OTC
Alleged Damages:	$300,000.00

Customer Complaint Information

Date Complaint Received:	11/27/2000
Complaint Pending?	No
Status:	Denied
Status Date:	05/24/2001
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	CLIENT GAVE VERBAL TIME AND PRICE DISCRETION REGARDING SPECIFIC SECURITIES WHICH WAS ADHERED TO WHILE SHE WAS TRAVELING. CLIENT TRADED AGGRESSIVELY IN AN EFFORT TO REGAIN LOSS FROM IMPAC MORTGAGE AFTER AGREEING TO THIS STRATEGY. CLIENT CHOSE TO CONTINUE USING AN AGGRESSIVE STRATEGY AFTER THE IMPAC LOSS WAS RECOUPED. CLIENT DID WELL IN VERTEL AND ACCEPTED THE RISK WHILE IT WAS GOING UP AND AGREED TO ADD TO THE POSITION. ON THE WAY DOWN THE CLIENT CHOSE TO ADD TO THE POSITION AGAINST MY ADVICE. CLIENT SPECIFIED A LIQUID NET WORTH OF $1,000,000 + AS PROOF OF SUITABILITY WHEN ADDING TO VERTEL POSITION.

Disclosure 3 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	EVEREN SECURITIES, INC.
Allegations:	
Product Type:	
Alleged Damages:	$13,000.00

Customer Complaint Information

Date Complaint Received:	12/17/1998
Complaint Pending?	No
Status:	Denied
Status Date:	01/05/1999
Settlement Amount:	
Individual Contribution	

Amount:

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: EVEREN SECURITIES, INC.

Allegations: CUSTOMER COMPLAINED THAT INVESTMENT
CONSULTANT FAILED TO FOLLOW HER INSTRUCTIONS IN THAT HE
ENTERED
A PURCHASE ORDER OF 20 AMERICA ONLINE PUT OPTIONS WHEN IN FACT HER ORDER WAS ALLEGEDLY FOR 10 CALLS OF THAT SECURITY. THE CUSTOMER FURTHER CLAIMED THAT THE INVESTMENT CONSULTANT INITIALLY ADMITTED TO HER THAT THIS "ERROR" HAD BEEN MADE WHEN CONFRONTED BY HER BUT LATER DENIED ANY WRONGDOING.
CUSTOMER
SEEKS IN EXCESS OF $13,000.00.

Product Type:

Alleged Damages: $13,000.00

Customer Complaint Information

Date Complaint Received: 12/17/1998

Complaint Pending? No

Status: Denied

Status Date: 01/05/1999

Settlement Amount:

Individual Contribution Amount:

Broker Statement AFTER THE FIRM INVESTIGATED THE ABOVE
ALLEGATIONS THE CLAIM WAS DENIED IN FULL
Not Provided

Disclosure 4 of 4

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: EVEREN SECURITIES, INC.

Allegations: THE CUSTOMER CLAIMS THAT THE INVESTMENT CONSULTANT FAILED TO FOLLOW HIS INSTRUCTIONS IN THAT 10,000 SHARES OF CASCADE COMMUNICATIONS, INC WERE PURCHASED, WHEN IN FACT, ONLY 2,000 SHARES WERE ORDERED TO BE PURCHASED. IN THE STATEMENT OF CLAIM FILED IN THE ARBITRATION, THE CLAIMANTS ALLEGED UNAUTHORIZED TRADING AND MISREPRESENTATIONS IN CONNECTION WITH THEIR PURCHASE OF CASCADE COMMUNICATIONS CORP (CSCC) COMMON STOCK.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: $148,061.41

Customer Complaint Information

Date Complaint Received:	03/12/1997
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/03/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARBITRATION CASE #99-02526
Date Notice/Process Served:	05/17/1999
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/17/2001
Monetary Compensation Amount:	$21,000.00
Individual Contribution Amount:	

Civil Litigation Information

Court Details:	SUPERIOR COURT OF WASHINGTON FOR KING COUNTY; CASE #98-2-02978-1
Date Notice/Process Served:	02/06/1998
Litigation Pending?	No
Disposition:	Other
Disposition Date:	09/15/1998
Firm Statement	THE NASD ARBITRATION PANEL AWARDED THE CLAIMANT THE AMOUNT OF $21,000. RESPONDENTS ARE JOINT AND SEVERALLY LIABLE FOR FOR PAYING THE AWARD.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PAINWEBBER INCORPORATED
Allegations:	UNAUTHORIZED TRADING; MISREPRESENTATON; APPROX 20M DAMAGES
Product Type:	Equity - OTC
Alleged Damages:	$20,000.00

Customer Complaint Information

Date Complaint Received:	03/12/1997
Complaint Pending?	No

Status:	Arbitration/Reparation Litigation
Status Date:	09/17/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD ARB CASE NO: 99-02526
Date Notice/Process Served:	03/12/1997
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/17/2001
Monetary Compensation Amount:	$21,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	SUPERIOR; KING COUNTY, WA; 98-2-02978-ISPA
Date Notice/Process Served:	09/17/1998
Litigation Pending?	No
Disposition:	Other
Disposition Date:	03/01/1997
Broker Statement	THE CIVIL LITIGATION WAS THROWN OUT OF COURT DUE TO ARBITRATION CLAUSE ON NEW ACCOUNT FORM. ARBITRATION SETTLED.

End of Report

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