



IAPD Report

MICHAEL STEPHEN MYERS

CRD# 2609878

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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

MICHAEL STEPHEN MYERS (CRD# 2609878)

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 **05/16/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/26/2023
IA	LPL FINANCIAL LLC	CRD# 6413	10/26/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **30** 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	SECURITIES AMERICA ADVISORS, INC.	110518	PORTLAND, OR	10/20/2017 - 10/26/2023
B	SECURITIES AMERICA, INC.	10205	PORTLAND, OR	10/20/2017 - 10/26/2023
B	SII INVESTMENTS, INC.	2225	PORTLAND, OR	04/28/2006 - 10/20/2017

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	3



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 **30** 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	10/26/2023
B FINRA	General Securities Representative	Approved	10/26/2023
B Alabama	Agent	Approved	11/06/2023
B Alaska	Agent	Approved	10/30/2023
B Arizona	Agent	Approved	10/26/2023
B Arkansas	Agent	Approved	10/26/2023
B California	Agent	Approved	10/26/2023
B Colorado	Agent	Approved	12/15/2023
B District of Columbia	Agent	Approved	12/19/2025
B Florida	Agent	Approved	10/27/2023
B Georgia	Agent	Approved	10/26/2023
B Idaho	Agent	Approved	10/26/2023
B Illinois	Agent	Approved	10/26/2023



Qualifications

	Regulator	Registration	Status	Date
B	Maryland	Agent	Approved	10/26/2023
B	Massachusetts	Agent	Approved	11/27/2023
B	Minnesota	Agent	Approved	08/12/2024
B	Missouri	Agent	Approved	04/29/2026
B	Montana	Agent	Approved	11/13/2023
B	Nevada	Agent	Approved	10/26/2023
B	New Mexico	Agent	Approved	10/26/2023
B	New York	Agent	Approved	10/26/2023
B	North Carolina	Agent	Approved	10/27/2023
B	Ohio	Agent	Approved	01/10/2024
B	Oregon	Agent	Approved	11/03/2023
IA	Oregon	Investment Adviser Representative	Approved	11/03/2023
B	Pennsylvania	Agent	Approved	05/18/2026
B	South Carolina	Agent	Approved	10/26/2023
B	Tennessee	Agent	Approved	10/26/2023
B	Texas	Agent	Approved	10/26/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	10/26/2023
B	Virginia	Agent	Approved	10/26/2023



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	11/06/2023
B West Virginia	Agent	Approved	12/20/2023
B Wisconsin	Agent	Approved	10/26/2023

Branch Office Locations

LPL FINANCIAL LLC
10220 SW GREENBURG RD STE 330
2 LINCOLN CENTER
PORTLAND, OR 97223




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
 General Securities Principal Examination (S24)	Series 24	08/05/2010

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	02/05/1996

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/14/1996

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	10/20/2017 - 10/26/2023	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	PORTLAND, OR
B	10/20/2017 - 10/26/2023	SECURITIES AMERICA, INC.	CRD# 10205	PORTLAND, OR
B	04/28/2006 - 10/20/2017	SII INVESTMENTS, INC.	CRD# 2225	PORTLAND, OR
IA	04/28/2006 - 10/20/2017	SII INVESTMENTS, INC.	CRD# 2225	PORTLAND, OR
B	01/02/2001 - 04/28/2006	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	PORTLAND, OR
IA	10/13/1999 - 04/28/2006	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	PORTLAND, OR
B	07/10/2000 - 12/31/2000	NFP SECURITIES, INC.	CRD# 42046	AUSTIN, TX
B	09/02/1998 - 07/10/2000	PRIVATE CONSULTING GROUP, INC.	CRD# 45053	PORTLAND, OR
B	11/24/1997 - 10/08/1998	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	11/07/1996 - 10/06/1997	PAINWEBBER INCORPORATED	CRD# 8174	WEEHAWKEN, NJ
B	02/06/1996 - 10/01/1996	HAMBRECHT & QUIST LLC	CRD# 940	SAN FRANCISCO, CA

