



IAPD Report

Sharon Donna Azgour

CRD# 2703690

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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

Sharon Donna Azgour (CRD# 2703690)

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 **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	U.S. BANCORP ADVISORS, LLC	CRD# 14455	08/10/2009
B	U.S. BANCORP ADVISORS, LLC	CRD# 14455	08/19/2009

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	WAMU INVESTMENTS, INC.	599	LOS ANGELES, CA	02/23/2006 - 09/24/2008
B	WAMU INVESTMENTS, INC.	599	LOS ANGELES, CA	06/06/2002 - 09/24/2008
B	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	40178	FRANKLIN, TN	12/20/2000 - 02/01/2002

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
Regulatory Event	1
Customer Dispute	3
Judgment/Lien	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 **20** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **U.S. BANCORP ADVISORS, LLC**
Main Address: 60 LIVINGSTON AVE
EP-MN-N2WC
SAINT PAUL, MN 55107
Firm ID#: 14455

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	08/19/2009
B	Arizona	Agent	Approved	03/16/2016
IA	California	Investment Adviser Representative	Approved	08/10/2009
B	California	Agent	Approved	08/20/2009
B	Colorado	Agent	Approved	05/04/2016
B	Connecticut	Agent	Approved	02/02/2024
B	District of Columbia	Agent	Approved	10/12/2021
B	Florida	Agent	Approved	03/13/2020
B	Georgia	Agent	Approved	05/29/2026
B	Hawaii	Agent	Approved	06/04/2024
B	Kentucky	Agent	Approved	01/15/2021
B	Maryland	Agent	Approved	03/01/2024
B	Nevada	Agent	Approved	09/01/2011



Qualifications

Regulator	Registration	Status	Date
B New Hampshire	Agent	Approved	07/09/2019
B New Jersey	Agent	Approved	02/28/2024
B New York	Agent	Approved	10/19/2018
B North Carolina	Agent	Approved	05/26/2015
B North Dakota	Agent	Approved	10/16/2023
B Oregon	Agent	Approved	08/19/2009
B South Carolina	Agent	Approved	03/17/2016
B Texas	Agent	Approved	11/06/2015
IA Texas	Investment Adviser Representative	Restricted Approval	11/05/2015
B Virginia	Agent	Approved	02/18/2016

Branch Office Locations

U.S. BANCORP ADVISORS, LLC

1611 W Beverly Blvd
Montebello, CA 90640

U.S. BANCORP ADVISORS, LLC

3355 Glendale Blvd
Los Angeles, CA 90039

U.S. BANCORP ADVISORS, LLC

6301 N Figueroa St
Los Angeles, CA 90042



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, 3 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
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	05/21/1996
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B Municipal Securities Representative Examination (S52)	Series 52	02/16/1996
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	10/23/2015
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B Uniform Securities Agent State Law Examination (S63)	Series 63	02/28/1996
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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	02/23/2006 - 09/24/2008	WAMU INVESTMENTS, INC.	CRD# 599	LOS ANGELES, CA
B	06/06/2002 - 09/24/2008	WAMU INVESTMENTS, INC.	CRD# 599	LOS ANGELES, CA
B	12/20/2000 - 02/01/2002	JACKSON NATIONAL LIFE DISTRIBUTORS, INC.	CRD# 40178	FRANKLIN, TN
B	11/08/1999 - 03/19/2001	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
B	07/12/1999 - 11/03/1999	BANC OF AMERICA INVESTMENT SERVICES, INC.	CRD# 16361	BOSTON, MA
B	07/09/1997 - 07/12/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	02/20/1996 - 04/03/1997	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
08/2009 - Present	U.S. Bancorp Advisors, LLC	Wealth Management Advisor	Y	Montbello, CA, 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.

No information reported.



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	3
Judgment/Lien	3

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:	Individual
Regulatory Action Initiated By:	CA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Monetary Penalty other than Fines Revocation
Date Initiated:	11/12/2013
Docket/Case Number:	8455-AP (AR)
Employing firm when activity occurred which led to the regulatory action:	UNIONBANC INVESTMENT SERVICES
Product Type:	No Product
Allegations:	FAILED TO REPORT MISDEMEANOR DUI AND DRIVING UNDER SUSPENDED LICENSE.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	11/21/2013



Sanctions Ordered: Revocation
Other: INSURANCE LICENSE RESTRICTED

Monetary Sanction 1 of 1

Monetary Related Sanction: Monetary Penalty other than Fines

Total Amount: \$504.00

Portion Levied against individual: \$504.00

Payment Plan: NONE

Is Payment Plan Current: Yes

Date Paid by individual: 11/29/2013

Was any portion of penalty waived? No

Amount Waived:



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: Firm

Employing firm when activities occurred which led to the complaint: WAMU INVESTMENTS, INC.

