IAPD Report

DOUGLAS HARRY CHAPMAN

CRD# 2230482

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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

DOUGLAS HARRY CHAPMAN (CRD# 2230482)

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 **10/31/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	01/11/2024
IA	LPL FINANCIAL LLC	CRD# 6413	01/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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	CETERA ADVISOR NETWORKS LLC	13572	CLARK, NJ	08/10/2023 - 01/17/2024
IA	CETERA INVESTMENT ADVISERS LLC	105644	CLARK, NJ	08/10/2023 - 01/17/2024
B	SECURIAN FINANCIAL SERVICES, INC.	15296	CLARK, NJ	06/10/2004 - 08/10/2023

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	6

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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 **28** 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	01/11/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/11/2024
B	Alabama	Agent	Approved	01/17/2024
B	Arizona	Agent	Approved	01/11/2024
B	California	Agent	Approved	01/11/2024
B	Colorado	Agent	Approved	01/11/2024
B	Connecticut	Agent	Approved	01/11/2024
B	Delaware	Agent	Approved	01/11/2024
B	Florida	Agent	Approved	01/12/2024
B	Georgia	Agent	Approved	01/11/2024
B	Illinois	Agent	Approved	04/09/2024
B	Maryland	Agent	Approved	01/11/2024
B	Massachusetts	Agent	Approved	01/12/2024

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Qualifications

	Regulator	Registration	Status	Date
B	Michigan	Agent	Approved	01/11/2024
B	Nevada	Agent	Approved	02/27/2024
B	New Hampshire	Agent	Approved	01/11/2024
B	New Jersey	Agent	Approved	01/11/2024
IA	New Jersey	Investment Adviser Representative	Approved	01/11/2024
B	New York	Agent	Approved	01/11/2024
B	North Carolina	Agent	Approved	01/11/2024
B	Ohio	Agent	Approved	01/11/2024
B	Oregon	Agent	Approved	01/11/2024
B	Pennsylvania	Agent	Approved	01/11/2024
B	Rhode Island	Agent	Approved	01/11/2024
B	South Carolina	Agent	Approved	01/11/2024
B	Tennessee	Agent	Approved	02/21/2024
B	Texas	Agent	Approved	01/11/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/11/2024
B	Vermont	Agent	Approved	01/11/2024
B	Virginia	Agent	Approved	01/11/2024
B	Washington	Agent	Approved	01/11/2024

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Qualifications

	Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved	01/25/2024

Branch Office Locations

LPL FINANCIAL LLC
1199 RARITAN ROAD
CLARK, NJ 07066

LPL FINANCIAL LLC
2214 RT 37 E
TOMS RIVER, NJ 08753

LPL FINANCIAL LLC
30 COLUMBIA TURNPIKE STE 101
FLORHAM PARK, NJ 07932

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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, 3 general industry/product exams, and 1 state securities law exam.

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	10/28/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/22/1992

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/04/1993

PROFESSIONAL DESIGNATIONS

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

No information reported.

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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	08/10/2023 - 01/17/2024	CETERA ADVISOR NETWORKS LLC	CRD# 13572	CLARK, NJ
IA	08/10/2023 - 01/17/2024	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	CLARK, NJ
B	06/10/2004 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	CLARK, NJ
IA	06/09/2004 - 08/10/2023	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	CLARK, NJ
IA	07/02/2002 - 06/21/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	CLARK, NJ
B	04/23/1992 - 06/21/2004	WS GRIFFITH SECURITIES, INC.	CRD# 10410	HARTFORD, CT

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
01/2024 - Present	LPL Financial	Registered rep	Y	Clark, NJ, United States
01/2005 - Present	TAX PLANNING GROUP LLC	OFFICER	N	CLARK, NJ, United States
12/1991 - Present	WEALTH MANAGEMENT GROUP LLC	AGENT/SALESPERSON	Y	CLARK, NJ, United States
08/2023 - 01/2024	CETERA ADVISOR NETWORKS LLC	REGISTERED REPRESENTATIVE	Y	CLARK, NJ, United States
08/2023 - 01/2024	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2014 - 01/2024	ALLIED WEALTH PARTNERS	AGENT	Y	PARSIPPANY, NJ, United States
06/2004 - 08/2023	MINNESOTA LIFE INSURANCE COMPANY	AGENT	Y	ST. PAUL, MN, United States
06/2004 - 08/2023	SECURIAN FINANCIAL SERVICES INC	REGISTERED REP	Y	ST. PAUL, MN, United States

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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) 12/2023 - Wealth Management Group - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) - 160hrs/month - 100% time spent
2) 12/2023 - Tax Planning Group, LLC - Tax Prep/Accounting/CPA - Inv. related - Clark, NJ - Tax Prep and Bookkeeping - Start Date 01/01/2005 - 1hr/month - 2% time spent
3) 12/2023 - Fixed Insurance - Non-Variable Insurance - Inv. Related - Clark, NJ - Agent Selling Insurance- Start Date 09/01/1991 - 8hrs/month - 5% time spent

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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.

