IAPD Report

SHAWN WILLIAM DUNNIGAN

CRD# 1967001

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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 WILLIAM DUNNIGAN (CRD# 1967001)

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 **05/29/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	LPL FINANCIAL LLC	CRD# 6413	06/25/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **49** 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	ICA GROUP WEALTH MANAGEMENT, LLC	311419	Fort Collins, CO	03/30/2022 - 08/06/2024
IA	LPL FINANCIAL LLC	6413	FORT COLLINS, CO	06/29/2022 - 09/28/2022
IA	LPL FINANCIAL LLC	6413	FORT COLLINS, CO	11/29/2017 - 06/27/2022

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	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 **49** 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	11/29/2017
B	Alaska	Agent	Approved	02/03/2025
B	Arizona	Agent	Approved	12/09/2025
B	California	Agent	Approved	12/01/2025
B	Colorado	Agent	Approved	11/29/2017
IA	Colorado	Investment Adviser Representative	Approved	06/25/2024
B	Connecticut	Agent	Approved	11/28/2025
B	Delaware	Agent	Approved	11/27/2025
B	District of Columbia	Agent	Approved	12/12/2025
B	Florida	Agent	Approved	02/14/2024
B	Georgia	Agent	Approved	12/01/2025
B	Idaho	Agent	Approved	12/01/2025
B	Illinois	Agent	Approved	12/02/2025

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	12/08/2025
B	Iowa	Agent	Approved	12/01/2025
B	Kansas	Agent	Approved	12/01/2025
B	Kentucky	Agent	Approved	12/01/2025
B	Louisiana	Agent	Approved	12/01/2025
B	Maine	Agent	Approved	12/01/2025
B	Maryland	Agent	Approved	12/08/2025
B	Massachusetts	Agent	Approved	12/01/2025
B	Michigan	Agent	Approved	12/02/2025
B	Minnesota	Agent	Approved	12/03/2025
B	Mississippi	Agent	Approved	12/04/2025
B	Missouri	Agent	Approved	12/01/2025
B	Montana	Agent	Approved	11/29/2017
B	Nebraska	Agent	Approved	12/01/2025
B	Nevada	Agent	Approved	12/01/2025
B	New Hampshire	Agent	Approved	12/01/2025
B	New Jersey	Agent	Approved	12/01/2025
B	New Mexico	Agent	Approved	12/01/2025
B	New York	Agent	Approved	12/01/2025

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	12/02/2025
B	North Dakota	Agent	Approved	05/29/2024
B	Ohio	Agent	Approved	11/28/2025
B	Oklahoma	Agent	Approved	12/02/2025
B	Oregon	Agent	Approved	12/04/2025
B	Pennsylvania	Agent	Approved	11/29/2017
B	Puerto Rico	Agent	Approved	12/23/2025
B	Rhode Island	Agent	Approved	12/01/2025
B	South Carolina	Agent	Approved	10/28/2025
B	South Dakota	Agent	Approved	05/22/2024
B	Texas	Agent	Approved	11/29/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	06/25/2024
B	Utah	Agent	Approved	12/01/2025
B	Vermont	Agent	Approved	12/01/2025
B	Virgin Islands	Agent	Approved	12/04/2025
B	Virginia	Agent	Approved	12/01/2025
B	Washington	Agent	Approved	12/01/2025
B	West Virginia	Agent	Approved	12/04/2025

Qualifications

	Regulator	Registration	Status	Date
B	Wisconsin	Agent	Approved	02/27/2024
B	Wyoming	Agent	Approved	11/29/2017

Branch Office Locations

LPL FINANCIAL LLC
215 WEST OAK STREET SUITE 720
FORT COLLINS, CO 80521

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
	No information reported.		

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	07/15/1989

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/23/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	07/18/1989

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	03/30/2022 - 08/06/2024	ICA GROUP WEALTH MANAGEMENT, LLC	CRD# 311419	Fort Collins, CO
IA	06/29/2022 - 09/28/2022	LPL FINANCIAL LLC	CRD# 6413	FORT COLLINS, CO
IA	11/29/2017 - 06/27/2022	LPL FINANCIAL LLC	CRD# 6413	FORT COLLINS, CO
B	02/26/2015 - 11/29/2017	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	Fort Collins, CO
IA	02/26/2015 - 11/29/2017	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	Fort Collins, CO
IA	11/08/2013 - 02/25/2015	DELLA PAROLA CAPITAL MANAGEMENT	CRD# 138897	FORT COLLINS, CO
B	11/15/2013 - 05/27/2014	GRADIENT SECURITIES, LLC	CRD# 127701	FORT COLLINGS, CO
B	12/16/2009 - 11/25/2013	LPL FINANCIAL LLC	CRD# 6413	FT COLLINS, CO
IA	12/16/2009 - 11/25/2013	LPL FINANCIAL LLC	CRD# 6413	FT COLLINS, CO
IA	05/31/2006 - 12/21/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	FORT COLLINS, CO
B	12/13/2000 - 12/21/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	FORT COLLINS, CO
B	12/17/2000 - 08/12/2002	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	MINNEAPOLIS, MN
B	10/22/1999 - 05/07/2001	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	12/16/1997 - 12/13/2000	WELLS FARGO BROKERAGE SERVICES, L.L.C.	CRD# 16100	MINNEAPOLIS, MN
B	01/28/1994 - 12/31/1997	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	08/07/1997 - 11/14/1997	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI

