



IAPD Report

JOHN BRENDON GALLAGHER

CRD# 2336872

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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

JOHN BRENDON GALLAGHER (CRD# 2336872)

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 **05/12/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/17/2002
IA	LPL FINANCIAL LLC	CRD# 6413	12/17/2002

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	SIRIUS WEALTH MANAGEMENT, LLC	152827	CHESTERFIELD, MO	04/13/2010 - 12/31/2015
IA	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. LOUIS, MO	10/01/2001 - 12/20/2002
B	SECURIAN FINANCIAL SERVICES, INC.	15296	ST. PAUL, MN	09/07/1994 - 12/20/2002

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
Judgment/Lien	5



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 **16** 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	12/17/2002
B	FINRA	Invest. Co and Variable Contracts	Approved	12/17/2002
B	Alaska	Agent	Approved	12/02/2025
B	Arkansas	Agent	Approved	12/17/2002
B	California	Agent	Approved	04/13/2021
B	Colorado	Agent	Approved	10/02/2007
B	Florida	Agent	Approved	04/19/2007
B	Illinois	Agent	Approved	12/17/2002
B	Kansas	Agent	Approved	05/11/2023
B	Minnesota	Agent	Approved	01/29/2020
B	Missouri	Agent	Approved	12/17/2002
IA	Missouri	Investment Adviser Representative	Approved	12/17/2002
B	Nevada	Agent	Approved	04/16/2008



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	07/12/2021
B North Carolina	Agent	Approved	01/04/2006
B Ohio	Agent	Approved	12/20/2010
B Rhode Island	Agent	Approved	06/18/2018
B South Dakota	Agent	Approved	10/04/2013
B Texas	Agent	Approved	11/10/2019
IA Texas	Investment Adviser Representative	Restricted Approval	11/07/2019

Branch Office Locations

LPL FINANCIAL LLC
16305 SWINGLEY RIDGE RD STE
210
CHESTERFIELD, MO 63017

LPL FINANCIAL LLC
999 VANDERBILT BEACH RD
STE 200
NAPLES, FL 34108




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



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	02/17/2003

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/30/1998
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/12/1993

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	04/02/2010
	Uniform Securities Agent State Law Examination (S63)	Series 63	04/21/1993

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	04/13/2010 - 12/31/2015	SIRIUS WEALTH MANAGEMENT, LLC	CRD# 152827	CHESTERFIELD, MO
IA	10/01/2001 - 12/20/2002	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. LOUIS, MO
B	09/07/1994 - 12/20/2002	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	ST. PAUL, MN
IA	12/01/1998 - 12/19/2002	RF ADVISORS LLC	CRD# 110008	ST. LOUIS, MO
B	04/13/1993 - 09/29/1994	EQUICO SECURITIES, INC.	CRD# 6627	NEW YORK, NY
B	04/13/1993 - 09/29/1994	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, 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
04/2011 - Present	CONSERVATION EMPLOYEES CU	FINANCIAL CONSULTANT	Y	JEFFERSON CITY, MO, United States
04/2010 - Present	SIRIUS WEALTH MANAGEMENT, LLC	INVESTMENT ADVISOR	Y	CHESTERFIELD, MO, United States
12/2002 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	CHESTERFIELD, MO, 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) 10/20/2003: NON-VARIABLE INSURANCE - OUTSIDE SALES OF NON-VARIABLE INSURANCE. - CHESTERFIELD, MO.

(2) 06/25/2008 * MS Society Gateway Chapter * Community, Civic and Charitable Board * not inv rel * at reported business location(s) * New member of MS Society Gateway Chapter Board of Trustees, duties include attending board meetings and helping develop programs to communicate the mission of the Society. * time spent 1%

(3) 11/26/2008: DBA ONY - SIRIUS WEALTH MANAGEMENT, LLC - CHESTERFIELD, MO.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

(4) 3/4/2011: DBA ONLY - CECU WEALTH MANAGEMENT - CHESTERFIELD, MO.

