



IAPD Report

Dawn Renee Hoover

CRD# 2413650

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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

Dawn Renee Hoover (CRD# 2413650)

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 **11/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	05/23/2024
B	LPL FINANCIAL LLC	CRD# 6413	05/24/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **53** 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	AMERITAS ADVISORY SERVICES, LLC	317245	McMinnville, TN	05/09/2022 - 12/10/2022
B	AMERITAS INVESTMENT COMPANY, LLC	14869	LINCOLN, NE	05/06/2022 - 12/10/2022
IA	CONCORDE ASSET MANAGEMENT, LLC	140367	LIVONIA, MI	03/11/2019 - 02/08/2022

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
Criminal	1
Financial	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 **53** 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 Principal	Approved	05/24/2024
B	FINRA	General Securities Representative	Approved	05/24/2024
B	FINRA	General Securities Sales Supervisor	Approved	05/24/2024
B	FINRA	Municipal Securities Principal	Approved	05/24/2024
B	FINRA	Municipal Securities Representative	Approved	05/24/2024
B	FINRA	Operations Professional	Approved	05/24/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	05/28/2024
B	Alabama	Agent	Approved	05/24/2024
B	Alaska	Agent	Approved	05/28/2024
B	Arizona	Agent	Approved	06/07/2024
B	Arkansas	Agent	Approved	06/03/2024
B	California	Agent	Approved	05/24/2024
B	Colorado	Agent	Approved	05/28/2024



Qualifications

Regulator	Registration	Status	Date
B Connecticut	Agent	Approved	05/24/2024
B Delaware	Agent	Approved	06/03/2024
B District of Columbia	Agent	Approved	05/29/2024
B Florida	Agent	Approved	05/28/2024
B Georgia	Agent	Approved	05/28/2024
B Hawaii	Agent	Approved	05/28/2024
B Idaho	Agent	Approved	05/24/2024
B Illinois	Agent	Approved	06/21/2024
B Indiana	Agent	Approved	05/27/2024
B Iowa	Agent	Approved	05/24/2024
B Kansas	Agent	Approved	05/24/2024
B Kentucky	Agent	Approved	05/29/2024
B Louisiana	Agent	Approved	05/30/2024
B Maine	Agent	Approved	05/24/2024
B Maryland	Agent	Approved	06/04/2024
B Massachusetts	Agent	Approved	05/28/2024
B Michigan	Agent	Approved	05/28/2024
B Minnesota	Agent	Approved	05/24/2024
B Mississippi	Agent	Approved	05/24/2024



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	05/24/2024
B Montana	Agent	Approved	05/28/2024
B Nebraska	Agent	Approved	05/24/2024
B Nevada	Agent	Approved	05/24/2024
B New Hampshire	Agent	Approved	05/29/2024
B New Jersey	Agent	Approved	05/24/2024
B New Mexico	Agent	Approved	05/24/2024
B New York	Agent	Approved	05/24/2024
B North Carolina	Agent	Approved	05/28/2024
B North Dakota	Agent	Approved	05/29/2024
B Ohio	Agent	Approved	05/25/2024
B Oklahoma	Agent	Approved	05/28/2024
B Oregon	Agent	Approved	05/28/2024
B Pennsylvania	Agent	Approved	05/28/2024
B Puerto Rico	Agent	Approved	06/11/2024
B Rhode Island	Agent	Approved	05/28/2024
B South Carolina	Agent	Approved	05/24/2024
B South Dakota	Agent	Approved	05/24/2024



Qualifications

Regulator	Registration	Status	Date
IA Tennessee	Investment Adviser Representative	Approved	05/23/2024
B Tennessee	Agent	Approved	05/24/2024
B Texas	Agent	Approved	05/24/2024
IA Texas	Investment Adviser Representative	Restricted Approval	05/24/2024
B Utah	Agent	Approved	05/28/2024
B Vermont	Agent	Approved	05/24/2024
B Virgin Islands	Agent	Approved	05/24/2024
B Virginia	Agent	Approved	05/28/2024
B Washington	Agent	Approved	05/29/2024
B West Virginia	Agent	Approved	05/30/2024
B Wisconsin	Agent	Approved	05/28/2024
B Wyoming	Agent	Approved	06/05/2024

Branch Office Locations

LPL FINANCIAL LLC
McMinnville, TN

LPL FINANCIAL LLC
MCMINNVILLE, TN



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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	01/02/2023
General Securities Sales Supervisor - General Module Examination (S10)	Series 10	01/02/2023
Municipal Securities Principal Examination (S53)	Series 53	04/19/2018
General Securities Principal Examination (S24)	Series 24	01/30/2015
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/10/1997

General Industry/Product Exams

Exam	Category	Date
Operations Professional Examination (S99TO)	Series 99TO	05/24/2024
Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
Securities Industry Essentials Examination (SIE)	SIE	09/04/2018
General Securities Representative Examination (S7)	Series 7	10/21/1993

