



## IAPD Report

# CLARENCE EDMUND BLANTON JR

CRD# 1511177

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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

### CLARENCE EDMUND BLANTON JR (CRD# 1511177)

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 **01/05/2026**.

### CURRENT EMPLOYERS

|           | Firm   | CRD#        | Registered Since |
|-----------|--|-------------|------------------|
| <b>B</b>  | CAMBRIDGE INVESTMENT RESEARCH, INC.          | CRD# 39543  | 11/21/2025       |
| <b>IA</b> | CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC. | CRD# 134139 | 12/01/2025       |
| <b>IA</b> | DEMPSEY LORD SMITH, LLC                      | CRD# 141238 | 01/13/2026       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>IA</b> | DEMPSEY LORD SMITH, LLC      | 141238 | MT PLEASANT, SC    | 12/11/2017 - 12/31/2025 |
| <b>B</b>  | DEMPSEY LORD SMITH, LLC      | 141238 | MOUNT PLEASANT, SC | 12/11/2017 - 11/21/2025 |
| <b>IA</b> | INVEST FINANCIAL CORPORATION | 12984  | MT. PLEASANT, SC   | 09/07/2016 - 12/12/2017 |

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 | 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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

#### Employment 1 of 3

Firm Name: **DEMPSEY LORD SMITH, LLC**  
Main Address: 901 N BROAD STREET  
SUITE 400  
ROME, GA 30161  
Firm ID#: 141238

|    | Regulator      | Registration                      | Status   | Date       |
|----|----------------|-----------------------------------|----------|------------|
| IA | South Carolina | Investment Adviser Representative | Approved | 01/13/2026 |

#### Branch Office Locations

**DEMPSEY LORD SMITH, LLC**  
901 N BROAD STREET  
SUITE 400  
ROME, GA 30161

#### Employment 2 of 3

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**  
Main Address: 1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757  
Firm ID#: 134139

|    | Regulator      | Registration                      | Status              | Date       |
|----|----------------|-----------------------------------|---------------------|------------|
| IA | South Carolina | Investment Adviser Representative | Approved            | 12/01/2025 |
| IA | Texas          | Investment Adviser Representative | Restricted Approval | 12/01/2025 |

#### Branch Office Locations

**CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**  
1156 Bowman Road  
Suite 20  
Mt. Pleasant, SC 29464

**CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.**  
Mount Pleasant, SC

#### Employment 3 of 3



## Qualifications

Firm Name: **CAMBRIDGE INVESTMENT RESEARCH, INC.**

Main Address: 1776 PLEASANT PLAIN RD.  
FAIRFIELD, IA 52556-8757

Firm ID#: 39543

|   | Regulator      | Registration                      | Status   | Date       |
|---|----------------|-----------------------------------|----------|------------|
| B | FINRA          | Direct Participation Programs     | Approved | 11/21/2025 |
| B | FINRA          | General Securities Principal      | Approved | 11/21/2025 |
| B | FINRA          | General Securities Representative | Approved | 11/21/2025 |
| B | FINRA          | Invest. Co and Variable Contracts | Approved | 11/21/2025 |
| B | Florida        | Agent                             | Approved | 11/24/2025 |
| B | Georgia        | Agent                             | Approved | 11/21/2025 |
| B | Michigan       | Agent                             | Approved | 11/21/2025 |
| B | North Carolina | Agent                             | Approved | 11/21/2025 |
| B | South Carolina | Agent                             | Approved | 11/21/2025 |
| B | Texas          | Agent                             | Approved | 11/21/2025 |
| B | Virginia       | Agent                             | Approved | 11/21/2025 |

## Branch Office Locations

**CAMBRIDGE INVESTMENT RESERARCH, INC.**  
1156 Bowman Road  
Suite 200  
Mt. Pleasant, SC 29464

**CAMBRIDGE INVESTMENT RESERARCH, INC.**  
Mount Pleasant, 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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
|  | General Securities Principal Examination (S24) | Series 24 | 05/04/1999 |

#### General Industry/Product Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
|  | Securities Industry Essentials Examination (SIE)                               | SIE       | 10/01/2018 |
|  | General Securities Representative Examination (S7)                             | Series 7  | 08/31/1990 |
|  | Direct Participation Programs Representative Examination (S22)                 | Series 22 | 10/01/1987 |
|  | Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6  | 06/26/1986 |

#### State Securities Law Exams

|   | Exam   | Category  | Date       |
|---|--|-----------|------------|
|  | Uniform Investment Adviser Law Examination (S65)     | Series 65 | 01/23/1998 |
|  | Uniform Securities Agent State Law Examination (S63) | Series 63 | 10/21/1986 |