(5) 6/11/2013: DBA ONLY - UHY FINANCIAL SERVICES - CHESTERFIELD, MO.



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
Judgment/Lien	5

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
Allegations:	BROKERAGE AND ADVISORY ACCOUNTS WERE MISMANAGED FROM 2007 THROUGH 2011.
Product Type:	Mutual Fund Other: ETF
Alleged Damages:	\$1,246,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	12-01658
Date Notice/Process Served:	06/04/2012
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	12/10/2013
Monetary Compensation Amount:	\$475,000.00



Individual Contribution Amount:

\$30,000.00

Broker Statement

WHILE LOSSES AROSE DURING HISTORIC MARKET DOWNTURN AND IN CONNECTION WITH PREVAILING MARKET CONDITIONS, FIRM CONSIDERED COSTS OF DEFENSE AND MADE BUSINESS DECISION TO SETTLE.



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 5

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$13,807.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/29/2019
Date Individual Learned: 07/25/2019
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: INTERNAL REVENUE SERVICE
Location of Court: ST. LOUIS COUNTY, MO
Docket/Case #: 2019032900036
Judgment/Lien Outstanding? Yes
Broker Statement TAX YEAR 2017

Disclosure 2 of 5

Reporting Source: Individual
Judgment/Lien Holder: STATE OF MISSOURI
Judgment/Lien Amount: \$2,405.40
Judgment/Lien Type: Tax
Date Filed with Court: 09/14/2018
Date Individual Learned: 10/12/2018
Type of Court: ST LOUIS COUNTY COURT (CLAYTON)
Name of Court: ST LOUIS COUNTY COURT (CLAYTON)
Location of Court: ST LOUIS ,MO
Docket/Case #: 17363610002 01
Judgment/Lien Outstanding? Yes

Disclosure 3 of 5

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$33,672.00
Judgment/Lien Type: Tax
Date Filed with Court: 09/06/2018
Date Individual Learned: 10/12/2018
Type of Court: ST LOUIS COUNTY COURT (CLAYTON)



Name of Court: ST LOUIS COUNTY COURT (CLAYTON)
Location of Court: ST LOUIS ,MO
Docket/Case #: 2018090600493
Judgment/Lien Outstanding? Yes

Disclosure 4 of 5

Reporting Source: Individual
Judgment/Lien Holder: IRS
Judgment/Lien Amount: \$2,435.09
Judgment/Lien Type: Tax
Date Filed with Court: 12/11/2015
Date Individual Learned: 02/12/2016

Type of Court: N/A
Name of Court: N/A
Location of Court: N/A
Docket/Case #: 15121100125

Judgment/Lien Outstanding? Yes

Broker Statement This lien is part of the amount included in the payment plan put in place in 2015.

Disclosure 5 of 5

Reporting Source: Individual
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$103,738.45
Judgment/Lien Type: Tax
Date Filed with Court: 03/28/2013
Date Individual Learned: 03/28/2013

Type of Court: INTERNAL REVENUE SERVICE
Name of Court: INTERNAL REVENUE SERVICE
Location of Court: CHESTERFIELD, MO

Judgment/Lien Outstanding? Yes

Broker Statement Clarification of tax years included in the lien:
 For tax period ending: 12/31/2002= \$3749.98;
 For tax period ending: 12/31/2003= \$8449.41;
 For tax period ending: 12/31/2004= \$5268.62;
 For tax period ending: 12/31/2005= \$4545.14;
 For tax period ending: 12/31/2006= \$9674.01;
 For tax period ending: 12/31/2007= \$23,398.06;
 For tax period ending: 12/31/2008= \$18,867.31;
 For tax period ending: 12/31/2009= \$13, 237.60;
 Initial total of lien was recorded at \$87,190.13 plus statutory additions to total the full amount disclosed.



End of Report

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