



IAPD Report

PHILLIP STEPHEN MAHONEY

CRD# 1482774

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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

PHILLIP STEPHEN MAHONEY (CRD# 1482774)

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 **10/07/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/17/2006
IA	LPL FINANCIAL LLC	CRD# 6413	10/31/2018
IA	MARINER ADVISOR NETWORK	CRD# 283824	06/14/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	LEGACY WEALTH PLANNING, LLC	289212	RENO, NV	10/02/2017 - 12/04/2023
IA	LPL FINANCIAL LLC	6413	RENO, NV	03/17/2006 - 07/17/2018
IA	RBC DAIN RAUSCHER INC.	31194	RENO, NV	09/07/1999 - 03/23/2006

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	2



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

Employment 1 of 2

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	03/17/2006
B	FINRA	General Securities Principal	Approved	06/22/2006
B	Alaska	Agent	Approved	10/28/2011
B	Arizona	Agent	Approved	03/17/2006
B	California	Agent	Approved	03/17/2006
B	Colorado	Agent	Approved	07/13/2016
B	Connecticut	Agent	Approved	03/17/2006
B	Delaware	Agent	Approved	04/15/2015
B	Florida	Agent	Approved	03/17/2006
B	Georgia	Agent	Approved	01/04/2021
B	Idaho	Agent	Approved	03/17/2006
B	Illinois	Agent	Approved	03/17/2006
B	Maine	Agent	Approved	11/07/2022



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	02/06/2014
B	Massachusetts	Agent	Approved	03/17/2006
B	Minnesota	Agent	Approved	07/28/2023
B	Missouri	Agent	Approved	04/18/2006
B	Montana	Agent	Approved	01/28/2013
B	Nevada	Agent	Approved	03/17/2006
IA	Nevada	Investment Adviser Representative	Approved	10/31/2018
B	New Jersey	Agent	Approved	08/30/2019
B	New York	Agent	Approved	03/17/2006
B	Ohio	Agent	Approved	04/04/2006
B	Oregon	Agent	Approved	03/17/2006
B	Pennsylvania	Agent	Approved	09/15/2010
B	Texas	Agent	Approved	06/07/2006
IA	Texas	Investment Adviser Representative	Approved	10/07/2025
B	Utah	Agent	Approved	10/20/2021
B	Virginia	Agent	Approved	01/04/2007
B	Washington	Agent	Approved	03/17/2006
B	Wisconsin	Agent	Approved	07/05/2017
B	Wyoming	Agent	Approved	06/24/2019



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

LPL FINANCIAL LLC
 10599 DOUBLE R BLVD
 RENO, NV 89521

Employment 2 of 2

Firm Name: **MARINER ADVISOR NETWORK**
 Main Address: 5700 W 112TH STREET
 SUITE 500
 OVERLAND PARK, KS 66211
 Firm ID#: 283824

Regulator	Registration	Status	Date
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IA Nevada	Investment Adviser Representative	Approved	06/14/2023
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Branch Office Locations

MARINER ADVISOR NETWORK
 10599 Double R Blvd.,
 Reno, NV 89521




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
	General Securities Principal Examination (S24)	Series 24	06/21/2006

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	05/15/1996
	General Securities Representative Examination (S7)	Series 7	09/15/1994

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/24/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/13/1994

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/02/2017 - 12/04/2023	LEGACY WEALTH PLANNING, LLC	CRD# 289212	RENO, NV
IA	03/17/2006 - 07/17/2018	LPL FINANCIAL LLC	CRD# 6413	RENO, NV
IA	09/07/1999 - 03/23/2006	RBC DAIN RAUSCHER INC.	CRD# 31194	RENO, NV
B	03/02/1998 - 03/23/2006	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	01/20/1998 - 03/02/1998	DAIN RAUSCHER INCORPORATED	CRD# 7600	
B	01/29/1995 - 01/23/1998	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	09/16/1994 - 01/27/1995	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	04/23/1986 - 02/02/1988	CITICORP SECURITIES MARKETS, INC.	CRD# 7474	

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	Mariner Independent Advisor Network	Investment Adviser Representative	Y	Overland Park, KS, United States
03/2006 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	RENO, NV, United States
09/2017 - 05/2023	Legacy Wealth Planning	Investment Adviser Representative	Y	Reno, NV, 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.

