



IAPD Report

Lance Victor Cannon

CRD# 2039334

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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

Lance Victor Cannon (CRD# 2039334)

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 **08/03/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	07/08/2026
IA	CWM, LLC	CRD# 155344	07/08/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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	LPL FINANCIAL LLC	6413	LAKE OSWEGO, OR	07/19/2023 - 08/03/2026
IA	LPL FINANCIAL LLC	6413	LAKE OSWEGO, OR	07/19/2023 - 08/03/2026
B	BANCWEST INVESTMENT SERVICES, INC.	29357	GRESHAM, OR	01/21/2022 - 07/19/2023

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

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	07/08/2026
	FINRA	General Securities Representative	Approved	07/08/2026
	FINRA	Invest. Co and Variable Contracts	Approved	07/08/2026
	FINRA	Investment Co./Variable Contracts Prin	Approved	07/08/2026
	FINRA	Municipal Fund	Approved	07/08/2026
	Arizona	Agent	Approved	07/08/2026
	California	Agent	Approved	07/08/2026
	Idaho	Agent	Approved	07/08/2026
	Oregon	Agent	Approved	07/08/2026
	Texas	Agent	Approved	07/08/2026
	Washington	Agent	Approved	07/08/2026

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
4949 MEADOWS ROAD SUITE 600
LAKE OSWEGO, OR 97035



Qualifications

Employment 2 of 2

Firm Name: **CWM, LLC**
Main Address: 14600 BRANCH ST.
OMAHA, NE 68154
Firm ID#: 155344

	Regulator	Registration	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	07/08/2026
IA	Texas	Investment Adviser Representative	Approved	07/08/2026
IA	Washington	Investment Adviser Representative	Approved	07/08/2026

Branch Office Locations

CWM, LLC
4949 Meadows Road, Ste. 600
Lake Oswego, OR 97035



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 3 principal/supervisory exams, 4 general industry/product exams, and 3 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	09/24/2020
	General Securities Principal Examination (S24)	Series 24	08/19/2020
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/21/1998

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	National Commodity Futures Examination (S3)	Series 3	04/23/1990
	General Securities Representative Examination (S7)	Series 7	03/17/1990

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	10/18/2016
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/13/1995
	Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/1990



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
B	07/19/2023 - 08/03/2026	LPL FINANCIAL LLC	CRD# 6413	LAKE OSWEGO, OR
IA	07/19/2023 - 08/03/2026	LPL FINANCIAL LLC	CRD# 6413	LAKE OSWEGO, OR
B	01/21/2022 - 07/19/2023	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	GRESHAM, OR
IA	01/21/2022 - 07/19/2023	BANCWEST INVESTMENT SERVICES, INC. (BWIS)	CRD# 29357	GRESHAM, OR
IA	07/06/2018 - 12/15/2021	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	Bothell, WA
B	07/06/2018 - 12/15/2021	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	Lincoln, NE
IA	10/19/2016 - 11/27/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SEATTLE, WA
B	12/08/2014 - 11/27/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	SEATTLE, WA
B	09/24/2013 - 11/24/2014	STANCORP EQUITIES, INC.	CRD# 19517	PORTLAND, OR
B	10/04/2006 - 10/28/2011	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
IA	10/04/2006 - 11/03/2006	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	MILLCREEK, WA
B	08/10/2005 - 09/09/2005	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
IA	08/10/2005 - 09/09/2005	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	SAN DIEGO, CA
IA	01/31/1997 - 11/19/2004	CITISTREET FINANCIAL SERVICES LLC	CRD# 107311	EAST BRUNSWICK, NJ
B	08/29/1996 - 11/17/2004	CITISTREET EQUITIES LLC	CRD# 7447	SOMERSET, NJ
B	07/31/1993 - 09/06/1996	SMITH BARNEY INC.	CRD# 7059	NEW YORK, NY
B	03/20/1990 - 07/31/1993	LEHMAN BROTHERS INC.	CRD# 7506	NEW YORK, NY



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
07/2026 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
07/2026 - Present	CWM, LLC DBA CARSON GROUP HOLDINGS	WEALTH ADVISOR	Y	LAKE OSWEGO, OR, United States
07/2026 - Present	CWM, LLC, DBA CARSON PARTNERS	WEALTH ADVISOR	Y	LAKE OSWEGO, OR, United States
07/2026 - Present	CWM, LLC, DBA CARSON WEALTH	WEALTH ADVISOR	Y	LAKE OSWEGO, OR, United States
07/2024 - Present	LOOSE CANNON	MANAGING MEMBER	N	PRATT, KS, United States
07/2024 - Present	RENTAL PROPERTY	OWNER	N	WICHITA, KS, United States
07/2023 - 07/2026	BMO BANK NA	Employee/Contractor	Y	LAKE OSWEGO, OR, United States
07/2023 - 07/2026	LPL FINANCIAL LLC	Registered Rep	Y	LAKE OSWEGO, OR, United States
01/2022 - 07/2023	BancWest Investment Services, Inc.	Wealth Financial Advisor	Y	Portland, OR, United States
01/2022 - 07/2023	Bank of the West	Wealth Financial Advisor	Y	Portland, OR, United States
06/2018 - 10/2021	Allstate Insurance Company	Agent	Y	Vancouver, WA, United States
11/2017 - 06/2018	Unemployed	Unemployed	N	Ridgefield, WA, United States
11/2014 - 11/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	VICE PRESIDENT; RETIREMENT SPECIALIST	Y	Seattle, WA, United States



