



IAPD Report

ERIC VAUGHN SLUSS

CRD# 1565580

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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>



Report Summary

ERIC VAUGHN SLUSS (CRD# 1565580)

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 **04/30/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/19/2017
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	12/20/2017

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
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CANONSBURG, PA	08/11/2003 - 12/19/2017
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	CANONSBURG, PA	03/12/1990 - 12/19/2017
B	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN	03/12/1990 - 07/03/2006

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	3



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 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	12/19/2017
B FINRA	General Securities Representative	Approved	12/19/2017
B FINRA	Invest. Co and Variable Contracts	Approved	12/19/2017
B Maryland	Agent	Approved	04/30/2026
B Massachusetts	Agent	Approved	06/09/2025
B New Jersey	Agent	Approved	01/25/2018
B New York	Agent	Approved	09/14/2020
B Ohio	Agent	Approved	12/19/2017
B Pennsylvania	Agent	Approved	12/19/2017
B Tennessee	Agent	Approved	08/15/2023
B Virginia	Agent	Approved	12/19/2017
B West Virginia	Agent	Approved	12/19/2017

Branch Office Locations



Qualifications

LPL FINANCIAL LLC

380 SOUTHPOINTE BLVD STE 100
CANONSBURG, PA 15317-8550

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**
Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960
Firm ID#: 155216

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	12/20/2017
IA	Texas	Investment Adviser Representative	Approved	12/20/2017

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
380 Southpointe Blvd, Ste 100
Canonsburg, PA 15317



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 0 principal/supervisory exams, 4 general industry/product exams, and 1 state securities law exam.





Principal/Supervisory Exams

Exam	Category	Date
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No information reported.


General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	11/07/1991
 Direct Participation Programs Representative Examination (S22)	Series 22	04/09/1990
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/09/1990

State Securities Law Exams

Exam	Category	Date
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 Uniform Securities Agent State Law Examination (S63)	Series 63	03/16/1990
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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	08/11/2003 - 12/19/2017	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CANONSBURG, PA
B	03/12/1990 - 12/19/2017	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	CANONSBURG, PA
B	03/12/1990 - 07/03/2006	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN
B	07/15/1993 - 12/31/1994	AMERICAN EXPRESS SERVICE CORPORATION	CRD# 10518	MINNEAPOLIS, MN

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
12/2017 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	CANONSBURG, PA, United States
12/2017 - Present	Private Advisor Group, LLC	Investment advisor representative	Y	CANONSBURG, PA, United States
09/2005 - 12/2017	Ameriprise Financial Services, Inc.	Registered Rep	Y	Canonsburg, PA, 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.

- 12/19/2017 - JOHN AND ALICE SLUSS IRREVOCABLE INCOME TRUST/ ACT IN A FIDUCIARY CAPACITY/ 1%/ CANONSBURG, PA
- 12/19/2017 - THE SLUSS ADVISORY GROUP/ DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS)/ 6%/ CANONSBURG, PA
- 12/26/2017 - Private Advisor Group, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Start Date 11/17/2017 - 120 Hours Per Month / 6 Hours During Trading - 90% Time Spent - I provide investment advisory services through Private Advisor Group, LLC., an independent investment advisor firm. I started this business activity in December 2017. I expect to spend approximately 120 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.
- 11/16/2022 - Private Advisor Group - DBA: The Sluss Advisory Group - Investment Related - At Reported Business Location(s) -Registered Investment Advisor DBA - Start Date - 12/20/2017 - 130 Hours Per Month/130 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this



Registration & Employment History



OTHER BUSINESS ACTIVITIES

business activity in 11/2022. I expect to spend approximately 130 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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	AMERICAN EXPRESS FINANCIAL ADVISORS
Allegations:	THE CLIENTS CLAIMED THE INVESTMENTS MADE SINCE 1998 WERE NOT IN THIER BEST INTEREST. THE CLIENTS REQUESTED THEIR ORIGINAL DEPOSITS AND 5% INTEREST. LOSSES ARE GREATER THAN \$5000.00.
Product Type:	Mutual Fund(s)
Other Product Type(s):	SPS, ANNUITIES, VARIABLE LIFE INSURANCE
Alleged Damages:	\$5,000.00