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	07/01/1991 - 01/28/1994	NORWEST INVESTMENT SERVICES, INC.	CRD# 16100	MINNEAPOLIS, MN
B	03/22/1991 - 07/15/1991	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	07/18/1989 - 12/05/1990	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI

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
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	Fort Collins, CO, United States
03/2022 - 06/2024	ICA Group Wealth Management, LLC	Investment Adviser Representative	Y	Fort Collins, CO, United States
02/2015 - 11/2017	INVESTMENT CENTERS OF AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	FORT COLLINS, CO, 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. 11/29/2017 - No Business Name - Investment Related - Loveland, CO - Real Estate Rental - Start Date 12/2015 - 1 Hours Per Month.

2. 11/29/2017 - No Business Name - Investment Related - Garrison, ND - Real Estate Rental - Start Date 2013 - 1 Hours Per Month.

3. 7/31/2018 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Insurance Agent - Start Date: 01/31/2018 - 5 Hours Per Month/5 Hours During Securities Trading.

4. 3/11/2020 - Dinner Party, LLC - Investment Related - Home Based - Other-Business Owner - Started 02/18/2020 - 5 Hours Per Month/0 Hours During Securities Trading - Book sales and speaking proceeds - title of the book "The Dinner Party".

5. 3/11/2020 - "The Dinner Party" - Not Investment Related - At Reported Business Location(s) - Other-Author - Started 02/11/2020 - 5 Hours Per Month/0 Hours During Securities Trading - Author of a book.

6. 3/5/2021 - DFP Properties, LLC - Investment Related - 215 W Oak Street, Suite 720, Fort Collins, CO 80521 - Real Estate Rental - Started 02/26/2021 - 2 Hours Per Month During Securities Trading.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

7. 3/5/2021 - Dunnigan Financial Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 02/26/2021 - 160 Hours Per Month During Securities Trading.

8. 05/12/2022 - Penny Properties - Investment Related - Fort Collins CO 80521 - Real Estate Rental - Start Date - 04/29/2022 - 0 Hours Per Month/ 0 Hours During Securities Trading

9. 07/06/2022 - Penny PropeertiesND, LLC - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Start Date: 06/03/2022 - 0 Hours Per Month/0 Hours During Securities Trading.

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

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	EXCESSIVE TRADING, BREACH OF FIDUCIARY DUTY, SUITABILITY, NEGLIGENCE, COMMON LAW FRAUD, NEGLIGENT MISREPRESENTATION, BREACH OF CONTRACT
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	HIGH-RISK SECURITIES
Alleged Damages:	$22,067.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #04-08248
Date Notice/Process Served:	12/02/2004
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	08/25/2005
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT THE SUM OF $118,000 IN COMPENSATORY DAMAGES.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	WELLS FARGO BROKERAGE SERVICES
Allegations:	SUITABILITY AND CHURNING - 2000
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$125,000.00

Customer Complaint Information

Date Complaint Received:	01/07/2004
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/13/2004
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD DR #04-08248
Date Notice/Process Served:	12/13/2004
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	08/25/2005
Monetary Compensation Amount:	$118,000.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Court Details:	COUNTY OF MORTON, STATE OF ND, DISTRICT COURT SOUTH CENTRAL JUDICIAL DISTRICT CASE # 02-C-1372. (#03-04-C-00271)
Date Notice/Process Served:	01/07/2004
Litigation Pending?	No
Disposition:	Other
Disposition Date:	07/23/2004
Broker Statement	MY RECOMMENDATIONS WERE BASED ON THE CLIENT'S GOALS AND INVESTMENT OBJECTIVES. A VARIABLE ANNUITY CONTRACT WAS MISPLACED AND THE MARKET DECLINED BEFORE A FREE LOOK OPTION WAS OFFERED TO THE CLIENT. THE CLIENT DECLINED THE FREE LOOK OFFER. THE ANNUITY COMPANY OFFERED HER RETURN OF VALUE, WHICH WAS LOWER, AND NOT RETURN OF PREMIUM.

End of Report

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