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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	6

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 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES, INC.
Allegations:	CLIENT ALLEGES REP MISREPRESENTATION. CLIENT ALLEGES WHEN SHE SPOKE WITH THE REP IN JANUARY 2021 HE TOLD HER SHE WOULD BE GUARANTEED A 6% STEP UP RETURN ON A JACKSON VARIABLE ANNUITY LIVING BENEFIT RIDER. THE GUARANTEE IS ACTUALLY 5%.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM ESTIMATES POTENTIAL DAMAGES MAY EXCEED $5,000.
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:	11/15/2021
Complaint Pending?	No
Status:	Denied
Status Date:	02/23/2022

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Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES
Allegations:	CLIENT ALLEGES REGISTERED REPRESENTATIVE FAILED TO FOLLOW INSTRUCTIONS ON HIS ACCOUNT IN NOVEMBER 2018.
Product Type:	Mutual Fund
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM DETERMINED POTENTIAL DAMAGES EXCEED $5,000.
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:	03/04/2019
Complaint Pending?	No
Status:	Settled
Status Date:	04/15/2019
Settlement Amount:	$8,835.02
Individual Contribution Amount:	$8,835.02

Disclosure 3 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES
Allegations:	CLIENT ALLEGES RR MISREPRESENTATION AND STATES DEATH BENEFIT GUARANTEE WAS NOT WHAT WAS REQUESTED OR UNDERSTOOD TO HAVE BEEN RECEIVED.
Product Type:	Insurance
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM ESTIMATES DAMAGES EXCEED $5000.

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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:	10/03/2016
Complaint Pending?	No
Status:	Denied
Status Date:	10/24/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 4 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES
Allegations:	CLIENT ALLEGED THE INDEXED LIFE POLICY SHE OPENED ON 10/19/12 IS UNSUITABLE FOR HER NEEDS. CLIENT ALLEGES FEES CHARGED IN HER IA ACCOUNTS WERE UNWARRANTED AND SHOULD BE REFUNDED.
Product Type:	Insurance Other: INVESTMENT ADVISORY
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM ESTIMATES DAMAGES EXCEED $5,000.
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:	07/26/2016
Complaint Pending?	No
Status:	Settled
Status Date:	01/13/2017
Settlement Amount:	$90,000.00
Individual Contribution Amount:	$45,000.00
Broker Statement	The insurance policy, noted in the allegation, was not solicited by me. When the client requested a meeting to discuss the product, I met with her and assisted in the application process. I generally had three to four face-to-face meetings per

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year with this client where, in addition to discussing her risk profile and long-term objectives, we also discussed this policy she had purchased. I completely and unequivocally disagree with the settlement which was decided upon. I believe that my interaction, guidance, and advice greatly exceeded the industry standards. My personal contribution, to this settlement, was only $5,000. The broker dealer and insurance company paid the client the rest of their settlement.

Disclosure 5 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURIAN FINANCIAL SERVICES
Allegations:	CLIENT ALLEGES RR MISREPRESENTED CONTRACT AT THE TIME OF SALE.
Product Type:	Annuity-Variable
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	FIRM ESTIMATES DAMAGES EXCEED $5,000.
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:	04/08/2015
Complaint Pending?	No
Status:	Denied
Status Date:	05/15/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	NO BASIS FOR ALLEGATIONS. SALE OF ANNUITY WAS SUITABLE BASED ON CLIENTS NEEDS AND GOALS AT THE TIME OF SALE.

Disclosure 6 of 6

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	WS GRIFFITH & CO., INC.
Allegations:	CLIENT CLAIMS THAT SHE INSTRUCTED A TRADE TO BE MADE WHICH WAS NOT EXECUTED AND THAT SHE INSTRUCTED ME TO PURCHASE ONE BOND. THREE WERE BOUGHT AND SHE FELT ONE BOND WAS NOT INVESTMENT GRADE.
Product Type:	Equity Listed (Common & Preferred Stock)

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Alleged Damages: $23,000.00

Customer Complaint Information

Date Complaint Received: 02/01/2000

Complaint Pending? No

Status: Settled

Status Date: 06/20/2001

Settlement Amount: $9,800.00

Individual Contribution Amount: $6,300.00

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End of Report

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