Customer Complaint Information

Date Complaint Received:	11/26/2003
Complaint Pending?	No
Status:	Denied
Status Date:	01/02/2004

Settlement Amount:

Individual Contribution Amount:

Broker Statement	THE INVESTMENTS WERE SUITABLE FOR THE CLIENT CONSIDERING THEIR INVESTMENT OBJECTIVE WAS GROWTH WITH A MODERATELY AGGRESSIVE RISK TOLERANCE. THEY HAD AN INVESTMENT TIME FRAME OF FIVE TO SEVEN YEARS WHEN THEY PLANNED TO RETIRE. THE
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INVESTMENT DETAILS WERE DISCUSSED AT EACH PURCHASE AND THE ACCOUNTS WERE REVIEWED REGULARLY WITH THE CLIENTS.

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THROUGH THEIR ATTORNEY, THE CLIENTS ALLEGED IN NOVEMBER OF 1999 AND JANUARY 2000 I INVESTED THEIR PORTFOLIO IN MUTUAL FUNDS THAT WERE UNSUITABLE FOR THEIR INVESTMENT GOALS AND FINANCIAL POSITION.

Product Type: Mutual Fund(s)

Alleged Damages: \$56,874.00

Customer Complaint Information

Date Complaint Received: 08/22/2003

Complaint Pending? No

Status: Denied

Status Date: 10/20/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement THE FIRM FOUND IN 1997 THE CLIENTS WERE AWARE OF A PROJECTED SHORTFALL IN THEIR RETIREMENT INCOME AND ELECTED TO MAKE UP THE SHORTAGE BY INVESTING MORE AGGRESSIVELY. THE INVESTMENT CHANGES IN 1999/2000 DID NOT INCREASE THEIR RISK TOLERANCE BUT WERE MADE TO MAKE AVAILABLE MORE INVESTMENT OPTIONS.

Disclosure 3 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN EXPRESS FINANCIAL ADVISORS

Allegations: THE CLIENT ALLEGED THAT SUBSEQUENT TO MY RECOMMENDATION SHE PURCHASED 3 DIFFERENT TYPES OF INVESTMENT PRODUCTS AS AN IRA. SHE FURTHER ALLEGED SHE WOULD HAVE PAID A LOWER SALES CHARGE IF ALL THE FUNDS HAD BEEN INVESTED IN MUTUAL FUNDS. IN ADDITION, SHE STATED THE INVESTMENTS WERE NOT SUITABLE BASED ON HER CIRCUMSTANCES. FINALLY, SHE STATED I DID NOT INFORM HER OF A WAY TO TAKE DISTRIBUTIONS FROM THE ACCOUNT WITHOUT PENALTY.

Product Type: Mutual Fund(s)

Other Product Type(s): VARIABLE ANNUITY
AXP BROKERAGE ACCOUNT

Alleged Damages: \$10,900.00

Customer Complaint Information



Date Complaint Received: 07/26/2002

Complaint Pending? No

Status: Denied

Status Date: 10/21/2002

Settlement Amount:

Individual Contribution Amount:

Broker Statement

OUR REVIEW FOUND THE ANNUITY ACCOUNT WAS PART OF THE CLASS ACTION LAWSUIT AND THE CLIENT WILL RECEIVE COMPENSATION UNDER THE TERMS OF THE SUIT. IN ADDITION, OUR REVIEW FOUND THE ADVISOR INFORMED THE CLIENT OF THE MUTUAL FUND BREAKPOINTS, BUT THE CLIENT DECIDED TO PURCHASE THE THREE DIFFERENT INVESTMENTS FOR DIVERSITY. OUR REVIEW FURTHER FOUND THE CLIENT SELECTED ALL THE INVESTMENTS WITHIN EACH OF THE PRODUCTS. FINALLY, OUR REVIEW FOUND THE ADVISOR INFORMED THE CLIENT OF TAX AND PENALTY ON IRA DISTRIBUTIONS AND THE CLIENT CONSULTED WITH AN ACCOUNTANT PRIOR TO TAKING THE DISTRIBUTIONS.



End of Report

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