Allegations: CLIENT ALLEGES REGISTERED REPRESENTATIVE RENEWED THE CLIENT'S ANNUITY POLICY ON AUGUST, 2008 WITHOUT THE CLIENT'S CONSENT.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 11/25/2008

Complaint Pending? No

Status: Settled

Status Date: 03/02/2009

Settlement Amount: \$2,727.72

Individual Contribution Amount: \$0.00

Firm Statement THE FIRM HAS MADE A GOOD FAITH DETERMINATION THAT THE DAMAGES FROM THE ALLEGED CONDUCT ARE OVER \$5,000.00.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: WAMU INVESTMENTS, INC.

Allegations: RENEWED CLIENT'S ANNUITY POLICY ON AUGUST, 2008 WITHOUT CLIENT'S CONSENT.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

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: 11/25/2008

Complaint Pending? No



Status: Settled
Status Date: 03/02/2009
Settlement Amount: \$2,727.72
Individual Contribution Amount: \$0.00

Disclosure 2 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WAMU INVESTMENTS, INC.

Allegations: CLIENT'S ATTORNEY ALLEGES THE INVESTMENT WAS MISREPRESENTED AT THE TIME OF SALE IN JULY 2007 AND THAT PRODUCT IS UNSUITABLE.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$41,591.00

Customer Complaint Information

Date Complaint Received: 03/10/2008

Complaint Pending? No

Status: Denied

Status Date: 03/27/2008

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: WM FINANCIAL SERVICES, INC.

Allegations: CLIENT ALLEGES THAT REGISTERED REPRESENTATIVE'S RECOMMENDATION TO PARTIALLY LIQUIDATE VARIABLE ANNUITY TO INVEST IN A FIX ANNUITY ON 10/31/2006 CAUSED HER TAX LIABILITIES IN EXCESS OF \$10,000.00+.

Product Type: Annuity(ies) - Variable

Alleged Damages: \$10,000.00

Customer Complaint Information

Date Complaint Received: 05/09/2007

Complaint Pending? No

Status: Denied

Status Date: 07/02/2007

Settlement Amount:



**Individual Contribution
Amount:**

Broker Statement

COMPLAINT DENIED AS NON-MERITORIOUS.



Judgment/Lien

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

Disclosure 1 of 3

Reporting Source: Individual
Judgment/Lien Holder: Los Angeles County Tax Collector
Judgment/Lien Amount: \$3,165.68
Judgment/Lien Type: Tax
Date Filed with Court: 03/06/2024
Date Individual Learned: 06/01/2024
Type of Court: Los Angeles County
Name of Court: Los Angeles County
Location of Court: 225 North Hill Street, Rm 122 Los Angeles, CA 90012
Docket/Case #: 20240145862
Judgment/Lien Outstanding? Yes

Broker Statement

This tax lien was created via an Unsecured Supplemental property tax bill on a property which I was the Successor Trustee. My father was the first trustee of the Irrevocable Trust starting in 2004. After the property was sold in 2022, I was informed he did not file the proper recording with the county in 2004 which generated 4 years of supp bills (2019-2023), I paid those in good faith immediately. A year later, 3 more year-bills (2016-2019) were created. As successor trustee I am not liable for financial errors made by a past trustee and am currently fighting these liens.

Disclosure 2 of 3

Reporting Source: Individual
Judgment/Lien Holder: Los Angeles County Tax Collector
Judgment/Lien Amount: \$3,098.65
Judgment/Lien Type: Tax
Date Filed with Court: 03/06/2024
Date Individual Learned: 06/01/2024
Type of Court: Los Angeles County
Name of Court: Los Angeles County
Location of Court: 225 North Hill Street, Rm 122 Los Angeles, CA 90012
Docket/Case #: 20240145857
Judgment/Lien Outstanding? Yes

Broker Statement

This tax lien was created via an Unsecured Supplemental property tax bill on a property which I was the Successor Trustee. My father was the first trustee of the Irrevocable Trust starting in 2004. After the property was sold in 2022, I was informed he did not file the proper recording with the county in 2004 which generated 4 years of supp bills (2019-2023), I paid those in good faith immediately. A year later, 3 more year-bills (2016-2019) were created. As successor trustee I am not liable for financial errors



made by a past trustee and am currently fighting these liens.

Disclosure 3 of 3

Reporting Source: Individual
Judgment/Lien Holder: Los Angeles County Tax Collector
Judgment/Lien Amount: \$3,037.70
Judgment/Lien Type: Tax
Date Filed with Court: 03/06/2024
Date Individual Learned: 06/01/2024
Type of Court: Los Angeles County
Name of Court: Los Angeles County
Location of Court: 225 North Hill Street, Rm 122 Los Angeles, CA 90012
Docket/Case #: 20240145852
Judgment/Lien Outstanding? Yes

Broker Statement

This tax lien was created via an Unsecured Supplemental property tax bill on a property which I was the Successor Trustee. My father was the first trustee of the Irrevocable Trust starting in 2004. After the property was sold in 2022, I was informed he did not file the proper recording with the county in 2004 which generated 4 years of supp bills (2019-2023), I paid those in good faith immediately. A year later, 3 more year-bills (2016-2019) were created. As successor trustee I am not liable for financial errors made by a past trustee and am currently fighting these liens.



End of Report

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