



IAPD Report

Shawn Michael Bragdon

CRD# 1837011

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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

Shawn Michael Bragdon (CRD# 1837011)

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 **04/14/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	THE LEADERS GROUP, INC.	CRD# 37157	02/07/2017
IA	TLG ADVISORS, INC.	CRD# 111052	02/15/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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	ARETE WEALTH MANAGEMENT, LLC	44856	CHICAGO, IL	04/18/2016 - 10/24/2016
B	P.J. ROBB VARIABLE CORPORATION	38339	MEMPHIS, TN	02/14/2012 - 04/13/2016
IA	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	NEWPORT BEACH, CA	04/14/2010 - 02/08/2012

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

Employment 1 of 2

Firm Name: **TLG ADVISORS, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 111052

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	02/15/2017

Branch Office Locations

TLG ADVISORS, INC.
2900 Bristol Street, Suite B300
COSTA MESA, CA 92626

Employment 2 of 2

Firm Name: **THE LEADERS GROUP, INC.**
Main Address: 475 SPRINGFIELD AVE
SUMMIT, NJ 07901
Firm ID#: 37157

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/07/2017
B	California	Agent	Approved	02/08/2017

Branch Office Locations

2900 Bristol Street
Suite B300
Costa Mesa, CA 92626



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	05/21/1988
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/08/1999
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B Uniform Securities Agent State Law Examination (S63)	Series 63	06/21/1988
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PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

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
B	04/18/2016 - 10/24/2016	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	CHICAGO, IL
B	02/14/2012 - 04/13/2016	P.J. ROBB VARIABLE CORPORATION	CRD# 38339	MEMPHIS, TN
IA	04/14/2010 - 02/08/2012	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	NEWPORT BEACH, CA
B	04/13/2010 - 02/08/2012	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	NEWPORT BEACH, CA
B	11/12/2008 - 03/24/2010	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	NEWPORT BEACH, CA
IA	11/03/2008 - 03/24/2010	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	NEWPORT BEACH, CA
IA	12/11/2006 - 08/22/2008	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	NEWPORT BEACH, CA
B	12/07/2006 - 08/22/2008	LINCOLN FINANCIAL SECURITIES CORPORATION	CRD# 3870	NEWPORT BEACH, CA
B	07/12/2006 - 10/16/2006	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
IA	07/12/2006 - 10/16/2006	LINCOLN FINANCIAL DISTRIBUTORS, INC.	CRD# 145	RADNOR, PA
IA	06/20/2002 - 07/13/2006	JEFFERSON PILOT SECURITIES CORP	CRD# 3870	NEWPORT BEACH, CA
B	04/02/1992 - 07/13/2006	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN
B	03/16/1990 - 11/30/1990	R A F FINANCIAL CORPORATION	CRD# 1398	DENVER, CO
B	03/22/1989 - 03/03/1990	CHATFIELD DEAN & CO., INC.	CRD# 14714	GREENWOOD VILLAGE
B	06/06/1988 - 02/28/1989	POWER SECURITIES CORPORATION	CRD# 15527	



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
02/2017 - Present	The Leaders Group, Inc.	Registered Representative	Y	Littleton, CO, United States
06/2008 - Present	BGA Insurance Services	Managing Partner	Y	Newport Beach, CA, United States
04/2016 - 10/2016	Arete Wealth Management LLC	Registered Representative	Y	Chicago, IL, 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.) BGAGENTS INSURANCE SERVICES INC (DBA: BGA INSURANCE) - 6/1/2008 - 2900 Bristol Street Suite B-300, Costa Mesa, CA 92626 - Managing Partner, wholesale life insurance-annuities-di-ltc products to independent agents and agencies, manage/maintain and cultivate relationships with insurance carrier partners, wholesaler for fixed life, annuities, ltc and disability products. My target market is people with a life insurance license, Not Invt Rel, 150 hrs/mo;120 hrs/mo (during trading hours).
- 2.) BGA DIRECT INSURANCE SERVICES - 7/1/2009 - 18633 Santa Ynez Street, Fountain Valley, CA 92708 - President, from time to time I am the writing agent for a fixed life insurance product, retail commission from the sale of life ins-annuities-ltc-di income products typically flow through this company, Not Invt Rel, 8 hrs/mo;4 hrs/mo (during trading hours).
- 3.) AXXCESS WEALTH MANAGEMENT LLC - 1/1/2016 - 6005 Hidden Valley Road, Suite 290, Carlsbad, CA 92011 - Referring Advisor, refer prospects and clients to axccess wealth management, this firm is an RIA & TPA for 401k's (referring agents & retail clients to this firm which clears through Charles Schwab & TD Ameritrade), Invt Rel, 1 hrs/mo;0 hrs/mo (during trading hours).
- 4.) TLG ADVISORS, INC. - 2/14/2017 - 26 W Dry Creek Circle, Suite 800, Littleton, CO 80120 - IAR Rep, Invt Rel, IAR Business, 0 hrs/mo;0 hrs/mo (during trading hours).
- 5.) Life Settlements - 2/18/2021 - 2900 Bristol Street Suite B-300, Costa Mesa CA 92626 - Referrer - Refer advisors to settlement brokers to facilitate a life settlement, Inv't Rel, 0hrs/mo; 0 hrs/mo (during trading hours).



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Formal Charges were brought in:	DIST. ATTY. 83-F1078A
Name of Court:	FIRST JUDICIAL DISTRICT OF STATE OF COLORADO
Location of Court:	JEFFERSON COUNTY, COLORADO
Docket/Case #:	83F1078A
Charge Date:	07/09/1983
Charge(s) 1 of 1	
Formal Charge(s)/Description:	INITIALLY, 2ND DEGREE BURGLARY AND FELONY CRIMINAL MISCHIEF CHARGES WERE DISMISSED AND I PLED GUILTY TO TRESPASSING: \$20.00 IN DAMAGES WERE INCURRED.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	TRESSPASSING-GUILTY
Disposition of charge:	Dismissed
Date of Amended Charge:	08/10/1983
Charge was Amended or reduced to:	REDUCED CHARGE TO TRESPASSING.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Convicted



Current Status:	Final
Status Date:	08/10/1983
Disposition Date:	08/10/1983
Sentence/Penalty:	PAID \$20.00 DAMAGES; \$25.00 FINE; \$8.00 COURT COSTS; AT THE AGE OF 18.
Broker Statement	AT THE AGE OF 18, SOME FRIENDS AND I GOT DRUNK AND BROKE INTO A CEMETERY. I REALIZE NOW WHAT A STUPID ACTION IT WAS AND DEEPLY REGRET THIS EPISODE. I HAVE HAD NO FURTHER PROBLEMS WITH THE LAW. I STOLE NOTHING BUT DID SOME DAMAGE TO THE GATE, FOR WHICH I PAID THE REPAIRS (\$20).



End of Report

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