



IAPD Report

DONNA PANTON

CRD# 2459647

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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

DONNA PANTON (CRD# 2459647)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	05/15/2025
IA	LPL FINANCIAL LLC	CRD# 6413	05/15/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **8** 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	CUSO FINANCIAL SERVICES, L.P.	42132	Greenville, SC	03/07/2016 - 05/15/2025
IA	CUSO FINANCIAL SERVICES, L.P.	42132	Greenville, SC	03/07/2016 - 05/15/2025
IA	KEY INVESTMENT SERVICES LLC	136300	SHAKER HEIGHTS, OH	08/11/2011 - 01/11/2016

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	5
Judgment/Lien	1



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 **8** 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	05/15/2025
B	Arizona	Agent	Approved	06/12/2025
B	California	Agent	Approved	12/23/2025
B	Florida	Agent	Approved	05/16/2025
B	Georgia	Agent	Approved	05/15/2025
B	North Carolina	Agent	Approved	05/15/2025
IA	North Carolina	Investment Adviser Representative	Approved	05/15/2025
B	Ohio	Agent	Approved	05/15/2025
B	South Carolina	Agent	Approved	05/15/2025
IA	South Carolina	Investment Adviser Representative	Approved	03/25/2026
B	Texas	Agent	Approved	05/15/2025

Branch Office Locations

LPL FINANCIAL LLC
6 STATE PARK ROAD
GREENVILLE, SC 29609



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

Principal/Supervisory Exams

Exam	Category	Date
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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	05/18/1994

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	08/31/1994
IA Uniform Investment Adviser Law Examination (S65)	Series 65	08/24/1994



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	03/07/2016 - 05/15/2025	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	Greenville, SC
IA	03/07/2016 - 05/15/2025	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	Greenville, SC
IA	08/11/2011 - 01/11/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	SHAKER HEIGHTS, OH
B	08/09/2011 - 01/11/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	SHAKER HEIGHTS, OH
IA	09/26/2007 - 08/17/2011	AXA ADVISORS, LLC	CRD# 6627	CLEVELAND, OH
B	09/24/2007 - 08/17/2011	AXA ADVISORS, LLC	CRD# 6627	CLEVELAND, OH
IA	02/14/2005 - 09/27/2007	FIFTH THIRD SECURITIES, INC.	CRD# 628	CONCORD, OH
B	03/27/1999 - 09/27/2007	FIFTH THIRD SECURITIES, INC.	CRD# 628	CONCORD, OH
B	01/22/1996 - 03/27/1999	FIFTH THIRD SECURITIES, INC.	CRD# 3155	CINCINNATI, OH
B	07/19/1995 - 01/19/1996	FN INVESTMENT CENTER	CRD# 19631	SACRAMENTO, CA
B	05/31/1994 - 06/26/1995	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
05/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Greenville, SC, United States
01/2025 - Present	Truliant Federal Credit Union	Registered Representative	Y	Greenville, SC, United States
03/2016 - 05/2025	CUSO Financial Services, LP	Registered Representative	Y	San Diego, CA, 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. 05/15/2025- Investment products and services are offered through LPL Financial LLC using the DBA/trade name Truliant Financial Advisors- INV Related- At Reported Business Location(s)- Start date 04/28/2025- 160 Hours Per Month/ During Trading
2. 01/05/2026 - D.A. Sweeten Author - Author - Writer - Not Investment Related - Simpsonville, SC - Start Date 10/01/2025 - 60 hours per month/ 0 hours during trading



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	5
Judgment/Lien	1

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 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CUSO Financial Services, LP

Allegations: Client submitted a written complaint directly to issuing insurance carrier regarding a variable annuity purchased through a CFS representative in June of 2019. The written complaint was received by CFS on 9/27/2019. In the complaint, the client alleged that he did not authorize the entire purchase of a VA involving annuity switch-replacement transactions. Specifically, the client stated that he did not want to exchange two contracts with an aggregate value of approximately \$449,965 into a new VA and is therefore requesting to rescind two annuity exchanges and restore his previously held annuity contracts without penalty. CFS review confirmed that the client had completed and signed CFS and insurance carrier paperwork to authorize annuity exchanges and complete the subject purchase. At the time of this filing, CFS is currently reviewing available options for resolution with the applicable insurance carriers and has contacted the client to advise of CFS' review process and anticipated time frame.** Update: In accordance with client's wishes, VA transaction was cancelled with funds returned to original investments. CFS sent review summary and confirmation letter to the client on 3/9/2020 to close this issue.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Potential damages include surrender costs and any market losses incurred by client if firm cannot reverse annuity switch transactions. Firm has reasonably determined damages to be in excess of \$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: 09/27/2019

Complaint Pending? No

Status: Closed/No Action

Status Date: 03/09/2020

Settlement Amount:

Individual Contribution
Amount:

Disclosure 2 of 5

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: Key Investment Services, LLC

Allegations: Client alleges the recommendation to purchase \$60,000 shares of PGBAX in March of 2015 was unsuitable. Client also alleges that the money to fund the purchase came from an annuity, resulting in a taxable event.