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
10/2023 - Present	LPL Financial LLC	Registered Representative	Y	Portland, OR, United States
10/2017 - 10/2023	SECURITIES AMERICA ADVISORS	IAR	Y	PORTLAND, OR, United States
10/2017 - 10/2023	SECURITIES AMERICA, INC.	REGISTERED REP	Y	PORTLAND, OR, United States
04/2006 - 10/2023	EAGLE FINANCIAL CONSULTING	FINANCIAL ADVISOR	Y	ASTORIA, OR, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
04/2006 - 10/2017	SII INVESTMENTS, INC.	INVESTMENT REP	Y	ASTORIA, OR, 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- 09/2023 / Eagle Financial Consulting / DBA for LPL Business (entity for LPL business) / Investment Related / 160 hrs mnth / 8 hrs during trading / start date 8/3/2023
- 2- 09/2023 / Eagle Financial COUNSULTING / Non-Variable Insurance / Investment Related / 1 hrs mnth / start date 10/1/2006



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	SECURITIES AMERICA, INC.
Allegations:	Customer alleges financial professional's recommendation resulted in tax liability.
Product Type:	No Product
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	The Firm has made a determination that the alleged damages would 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:	04/13/2022
Complaint Pending?	No
Status:	Settled
Status Date:	08/09/2022
Settlement Amount:	\$15,000.00
Individual Contribution	\$15,000.00



Individual Contribution Amount: \$10,000.00

Disclosure 2 of 3

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIVATE CONSULTING GROUP

Allegations: REPRESENTATIVE NAMED IN A CLASS ACTION CONCERNING MISLEADING DOCUMENTS PREPARED BY INVESTMENT SPONSOR.

Product Type: Direct Investment-DPP & LP Interests

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): FIRM COULD NOT DETERMINE DAMAGES.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: US DISTRICT COURT FOR THE DISTRICT OF DELAWARE

Docket/Case #: 1:12-CV-00828 (GMS)

Filing date of arbitration/CFTC reparation or civil litigation: 06/27/2012

Customer Complaint Information

Date Complaint Received: 08/03/2012

Complaint Pending? No

Status: Evolved into Civil litigation (the individual is a named party)

Status Date: 09/25/2014

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court: State Court

Name of Court: CIRCUIT COURT OF THE STATE OF OREGON

Location of Court: OREGON

Docket/Case #: CV15080065

Date Notice/Process Served: 08/17/2015

Litigation Pending? No

Disposition: Settled

Disposition Date: 11/04/2015



Monetary Compensation Amount: \$3,600.00

Individual Contribution Amount: \$3,600.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: PRIVATE CONSULTING GROUP, INC.

Allegations: WITH RESPECT TO A TIC INVESTMENT, CLIENT ALLEGES RECOMMEDATION WAS NOT SUITABLE.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$389,057.00

Customer Complaint Information

Date Complaint Received: 02/04/2008

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/23/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA ARBITRATION # 08-00971

Date Notice/Process Served: 04/21/2008

Arbitration Pending? Yes

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: PRIVATE CONSULTING GROUP, INC.

Allegations: CLIENT ALLEGES MISREPRESENTATION OF RISK WHEN TENANTS IN COMMON INVESTMENT SUSPENDED INCOME PAYMENTS.

Product Type: Other

Other Product Type(s): TENANTS IN COMMON

Alleged Damages: \$786,445.00

Customer Complaint Information

Date Complaint Received: 02/06/2008

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 04/23/2008

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA ARBITRATION #08-00971

Date Notice/Process Served: 04/21/2008

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/11/2009

Monetary Compensation Amount: \$487,500.00

Individual Contribution Amount: \$0.00

Broker Statement CLIENT WAS FULLY AWARE OF THE RISKS, AND THE CASE WAS WITHOUT MERIT, BUT THE FIRM DECIDED TO SETTLE THE CASE TO REDUCE ANY FUTURE LITIGATION COSTS.



End of Report

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