- 02/14/2006 - LEGACY WEALTH PLANNING - INV REL - AT REPORTED LOCATION - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS)
- 03/30/2006 - PHILLIP S. MAHONEY, INC - OTHER-BUSINESS ENTITY FOR ACCOUNTING PURPOSES - NO TIME SPENT



Registration & Employment History



OTHER BUSINESS ACTIVITIES

- THIS IS A S CORP WITH PHILIP MAHONEY AS THE ONLY OFFICER. IT IS INTENDED FOR COMMISSION ACCOUNTING.
- SUB CHAPTER S

3. 04/26/2010 - S- CORP. / 100% SELF - NON-VARIABLE INSURANCE DBA - LEGACY WEALTH PLANNING - 2% TIME SPENT - I AM ACTING AS FACILITATOR IN ASSISTING CLIENTS IN THEIR ESTATE PLANNING. I ONLY MAKE SURE THEY KEEP APPOINTMENTS, AND GET THEIR PLAN DONE. NO LEGAL OR TAX WORK. MAY OR MAY NOT SELL POLICY AND RECV. COMPENSATION.

4. 09/09/2014 - CMMP LLC - INV REL - 10599 DOUBLE R BLVD. RENO, NV 89521 - REAL ESTATE RENTAL - START 03/14/2006 - 1% TIME SPENT - CMMP OWNS THE BUILDING WE WORK IN

5. 1/18/2018 - Legacy Wealth Planning, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date 10/04/2017 - 80 Hours Per Month/20 Hours During Trading.

6. 12/12/2023 - Mariner Independent Advisor Network, LLC - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 12/01/2023 - 160 Hours Per Month/ 8 Hours During Trading - I provide investment advisory services through Mariner Independent Advisor Network, LLC, an independent investment advisor firm. I started this business activity in 12/2023. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.



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	2

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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL LLC
Allegations:	CUSTOMER COMPLAINED THAT AN AUCTION RATE SECURITY THAT HE PURCHASED IN 2007 REMAINS ILLIQUID, DESPITE HAVING PURCHASED IT AS A SHORT TERM INVESTMENT, AND ASKED FOR THE INVESTMENT TO BE REPURCHASED FROM HIM AT FACE VALUE.
Product Type:	Other: AUCTION RATE SECURITY
Alleged Damages:	\$50,000.00
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:	03/04/2019
Complaint Pending?	No
Status:	Denied
Status Date:	04/18/2019
Settlement Amount:	
Individual Contribution Amount:	

**Broker Statement**

THE CUSTOMER OWNED SHARES OF AN AUCTION RATE SECURITY WHEN THE AUCTION MARKET FROZE IN FEBRUARY OF 2008. THE CUSTOMER TRANSFERRED ALL OF HIS ACCOUNTS AWAY DURING THE WEEK OF 12/20/10 AND HAD NO FURTHER CONTACT WITH ME UNTIL MARCH OF 2019, WHEN THE SETTLEMENT WAS DEMANDED. WHILE THE COLLAPSE OF THE AUCTION MARKET IMPACTED THE LIQUIDITY OF THE CUSTOMER'S SHARES, THE CUSTOMER WAITED MORE THAN TEN YEARS TO BRING A COMPLAINT REGARDING HIS SHARES, WHICH HAD CONTINUED TO PAY A DIVIDEND. THE FIRM NOTED THAT THERE WAS A TENDER OFFER FOR THE CUSTOMER'S SECURITY AS RECENTLY AS JULY OF 2018, WHICH THE CUSTOMER HAS PRESUMABLY DECLINED TO PURSUE.

Disclosure 2 of 2**Reporting Source:**

Individual

Employing firm when activities occurred which led to the complaint:

LPL FINANCIAL, LLC

Allegations:

CUSTOMER ALLEGES TRADES WERE NOT TIMELY EXECUTED AND POOR ADVICE.

Product Type:

Mutual Fund

Alleged Damages:

\$35,000.00

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:**

01/26/2016

Complaint Pending?

No

Status:

Denied

Status Date:

07/22/2016

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

THE COMPLAINT WAS DETERMINED TO BE WITHOUT MERIT AND DENIED. THE CUSTOMER PLACED AS UNSOLICITED REQUEST TO LIQUIDATE HIS ACCOUNT DURING A TEMPORARY MARKET DECLINE. THIS WAS AGAINST THE ADVISOR'S PREVIOUS ADVICE TO REMAIN PATIENT AND HAVE A LONGER-TERM OUTLOOK FOR HIS ACCOUNT.



End of Report

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