



IAPD Report

JUDITH WATKINS BLAISING

CRD# 2332242

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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

JUDITH WATKINS BLAISING (CRD# 2332242)

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 **09/30/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-------------------|-----------|------------------|
| B | LPL FINANCIAL LLC | CRD# 6413 | 11/09/2012 |
| IA | LPL FINANCIAL LLC | CRD# 6413 | 11/09/2012 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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 | INDEPENDENT ADVISERS GROUP CORP | 106684 | DALLAS, TX | 09/29/1993 - 01/03/2014 |
| B | LINCOLN FINANCIAL SECURITIES CORPORATION | 3870 | DALLAS, TX | 09/29/1993 - 12/03/2012 |
| IA | LINCOLN FINANCIAL SECURITIES CORPORATION | 3870 | DALLAS, TX | 09/29/1993 - 12/03/2012 |

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 |
|------------------|-------|
| Regulatory Event | 1 |
| Customer Dispute | 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 7 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 | Invest. Co and Variable Contracts | Approved | 11/09/2012 |
| B | FINRA | Investment Co./Variable Contracts Prin | Approved | 11/09/2012 |
| B | Colorado | Agent | Approved | 03/28/2019 |
| B | Florida | Agent | Approved | 11/09/2012 |
| B | Georgia | Agent | Approved | 11/09/2012 |
| B | Louisiana | Agent | Approved | 11/09/2012 |
| B | South Carolina | Agent | Approved | 10/30/2014 |
| B | Texas | Agent | Approved | 11/09/2012 |
| IA | Texas | Investment Adviser Representative | Approved | 11/09/2012 |
| B | Virginia | Agent | Approved | 11/09/2012 |
| IA | Virginia | Investment Adviser Representative | Approved | 09/16/2020 |

Branch Office Locations

LPL FINANCIAL LLC
8080 N. CENTRAL EXPY, STE 1700
DALLAS, TX 75206



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

Principal/Supervisory Exams

| Exam | Category | Date |
|--|-----------|------------|
| Investment Company Products/Variable Contracts Principal Examination (S26) | Series 26 | 01/24/1997 |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 09/28/1993 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| Uniform Securities Agent State Law Examination (S63) | Series 63 | 09/10/1993 |

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 | 09/29/1993 - 01/03/2014 | INDEPENDENT ADVISERS GROUP CORP | CRD# 106684 | DALLAS, TX |
| B | 09/29/1993 - 12/03/2012 | LINCOLN FINANCIAL SECURITIES CORPORATION | CRD# 3870 | DALLAS, TX |
| IA | 09/29/1993 - 12/03/2012 | LINCOLN FINANCIAL SECURITIES CORPORATION | CRD# 3870 | DALLAS, TX |

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 |
|-------------------|-------------------|---------------------------|--------------------|---------------------------|
| 11/2012 - Present | LPL FINANCIAL LLC | REGISTERED REPRESENTATIVE | Y | DALLAS, TX, 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) 10/17/2012: ARMOR FINANCIAL GROUP INC - Business Entity For Tax/Investment Purposes Only - INV REL - AT REPORTED BUSINESS LOCATION - President and Owner-company set up for pay business expenses - 4% TIME SPENT.
- (2) 10/17/2012: NO BUSINESS NAME - NON-VARIABLE INSURANCE - INV REL - AT REPORTED BUSINESS LOCATION - Agent-offers indexed, UL, term & LTC - 1% TIME SPENT.
- (3) 10/17/2012: WMSON CO LLC - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - NOT INV REL - AT REPORTED BUSINESS LOCATION - PARTNER IN FAMILY ESTATE PLANNING/LEGAL ENTITY.
- (4) 09/14/2016: No Business Name - Business Owner - Not Investment Related - Located at various art galleries - Start 09/16/2016 - 10 Hr/Mo; 0 Hour(s) During Securities Trading - No title. Displaying paintings in art galleries and sell these paintings when requested.
- (5) 09/23/2025- Chinoiserie Books LLC- Other - Author- INV Related- Home Based- Start date 11/05/2021- 60 Hour Per Month



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 | 1 |
| Customer Dispute | 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 1

Reporting Source: Regulator

Regulatory Action Initiated By: TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 05/27/1997

Docket/Case Number: 97-020

Employing firm when activity occurred which led to the regulatory action: THE ARMOR FINANCIAL GROUP, INC.