### 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 | 12/11/2017 - 12/31/2025 | DEMPSEY LORD SMITH, LLC                     | CRD# 141238 | MT PLEASANT, SC    |
| B  | 12/11/2017 - 11/21/2025 | DEMPSEY LORD SMITH, LLC                     | CRD# 141238 | MOUNT PLEASANT, SC |
| IA | 09/07/2016 - 12/12/2017 | INVEST FINANCIAL CORPORATION                | CRD# 12984  | MT. PLEASANT, SC   |
| B  | 09/02/2016 - 12/12/2017 | INVEST FINANCIAL CORPORATION                | CRD# 12984  | MT. PLEASANT, SC   |
| IA | 01/09/2015 - 09/01/2016 | KOVACK ADVISORS, INC.                       | CRD# 140808 | MT. PLEASANT, SC   |
| B  | 10/15/2014 - 09/01/2016 | KOVACK SECURITIES INC.                      | CRD# 44848  | Mt Pleasant, SC    |
| IA | 03/28/2014 - 12/31/2014 | RESOURCE HORIZONS INVESTMENT ADVISORY, INC. | CRD# 143384 | MOUNT PLEASANT, SC |
| B  | 11/18/2011 - 10/15/2014 | RESOURCE HORIZONS GROUP LLC                 | CRD# 104368 | MT PLEASANT, SC    |
| IA | 04/27/2012 - 03/03/2014 | ADVISORY SERVICES NETWORK                   | CRD# 146051 | MT PLEASANT, SC    |
| IA | 11/21/2011 - 04/24/2012 | RESOURCE HORIZONS INVESTMENT ADVISORY, INC. | CRD# 143384 | MT PLEASANT, SC    |
| IA | 08/07/2008 - 11/29/2011 | ING FINANCIAL PARTNERS, INC                 | CRD# 2882   | MOUNT PLEASANT, SC |
| B  | 07/22/2008 - 11/29/2011 | ING FINANCIAL PARTNERS, INC.                | CRD# 2882   | MOUNT PLEASANT, SC |
| B  | 07/01/2002 - 07/23/2008 | THRIVENT INVESTMENT MANAGEMENT INC.         | CRD# 18387  | MT PLEASANT, SC    |
| IA | 06/19/2002 - 07/23/2008 | THRIVENT INVESTMENT MANAGEMENT INC.         | CRD# 18387  | MT PLEASANT, SC    |
| B  | 10/15/1986 - 07/01/2002 | LUTHERAN BROTHERHOOD SECURITIES CORP.       | CRD# 4205   | MINNEAPOLIS, MN    |
| B  | 06/27/1986 - 11/25/1986 | METLIFE SECURITIES INC.                     | CRD# 14251  |                    |





## 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>B</b> | 06/27/1986 - 11/24/1986 | METROPOLITAN LIFE INSURANCE COMPANY | CRD# 4095 |                 |

### 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                  |
|-------------------|--|---|--------------------|------------------------------------|
| 11/2025 - Present | Cambridge Investment Research Advisors, Inc. | Investment Advisor Representative                             | Y                  | Fairfield, IA, United States       |
| 11/2025 - Present | Cambridge Investment Research, Inc.          | Mass Transfer/Registered Representative                       | Y                  | Fairfield, IA, United States       |
| 11/2025 - Present | Dempsey Lord Smith, LLC                      | Investment Advisor Representative                             | Y                  | Rome, GA, United States            |
| 12/2017 - 11/2025 | DEMPSEY LORD SMITH, LLC                      | REGISTERED REPRESENTATIVE / INVESTMENT ADVISOR REPRESENTATIVE | Y                  | ROME, GA, United States            |
| 09/2016 - 12/2017 | INVEST FINANCIAL CORPORATION                 | REGISTERED REPRESENTATIVE                                     | Y                  | TAMPA, FL, United States           |
| 01/2015 - 09/2016 | KOVACK ADVISORS, INC.                        | INVESTMENT ADVISOR REPRESENTATIVE                             | Y                  | FORT LAUDERDALE, FL, United States |
| 10/2014 - 09/2016 | KOVACK SECURITIES INC.                       | Mass Transfer   | Y                  | MARIETTA, GA, United States        |
| 10/2010 - 09/2016 | THE CAROLINAS AGENCY                         | GENERAL AGENT   | Y                  | MT PLEASANT, SC, United States     |
| 09/2008 - 09/2016 | ENCORE MUSIC                                 | PRESIDENT   | N                  | MT PLEASANT, 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) Blanton Financial Group, 1156 Bowman Rd., Suite 200, Mt. Pleasant, SC. 29464. Investment related, Manager/sales. Fixed insurance sales; recruit, train and run a general agency made of fixed insurance agents. Start date 08/01/2008. 87 hrs./month and 87 hrs./month during trading.