Product Type: Mutual Fund

Alleged Damages: \$13,200.00

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: 07/11/2016

Complaint Pending? No

Status: Settled

Status Date: 01/11/2017

Settlement Amount: \$2,256.00

Individual Contribution
Amount: \$0.00

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: KEY INVESTMENT SERVICES

Allegations: CLIENT ALLEGES THE RECOMMENDATIONS TO PURCHASE \$60,000



SHARES OF PGBAX IN MARCH OF 2015 WAS UNSUITABLE. CLIENT ALSO ALLEGES THAT THE MONEY TO FUND THE PURCHASE CAME FROM AN ANNUITY, RESULTING IN A TAXABLE EVENT.

Product Type: Mutual Fund
Alleged Damages: \$13,200.00
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: 07/11/2016
Complaint Pending? No
Status: Settled
Status Date: 01/11/2017
Settlement Amount: \$2,256.00
**Individual Contribution
Amount:** \$0.00

Broker Statement REPRESENTATIVE HAS DENIED THE ALLEGATION AS TO SUCH TAX CONSEQUENCES DERIVING FROM A FIXED ANNUITY. THIS COULD BE A TAX FILING ERROR ON THE CLIENT'S PART. THIS CASE WAS PART OF AN ESTATE PLANNING STRATEGY. REPRESENTATIVE STANDS BY THE SUITABILITY OF THE RECOMMENDATION, WHICH WAS CONSISTENT WITH THE CLIENTS' STATED OBJECTIVES AND PROVIDES THE INCOME YIELD BASED ON DISCUSSION WITH CLIENT AT TIME OF TRANSACTION.

Disclosure 3 of 5

Reporting Source: Firm
**Employing firm when
activities occurred which led
to the complaint:** FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER ALLEGES REPRESENTATIVE DID NOT PROPERLY DISCLOSE FEES DURING SOLICITATION OF VARIABLE ANNUITY IN AUGUST & SEPTEMBER OF 2005

Product Type: Annuity(ies) - Variable
Alleged Damages: \$54,021.38

Customer Complaint Information

Date Complaint Received: 04/21/2009
Complaint Pending? No
Status: Denied
Status Date: 05/11/2009
Settlement Amount:
**Individual Contribution
Amount:**



Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER ALLEGES REPRESENTATIVE DID NOT PROPERLY DISCLOSE FEES DURING SOLICITATION OF VARIABLE ANNUITY IN AUGUST & SEPTEMBER OF 2005

Product Type: Annuity-Variable

Alleged Damages: \$54,021.38

Alleged Damages Amount Explanation (if amount not exact): THE MATTER WAS REPORTED BY THE AGENT'S FORMER FIRM. DAMAGES AMOUNT WAS TAKEN FROM THE FORMER FIRM'S DRP.

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: 04/21/2009

Complaint Pending? No

Status: Denied

Status Date: 05/11/2009

Settlement Amount:

Individual Contribution Amount:

Disclosure 4 of 5

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: FAILURE TO DISCLOSE TAX CONSEQUENCES FOR WITHDRAWING FUNDS FROM QUALIFIED ACCOUNT IN JUNE 2001.

Product Type: No Product

Alleged Damages: \$70,355.02

Civil Litigation Information

Type of Court: State Court

Name of Court: COURT OF COMMON PLEAS

Location of Court: CUYAHOGA COUNTY, OHIO

Docket/Case #: CV 08661098

Date Notice/Process Served: 06/03/2008



Litigation Pending? No
Disposition: Settled
Disposition Date: 03/16/2009
Monetary Compensation Amount: \$50,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.
Allegations: FAILURE TO DISCLOSE TAX CONSEQUENCES FOR WITHDRAWING FUNDS FROM QUALIFIED ACCOUNT IN JUNE 2001.
Product Type: No Product
Alleged Damages: \$70,355.02

Civil Litigation Information

Type of Court: State Court
Name of Court: COURT OF COMMON PLEAS
Location of Court: CUYAHOGA COUNTY, OHIO
Docket/Case #: CV 08661098
Date Notice/Process Served: 06/03/2008
Litigation Pending? No
Disposition: Settled
Disposition Date: 03/16/2009
Monetary Compensation Amount: \$50,000.00
Individual Contribution Amount: \$0.00

Disclosure 5 of 5

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.
Allegations: CUSTOMER ALLEGES REGISTERED REPRESENTATIVE RECOMMENDED UNSUITABLE INVESTMENT
Product Type: Annuity(ies) - Variable
Alleged Damages: \$12,201.63

Customer Complaint Information

Date Complaint Received: 11/01/2006
Complaint Pending? No



Status: Settled

Status Date: 11/19/2008

Settlement Amount: \$3,497.19

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIFTH THIRD SECURITIES, INC.

Allegations: CUSTOMER ALLEGED REGISTERED REPRESENTATIVE DONNA PANTON RECOMMENDED AN UNSUITABLE INVESTMENT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$12,201.63

Customer Complaint Information

Date Complaint Received: 11/01/2006

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:



Judgment/Lien

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

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	Bankers Healthcare Group Llc
Judgment/Lien Amount:	\$118,066.00
Judgment/Lien Type:	Civil
Date Filed with Court:	11/27/2023
Date Individual Learned:	12/01/2023
Type of Court:	State Court
Name of Court:	Onondaga Supreme Court - Syracuse
Location of Court:	Onondaga County NY
Docket/Case #:	76752023
Judgment/Lien Outstanding?	Yes

Broker Statement

This is in regards to my 12 year Trucking business failing as a result of Covid and not a personal financial failing. I am the sole owner of the company so the suit was brought against me as well. I am taking full responsibility and negotiating with this vendor for a fair result.



End of Report

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