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Consent

Resolution Date: 05/27/1997

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: ON MAY 27, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST JUDITH WATKINS WILLIAMSON AND THE ARMOR FINANCIAL GROUP, INC. RESPONDENT AFGI, BY AND



THROUGH
RESPONDENT WILLIAMSON HAS ACTED AS AN INVESTMENT ADVISER
WHEN
IT WAS NOT PROPERLY REGISTERED WITH THE SECURITIES
COMMISSIONER. . PURSUANT TO SECTION 23-1 OF THE SECURITIES ACT,
IT IS ORDERED THAT AFGI PAY AN ADMINISTRATIVE FINE OF \$7,500.00
AND AN UNDERTAKING THAT WILLIAMSON WILL NOT ACT IN A
SUPERVISORY CAPACITY AS IT RELATES TO THE SUPERVISION OF THE
ACTIVITIES OF ANY AGENTS OF THE DEALER WITH WHOM SHE IS
EMPLOYED, OTHER THAN HERSELF FOR 8 MONTHS FROM DATE OF THIS
ORDER.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305 8390

Reporting Source: Individual
Regulatory Action Initiated By: TEXAS SECURITIES BOARD
Sanction(s) Sought:
Other Sanction(s) Sought:
Date Initiated: 05/27/1997
Docket/Case Number: 97-020
Employing firm when activity occurred which led to the regulatory action: THE ARMOR FINANCIAL GROUP, INC.
Product Type:
Other Product Type(s):
Allegations: SEE ATTACHED
Current Status: Final
Resolution: Consent
Resolution Date: 05/27/1997
Sanctions Ordered:
Other Sanctions Ordered:
Sanction Details: \$7,500 ADMINISTRATIVE FINE TO INVESTMENT ADVISOR AND UNDERTAKINGS (SEE ATTACHED)
Broker Statement SEE ATTACHED



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 2

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LINCOLN FINANCIAL SECURITIES CORPORATION

Allegations: THE CLAIMANT ALLEGES ON OR AROUND FEBRUARY 2009 REPRESENTATIVE RECOMMENDED AND SOLD HIM AN UNSUITABLE VARIABLE ANNUITY, WHICH THE REPRESENTATIVE NEGLIGENTLY FAILED TO ADVISE WAS RISKY, EXPENSIVE AND ILLIQUID. ADDITIONALLY, AS THE BRANCH MANAGER, THE RR IS CHARGED WITH FAILURE TO SUPERVISE.

Product Type: Annuity-Variable
Other: INVESTMENT ADVISORY ACCOUNTS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$170,000 TO BE DETERMINED AT TRIAL

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 09/05401

Date Notice/Process Served: 09/28/2009

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/07/2011

Monetary Compensation Amount: \$160,000.00

Individual Contribution Amount: \$0.00

Broker Statement REPRESENTATIVE DENIES ALL CLAIMS. CLAIMANT INVESTED \$255,000 IN ANNUITY ON 3/25/09 AND FOUR MONTHS LATER ACCOUNT VALUE GREW TO \$291,624.98 ON 7/31/09. SUITABILITY EVIDENCED BY SIGNED VARIABLE ANNUITY DISCLOSURE FORM, PROSPECTUS RECEIPT, CONTRACT DELIVERY RECEIPT AND NEW ACCOUNT FORM AS WELL AS PRINCIPAL REVIEW AT HOME OFFICE.

Disclosure 2 of 2

Reporting Source: Individual

Employing firm when JEFFERSON PILOT SECURITIES



activities occurred which led to the complaint:

Allegations: FAILURE TO STOP DECLINE IN CLIENTS ACCOUNT VALUE FROM 3/31/2000-08/30/2001

Product Type: Annuity(ies) - Variable

Alleged Damages: \$580,000.00

Customer Complaint Information

Date Complaint Received: 08/04/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/03/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 05-06573

Date Notice/Process Served: 01/03/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/17/2007

Monetary Compensation Amount: \$80,000.00

Individual Contribution Amount: \$0.00

Broker Statement

CLAIMANT DISMISSED ALL CLAIMS IN THIS ARBITRATION AGAINST JUDITH WILLIAMSON BLAISING. ALL CLAIMS AGAINST MS. BLAISING WERE DROPPED WITH PREJUDICE. NO MONETARY COMPENSATION, NO JUDGMENT, NO RESTITUTION AND NO SETTLEMENT AMOUNT WAS PAID OR REQUIRED TO BE PAID BY JUDITH WILLIAMSON BLAISING. CLAIMANT HAD A TOTAL COMBINED NET GAIN OF \$163,397.09 AND SUFFERED NO LOSS.



End of Report

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