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

- 2) Mid Atlantic Charters; not investment related; owner - start date 12/1/2001; 1011 Blackrush Circle, Mt. Pleasant, SC 29466; oversee charter boat company, boat upkeep; 2 hours per month, 0 during trading.
- 3) SC LUTHERAN RETREAT CENTERS, 6053 TWO NOTCH ROAD, BATESBURG-LEESVILLE SC 29070, United States, 01/01/1930, Board Member, Board Member/Officer/Director/Committee Member/Board Trustee, NIR, 3 HR/MO - 1 HR/MO TRADING
- 4) LOW COUNTRY MEDICARE SIMPLIFIED, 3102 Linksland Road, Mount Pleasant SC 29466, United States, 09/01/2023, Agent, Insurance/Benefits/Human Resources, NIR, 5 HR/MO - 0 HR/MO TRADING
- 5) BLANTON FINANCIAL GROUP, 1156 BOWMAN ROAD, SUITE 200, MOUNT PLEASANT SC 29464, United States, 01/01/1990, Owner, DBA Name, INV REL, 150 HR/MO - 100 HR/MO TRADING
- 6) CIRA, 1776 Pleasant Plain Road Fairfield IA 52556, START DATE 11/2025, Investment Advisor Representative, CIRA Affiliation, INV REL, HR/MO 160, HR/MO TRADING 120



## 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 | 1     |

### 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

|  |  |
|--|--|
| <b>Reporting Source:</b>   | Firm   |
| <b>Employing firm when activities occurred which led to the complaint:</b> | ING FINANCIAL PARTNERS, INC.   |
| <b>Allegations:</b>  | FROM ON OR ABOUT AUGUST 2008 THROUGH APRIL 2010, CLAIMANTS ALLEGE LOSSES IN THEIR ACCOUNTS ARISING FROM 1. NEGLIGENT AND UNTIMELY TRANSFER OF CERTAIN ASSETS, 2. THE WILLFUL AND FRAUDULENT EFFORT TO MISLEAD AND COVER UP THE TRANSFER AND, 3. THE IMPRUDENT AND UNSUITABLE INVESTMENT STRATEGIES AND MANAGEMENT OF THEIR ACCOUNTS ONCE THE TRANSFER WAS COMPLETED. |
| <b>Product Type:</b>   | Equity Listed (Common & Preferred Stock)   |
| <b>Alleged Damages:</b>  | \$0.00   |
| <b>Alleged Damages Amount Explanation (if amount not exact):</b>           | NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5,000.  |
| <b>Is this an oral complaint?</b>  | No   |
| <b>Is this a written complaint?</b>  | No   |
| <b>Is this an arbitration/CFTC reparation or civil litigation?</b>         | Yes  |
| <b>Arbitration/Reparation forum or court name and location:</b>            | FINRA  |
| <b>Docket/Case #:</b>  | 12-04186   |



Filing date of arbitration/CFTC reparation or civil litigation: 12/07/2012

### Customer Complaint Information

Date Complaint Received: 12/28/2012  
Complaint Pending? No  
Status: Settled  
Status Date: 05/22/2014  
Settlement Amount: \$500,000.00  
Individual Contribution Amount: \$0.00  
Firm Statement WITHOUT ADMITTING FAULT, THE FIRM SETTLED THE CLAIM.

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Reporting Source: Individual  
Employing firm when activities occurred which led to the complaint: ING FINANCIAL PARTNERS, INC

Allegations: FROM ON OR ABOUT AUGUST 2008 THROUGH APRIL 2010. CLAIMANTS ALLEGE LOSSES IN THEIR ACCOUNTS ARISING FROM 1. NEGLIGENT AND UNTIMELY TRANSFER OF CERTAIN ASSETS. 2. THE WILLFUL AND FRAUDULENT EFFORT TO MISLEAD AND COVER UP THE TRANSFER AND 3. THE IMPRUDENT AND UNSUITABLE INVESTMENT STRATEGIES AND MANAGEMENT OF THEIR ACCOUNTS ONCE THE TRANSFER WAS COMPLETED.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): NO SPECIFIC DAMAGE AMOUNT WAS ALLEGED AND THE FIRM WAS UNABLE TO MAKE A GOOD FAITH DETERMINATION THAT DAMAGES WOULD BE UNDER \$5000.

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

Docket/Case #: 12-04186

Filing date of arbitration/CFTC reparation or civil litigation: 12/07/2012

### Customer Complaint Information

Date Complaint Received: 12/28/2012  
Complaint Pending? No  
Status: Settled



**Status Date:** 05/22/2014

**Settlement Amount:** \$500,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I VEHEMENTLY DENY THESE ALLEGATIONS. I HAVE MY CASE NOTES, PRESENTATIONS, AND DOCUMENTATION OF OUR MEETINGS. ALL INDICATE THAT I INSTRUCTED HER DURING THE INITIAL REVIEW AND EACH SUBSEQUENT REVIEW TO DIVERSIFY AWAY FROM HER CONCENTRATED HOLDING OF BAC. SHE SIMPLY REFUSED EACH TIME.



## End of Report

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