



## IAPD Report

# PHILLIP SCOTT EGGERS

CRD# 2064151

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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

### PHILLIP SCOTT EGGERS (CRD# 2064151)

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 **08/02/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	03/28/2024
<b>IA</b>	LPL FINANCIAL LLC	CRD# 6413	03/28/2024

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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>	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	PLANO, TX	05/29/2015 - 04/02/2024
<b>B</b>	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	PLANO, TX	05/29/2015 - 04/02/2024
<b>B</b>	LPL FINANCIAL LLC	6413	PLANO, TX	01/16/1998 - 06/05/2015

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
Regulatory Event	2



## 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 **20** 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>B</b>	FINRA	General Securities Principal	Approved	03/28/2024
<b>B</b>	FINRA	General Securities Representative	Approved	03/28/2024
<b>B</b>	FINRA	Invest. Co and Variable Contracts	Approved	03/28/2024
<b>B</b>	Arizona	Agent	Approved	03/28/2024
<b>B</b>	Arkansas	Agent	Approved	03/28/2024
<b>B</b>	California	Agent	Approved	03/28/2024
<b>B</b>	Colorado	Agent	Approved	03/28/2024
<b>B</b>	Florida	Agent	Approved	03/29/2024
<b>B</b>	Indiana	Agent	Approved	03/28/2024
<b>B</b>	Iowa	Agent	Approved	04/01/2024
<b>B</b>	Kansas	Agent	Approved	03/28/2024
<b>B</b>	Louisiana	Agent	Approved	03/28/2024
<b>B</b>	Michigan	Agent	Approved	03/28/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Missouri	Agent	Approved	03/28/2024
<b>B</b> New Jersey	Agent	Approved	03/28/2024
<b>B</b> New Mexico	Agent	Approved	03/28/2024
<b>B</b> New York	Agent	Approved	03/28/2024
<b>B</b> North Carolina	Agent	Approved	03/28/2024
<b>IA</b> North Carolina	Investment Adviser Representative	Approved	08/20/2025
<b>B</b> Oklahoma	Agent	Approved	04/01/2024
<b>B</b> Oregon	Agent	Approved	04/01/2024
<b>B</b> Texas	Agent	Approved	03/28/2024
<b>IA</b> Texas	Investment Adviser Representative	Approved	03/28/2024
<b>B</b> Washington	Agent	Approved	04/03/2024
<b>B</b> Wyoming	Agent	Approved	03/28/2024

### Branch Office Locations

**LPL FINANCIAL LLC**  
 5800 Granite Pkwy Ste 250  
 Plano, TX 75024-6617

**LPL FINANCIAL LLC**  
 2800 SHORELINE DR STE 280  
 DENTON, TX 76210




## 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 1 state securities law exam.**


#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	04/06/1998

#### 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
 Futures Managed Funds Examination (S31)	Series 31	06/04/1993
 General Securities Representative Examination (S7)	Series 7	06/16/1990

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/13/1990

### PROFESSIONAL DESIGNATIONS

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

No information reported.



### 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	05/29/2015 - 04/02/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	PLANO, TX
B	05/29/2015 - 04/02/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	PLANO, TX
B	01/16/1998 - 06/05/2015	LPL FINANCIAL LLC	CRD# 6413	PLANO, TX
IA	01/16/1998 - 06/05/2015	LPL FINANCIAL LLC	CRD# 6413	PLANO, TX
IA	02/06/2013 - 03/26/2014	STRATOS WEALTH PARTNERS, LTD	CRD# 153184	PLANO, TX
B	08/07/1990 - 01/30/1998	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY

#### 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
03/2024 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Plano, TX, United States
05/2020 - Present	Super Duty Fans	CEO	N	Pilot Point, TX, United States
01/2016 - Present	Euclid Design Group	Officer - CEO	N	Pilot Point, TX, United States
05/2015 - Present	EGGERS STAGECOACH FARM	PROPRIETOR/OWNER	N	PILOT POINT, TX, United States
05/2015 - Present	Legacy Retirement Planning	Owner	N	Plano, TX, United States
05/2015 - 03/2024	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	PLANO, TX, United States
05/2015 - 03/2024	RAYMOND JAMES FINANCIAL SERVICES, INC.	FINANCIAL ADVISOR	Y	PLANO, TX, 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) 12/29/2023 - Euclid Design Group - Business Owner - Parent company of Windmill Ceiling Fans and also Ranch & Co - TX 76258 - Non investment related - 10 Hours per month - Start date: 11/5/2012.
- 2) 12/29/2023 - Legacy Retirement Planning - DBA for LPL Business (entity for LPL business) - Investment related - At reported business location(s) - 160 Hours per month.
- 3) 12/29/2023 - Eggers Stagecoach Farm - Business Entity For Tax/Investment Purposes Only - owner, sale of livestock - TX 76258 - Non investment related - Start date: 09/01/2012.
- 4) 12/29/2023 - Windmill Ceiling Fans - Business Owner - Silent owner of family business - TX 76258 - Non investment related - Start date: 10/15/2012.
- 5) 12/29/2023 - Super Duty Fans - Business Owner - CEO of family business - TX 76258 - Non investment related - 10 Hours per month - Start date: 10/1/2018.
- 6) 12/29/2023 - RANCH & CO. INTERIORS, LLC - Business Owner - Silent owner of family business - TX 76258 - Non investment related - Start date: 1/16/2023.