Registration & Employment History



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. NAME OF OTHER BUSINESS: CWM, LLC, DBA CARSON WEALTH

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: DBA FOR FINANCIAL SERVICES

START DATE: 07/2026

POSITION/TITLE/RELATIONSHIP: WEALTH ADVISOR

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: PROVIDING BROKERAGE AND ADVISORY SERVICES TO CLIENTS WHEN NEEDED;

2. NAME OF OTHER BUSINESS: LOOSE CANNON

INVESTMENT RELATED: NO

ADDRESS: PRATT, KS 97124

NATURE OF BUSINESS: RENTAL PROPERTY

START DATE: 07/2024

POSITION/TITLE/RELATIONSHIP: MANAGING MEMBER

APX NUMBER OF HOURS PER WEEK: .1

APX NUMBER OF HOURS DURING TRADING HOURS: 0

BRIEF DESCRIPTION OF DUTIES: RENTAL PROPERTY THAT I OWN WITH MY DAUGHTER. PROPERTY IS

PROFESSIONALLY MANAGED BY A 3RD PARTY;

3. NAME OF OTHER BUSINESS: CWM, LLC DBA CARSON GROUP HOLDINGS

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: PLANNING AND FINANCIAL SERVICES

START DATE: 07/2026

POSITION/TITLE/RELATIONSHIP: WEALTH ADVISOR

APX NUMBER OF HOURS PER WEEK: .40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: TO SERVE THE PLANNING AND FINANCIAL SERVICES NEEDS OF CLIENTS;

4. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

START DATE: 05/1990

APX NUMBER OF HOURS PER WEEK: 3

APX NUMBER OF HOURS DURING TRADING HOURS: 3

POSITION/TITLE/RELATIONSHIP: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SALES OF FIXED INSURANCE PRODUCTS;

5. NAME OF OTHER BUSINESS: CWM, LLC, DBA CARSON PARTNERS

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: SEC REGISTERED INVESTMENT ADVISER

START DATE: 07/2026

POSITION/TITLE/RELATIONSHIP: WEALTH ADVISOR

APX NUMBER OF HOURS PER WEEK: 40

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5

BRIEF DESCRIPTION OF DUTIES: TO SERVE THE PLANNING AND FINANCIAL SERVICES NEEDS OF CLIENTS;

6. NAME OF OTHER BUSINESS: RENTAL PROPERTY

INVESTMENT RELATED: NO

ADDRESS: WICHITA, KS 67211



Registration & Employment History



OTHER BUSINESS ACTIVITIES

NATURE OF BUSINESS: RENTAL PROPERTY

START DATE: 07/2024

POSITION/TITLE/RELATIONSHIP: OWNER

APX NUMBER OF HOURS PER WEEK: .2

APX NUMBER OF HOURS DURING TRADING HOURS: 0

BRIEF DESCRIPTION OF DUTIES: RENTAL PROPERTY;

7. NAME OF OTHER BUSINESS: DEATH VALLEY MOTORSPORTS

INVESTMENT RELATED: NO

ADDRESS: RIDGEFIELD, WA 98642

NATURE OF BUSINESS: POWERSPORT'S DEALERSHIP

START DATE: 03/2026

POSITION/TITLE/RELATIONSHIP: INDEPENDENT CONTRACTOR

APX NUMBER OF HOURS PER WEEK: .3

APX NUMBER OF HOURS DURING TRADING HOURS: 0

BRIEF DESCRIPTION OF DUTIES: HELP MY SONE INTERPRET FINANCIAL STATEMENTS AND ACCOUNTING PRACTICES FOR HIS BUSINESS;



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:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL CORPORATION
Allegations:	Customers allege that from early 2021 through October 2023, they were put in unsuitable investments and received misrepresentations regarding the risk of their investments.
Product Type:	Mutual Fund
Alleged Damages:	\$29,760.61
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:	10/18/2023
Complaint Pending?	No
Status:	Denied
Status Date:	11/03/2023
Settlement Amount:	
Individual Contribution Amount:	



Broker Statement

The Representative would like to note that he inherited the accounts in question, did not select or recommend any of the investments within the accounts and did not have any involvement in determining the investment profile of the accounts. He would also like to state that refutes all allegations regarding his actions related to the complaint.



End of Report

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