State Securities Law Exams


Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	03/03/2017



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	11/22/1993

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	05/09/2022 - 12/10/2022	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	McMinnville, TN
B	05/06/2022 - 12/10/2022	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	LINCOLN, NE
IA	03/11/2019 - 02/08/2022	CONCORDE ASSET MANAGEMENT, LLC	CRD# 140367	LIVONIA, MI
B	03/11/2019 - 02/08/2022	CONCORDE INVESTMENT SERVICES, LLC	CRD# 151604	Livonia, MI
B	10/26/2016 - 09/04/2018	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	10/26/2016 - 09/04/2018	INVESTMENT CENTERS OF AMERICA, INC.	CRD# 16443	APPLETON, WI
B	10/26/2016 - 09/04/2018	SII INVESTMENTS, INC.	CRD# 2225	APPLETON, WI
B	10/05/2016 - 09/04/2018	NATIONAL PLANNING CORPORATION	CRD# 29604	DENVER, CO
IA	03/17/2017 - 06/25/2018	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	DENVER, CO
B	11/26/2014 - 05/20/2016	CURIAN CLEARING, LLC	CRD# 132938	DENVER, CO
B	03/12/2007 - 11/04/2014	COMPREHENSIVE ASSET MANAGEMENT AND SERVICING, INC.	CRD# 43814	TOTOWA, NJ
B	09/15/2005 - 02/27/2007	UNITED SECURITIES ALLIANCE, INC.	CRD# 36487	DENVER, CO
B	02/07/1994 - 06/06/2005	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, 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
05/2024 - Present	LPL Financial LLC	Registered Representative / Home	Y	Fort Mill, SC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
		Office Employee		
04/2022 - 05/2024	New Dawn Investigations & Consulting, LLC	Sole Owner/Managing Member	N	McMinnville, TN, United States
04/2022 - 04/2024	Huckleberry Sweets, LLC	Managing Member	N	McMinnville, TN, United States
05/2022 - 11/2022	Ameritas Advisory Services, LLC	HOME OFFICE ASSOCIATE	Y	Lincoln, NE, United States
05/2022 - 11/2022	Ameritas Investment Company, LLC	HOME OFFICE ASSOCIATE	Y	Lincoln, NE, United States
03/2019 - 01/2022	Concorde Asset Management, LLC	Sales Supervision Manager	Y	Livonia, MI, United States
03/2019 - 01/2022	Concorde Investment Service, LLC	Sales Supervision Manager	Y	Livonia, MI, United States
09/2016 - 01/2019	National Planning Holdings	Senior Compliance Analyst	Y	Denver, CO, United States
05/2016 - 08/2016	Unemployed	Consultant	N	Denver, CO, 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. 10/23/2025- Flat Foot Vinyl- Outside/W-2 Employment- Not INV Related- At McMinnville, TN- Start date 10/23/2025- 10-15 Hours 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
Criminal	1
Financial	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source: Individual

Court Details: HUNINGTON COUNTY COURTHUNTINGTON COUNTY COURT, HUNTINGTON, IN, USA. I DO NOT KNOW THE DOCKET/CASE NUMBER, AS I SUBMITTED THIS ALL WHEN I BECAME LICENSED AND GOT RID OF ANY DOCUMENTS I HAD REGARDING THE ARREST.

Charge Date: 11/01/1989

Charge Details: I WAS CHARGED WITH 1 COUNT OF SHOPLIFTING, A CLASS D MISDEMEANOR, PLED GUILTY.

Felony? No

Current Status: Final

Status Date: 05/01/1990

Disposition Details: CLASS D MISDEMEANOR; SENTENCED TO 180 DAYS, ALL SUSPENDED BUT 8, SO I HAD TO SERVE 4.I WAS SENTENCED TO 180 DAYS, ALL SUSPENDED BUT 8, SO I HAD TO SERVE HALF LF THAT. THE ONLY FINE WAS I ALSO HAD TO GIVE UP THE CLOTHES I WORE TO COURT.

Broker Statement

DUE TO OTHER OCCURRENCES IN MY LIFE, I HAD DEVELOPED KLEPTOMANIA. I PLEAD GUILTY AS I SHOULD HAVE SOUGHT HELP PREVIOUSLY, BUT HAD ALREADY SCHEDULED THERAPY AT THE TIME OF THE ARREST. I COMPLETED MY THERAPY, AND HAVE NOT HAD ANY OTHER INCIDENTS SINCE.

MY SENTENCE PAID MY COURT COSTS AND FINISHED TREATMENT, ALL WITHOUT FURTHER INCIDENT.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/01/2017
Organization Investment-Related?
Type of Court: N/A
Name of Court: N/A
Location of Court: N/A
Docket/Case #: N/A
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 10/01/2019
If a compromise with creditor, provide:
Name of Creditor: First National Bank of Omaha
Original Amount Owed: \$2,318.93
Terms Reached with Creditor: I don't recall the original amount owed, FNBO discharged \$2318.93.

Disclosure 2 of 2

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/01/2017
Organization Investment-Related?
Type of Court: N/A
Name of Court: N/A
Location of Court: N/A
Docket/Case #: N/A
Action Pending? No
Disposition: Satisfied/Released
Disposition Date: 10/01/2019



**If a compromise with creditor,
provide:**

Name of Creditor: Discover Bank
Original Amount Owed: \$2,214.77
Terms Reached with Creditor: I don't recall the original amount owed, but Discover discharged \$2,214.77



End of Report

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