## 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
Regulatory Event	2

### Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

#### Disclosure 1 of 2

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** ILLINOIS

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** NOTICE OF HEARING

**Date Initiated:** 08/22/2008

**Docket/Case Number:** 0800340

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** THRE RESPONDENT SHALL CAUSE TO HAVE HIS REGISTRATION AS A SALESPERSON INT HE STATE OF ILLINOIS WITHDRAWN WITHIN THREE DAYS FROM THE ENTRY OF THIS CONSENT ORDER AND WIL NOT RE-APPLY FOR REGISTRATION FOR A PERIOD OF TWO YEARS FROM THE ENTRY OF THIS CONSENT ORDER. THE RESPONDENT HAS PAID COST OF THE INVESTIGATION. THE FORMAL HEARING SCHEDULED ON THIS MATTER IS HEREBY DISMISSED WITHOUT FURTHER PROCEEDINGS.

**Current Status:** Final

**Resolution:** Consent



**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 10/10/2008

**Sanctions Ordered:**

**Other Sanctions Ordered:**

**Sanction Details:** NONE

**Regulator Statement** IF THERE ARE ANY QUESTIONS PLEASE FEEL FREE TO CONTACT MR. DANIEL TUNICK AT 312-793-3384.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** STATE OF ILLINOIS

**Sanction(s) Sought:** Revocation

**Other Sanction(s) Sought:**

**Date Initiated:** 08/25/2008

**Docket/Case Number:** 0800340

**Employing firm when activity occurred which led to the regulatory action:** LPL FINANCIAL

**Product Type:** Mutual Fund(s)

**Other Product Type(s):** UNIT TRUSTS AND EQUITIES

**Allegations:** STATE OF ILLINOIS BROUGHT FOLLOW-ON REGISTRATION REVOATION PROCEEDIN ON THE BASIS OF THE SETTLEMENT WITH FINRA ON JUNE 2, 2008. NO ADDITIONAL VIOLATIONS OR CONDUCT WAS ALLEGED.

**Current Status:** Final

**Resolution:** Other

**Resolution Date:** 10/10/2008

**Sanctions Ordered:** Monetary/Fine \$1,500.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** THE MATTER WAS SETTLED AND THE REP AGREED TO A 2 YEAR SUSPENSION, STARTING OCTOBER 13, 2008, OF HIS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS, AND AGREED TO PAY THEIR COSTS OF INVESTIGATION OF \$1500.

**Disclosure 2 of 2**

**Reporting Source:** Regulator



**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 06/03/2008

**Docket/Case Number:** E062004027401

**Employing firm when activity occurred which led to the regulatory action:** LINSKO/PRIVATE LEDGER CORP. N/K/A LPL FINANCIAL CORPORATION

**Product Type:** Mutual Fund

**Allegations:** NASD RULES 2110, 2210(D)(1)(A), 2310, 2510 - RESPONDENT RECOMMENDED SECURITIES TRANSACTIONS TO PUBLIC CUSTOMERS WITHOUT HAVING REASONABLE GROUNDS FOR BELIEVING THAT HIS RECOMMENDATIONS WERE SUITABLE FOR THE CUSTOMERS. THE FINDINGS STATED THAT EGGERS UTILIZED DISCRETION IN THE CUSTOMERS ACCOUNTS WITHOUT RECEIVING WRITTEN AUTHORIZATION FROM THE CUSTOMERS TO USE DISCRETION, AND MOREOVER, HIS FIRM NEVER APPROVED THE ACCOUNTS AS DISCRETIONARY. THE FINDINGS ALSO STATED THAT EGGERS DISTRIBUTED MISLEADING SALES LITERATURE TO THE CUSTOMERS.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 06/03/2008

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, EGGERS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$25,000, JOINTLY AND SEVERALLY, AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM JUNE 23, 2008, THROUGH JULY 14, 2008. FINES PAID 06/20/2008.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:** Suspension

**Other Sanction(s) Sought:** \$25,000

**Date Initiated:** 06/03/2008

**Docket/Case Number:** E062004027401



<b>Employing firm when activity occurred which led to the regulatory action:</b>	LPL FINANCIAL
<b>Product Type:</b>	Mutual Fund(s)
<b>Other Product Type(s):</b>	EQUITIES, UNIT INVESTMENT TRUSTS
<b>Allegations:</b>	FINRA BROUGHT AN ENFORCEMENT ACTION AGAINST MR. EGGERS IN CONNECTION WITH SIX CUSTOMERS' RETIREMENT ACCOUNTS. FINRA ALLEGED THAT, IN ADVISING THESE CUSTOMERS, MR. EGGERS MADE MISLEADING PROJECTIONS OF INVESTMENT RETURNS AND THE SYSTEMATIC WITHDRAWALS THAT COULD BE TAKEN FROM THE ACCOUNTS. FINRA ALLEGED THAT, IN 1999 AND 2000, MR. EGGERS MADE UNSUITABLE RECOMMENDATIONS TO CUSTOMERS AND THAT MR. EGGERS PERIODICALLY UTILIZED DISCRETION TO DETERMINE WHICH SECURITIES TO SELL TO RAISE THE PROCEEDS TO FUND THE SYSTEMATIC WITHDRAWALS, WITHOUT A DISCRETIONARY AGREEMENT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	06/03/2008
<b>Sanctions Ordered:</b>	Monetary/Fine \$25,000.00 Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, MR. EGGERS CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE, HE IS FINED \$25,000, JOINTLY AND SEVERALLY, AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 15 BUSINESS DAYS. THE SUSPENSION IN ANY CAPACITY IS IN EFFECT FROM JUNE 23, 2008 TO JULY 14, 2008.
<b>Broker Statement</b>	IN ORDER TO AVOID THE EXPENSE AND UNCERTAINTY INVOLVED IN CONTINUING THE ENFORCEMENT ACTION, MR. EGGERS DECIDED TO SETTLE THE MATTER BY ENTERING INTO AN AGREEMENT OF ACCEPTANCE, WAIVER AND CONSENT.



## End of Report

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