IAPD Report

Shannon Teresa Loughery

CRD# 2731436

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

Shannon Teresa Loughery (CRD# 2731436)

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 **06/11/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PEAK BROKERAGE SERVICES, LLC	CRD# 157045	01/13/2021
IA	BLACKRIDGE ASSET MANAGEMENT, LLC	CRD# 277085	06/10/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	SCS SYSTEMS, INC.	111839	NORTH BEND, WA	09/19/1997 - 07/27/2021
B	FSIC	37813	NORTH BEND, WA	05/15/2002 - 10/08/2020
B	METROPOLITAN INVESTMENT SECURITIES, INC.	14146	SPOKANE, WA	06/15/2000 - 05/15/2002

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
Judgment/Lien	9

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 **7** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **BLACKRIDGE ASSET MANAGEMENT, LLC**

Main Address: 1070 E. INDIANTOWN ROAD
SUITE 208-210
JUPITER, FL 33477

Firm ID#: 277085

	Regulator	Registration	Status	Date
IA	Washington	Investment Adviser Representative	Approved	06/10/2021

Branch Office Locations

BLACKRIDGE ASSET MANAGEMENT, LLC
North Bend, WA

Employment 2 of 2

Firm Name: **PEAK BROKERAGE SERVICES, LLC**

Main Address: 1070 EAST INDIANTOWN ROAD
SUITE 208 - 210
JUPITER, FL 33477-9999

Firm ID#: 157045

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	01/13/2021
B	FINRA	General Securities Representative	Approved	01/13/2021
B	FINRA	Invest. Co and Variable Contracts	Approved	01/13/2021
B	Arizona	Agent	Approved	02/22/2021
B	California	Agent	Approved	01/14/2021
B	Idaho	Agent	Approved	02/10/2021

Qualifications

	Regulator	Registration	Status	Date
B	Montana	Agent	Approved	03/12/2021
B	Nevada	Agent	Approved	02/11/2021
B	Ohio	Agent	Approved	01/13/2021
B	Washington	Agent	Approved	02/12/2021

Branch Office Locations

North Bend, WA

North Bend, WA

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
B	General Securities Principal Examination (S24)	Series 24	06/09/1998

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	07/01/1997
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/10/1996

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	09/08/1997
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/04/1996

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
IA	09/19/1997 - 07/27/2021	SCS SYSTEMS, INC.	CRD# 111839	NORTH BEND, WA
B	05/15/2002 - 10/08/2020	FSIC	CRD# 37813	NORTH BEND, WA
B	06/15/2000 - 05/15/2002	METROPOLITAN INVESTMENT SECURITIES, INC.	CRD# 14146	SPOKANE, WA
B	05/21/1997 - 07/19/2000	PACIFIC HARBOR SECURITIES, INC.	CRD# 8755	HIGHLAND, UT
B	05/13/1996 - 12/06/1996	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
06/2021 - Present	BLACKRIDGE ASSET MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	JUPITER, FL, United States
01/2021 - Present	PEAK BROKERAGE SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	JUPITER, FL, United States
04/1997 - Present	SCS SYSTEMS	INVESTMENT ADVISER REPRESENTATIVE	Y	EASTSOUND, WA, United States
05/2002 - 09/2020	FSIC	INDEPENDENT AGENT	Y	EDMONDS, WA, 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) Business Entity: Blackridge Asset Management; Business Activity: Investment Advisory; Address: Northbend, WA; Duties of Position: Investing; Title: Investment Advisor; Start Date: 1998; Approx. # of hours per month spent on activity: 16; Approx. # of hours spent during trading hours: 4

2) Business Entity: Shannon Loughery; Business Activity: FIA, LTC, Life; Address: Northbend, WA; Duties of Position: Sell Insurance; Title: Agent; Start Date: 1995; Approx. # of hours per month on activity: 12; Approx. # of hours spent during trading hours: 3

Registration & Employment History

OTHER BUSINESS ACTIVITIES

3) DBA - Shannon Asset Management - Financial Planning, investing

4) Business Entity: Pampered Chef; Business Entity: Pampered Chef; Address: North Bend, WA; Duties of Position: Host online party; Title: Host/rep; Start Date: 2/14; Approx. # of hours per month spent on activity: less than 1; Approx. # of hours spent during trading hours: 0

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
Judgment/Lien	9

Judgment/Lien

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

Disclosure 1 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Washington
Judgment/Lien Amount:	$101,533.00
Judgment/Lien Type:	Tax
Date Filed with Court:	03/20/2026
Date Individual Learned:	04/27/2026
Type of Court:	State Court
Name of Court:	King County
Location of Court:	King County
Docket/Case #:	118684
Judgment/Lien Outstanding?	Yes

Disclosure 2 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Washington Department of Revenue
Judgment/Lien Amount:	$824.78
Judgment/Lien Type:	Tax
Date Filed with Court:	05/05/2023
Date Individual Learned:	01/12/2024
Type of Court:	State Court
Name of Court:	Washington State Department of Revenue
Location of Court:	King County, State of Washington

Docket/Case #:	23-2-08245-1SEA
Judgment/Lien Outstanding?	Yes

Disclosure 3 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Washington Department of Revenue
Judgment/Lien Amount:	$5,962.88
Judgment/Lien Type:	Tax
Date Filed with Court:	09/30/2022
Date Individual Learned:	01/05/2023
Type of Court:	State Court
Name of Court:	Department of Revenue
Location of Court:	State of Washington
Docket/Case #:	23554
Judgment/Lien Outstanding?	Yes

Disclosure 4 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Washington Department of Revenue
Judgment/Lien Amount:	$3,235.22
Judgment/Lien Type:	Tax
Date Filed with Court:	01/31/2023
Date Individual Learned:	04/19/2023
Type of Court:	State Court
Name of Court:	Department of Revenue
Location of Court:	State of Washington
Docket/Case #:	33935
Judgment/Lien Outstanding?	Yes

Disclosure 5 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	State of Washington Department of Revenue
Judgment/Lien Amount:	$5,874.17
Judgment/Lien Type:	Tax
Date Filed with Court:	01/20/2023
Date Individual Learned:	03/03/2023
Type of Court:	State Court

Name of Court:	Washington State Department of Revenue
Location of Court:	King County, State of Washington
Docket/Case #:	23-2-01251-8SEA
Judgment/Lien Outstanding?	Yes

Disclosure 6 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$29,652.71
Judgment/Lien Type:	Tax
Date Filed with Court:	08/16/2016
Date Individual Learned:	08/16/2016
Type of Court:	State Court
Name of Court:	King County
Location of Court:	King County, Washington
Docket/Case #:	224141016
Judgment/Lien Outstanding?	Yes

Disclosure 7 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$15,736.91
Judgment/Lien Type:	Tax
Date Filed with Court:	07/21/2015
Date Individual Learned:	07/21/2015
Type of Court:	State Court
Name of Court:	King County
Location of Court:	King County, Washington
Docket/Case #:	166191315
Judgment/Lien Outstanding?	Yes

Disclosure 8 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$24,886.84
Judgment/Lien Type:	Tax
Date Filed with Court:	08/01/2019
Date Individual Learned:	09/06/2019

Type of Court:	State Court
Name of Court:	King County Auditor
Location of Court:	Seattle, King, Washington
Docket/Case #:	20190814000553
Judgment/Lien Outstanding?	Yes
Broker Statement	This is a continuation of Occurrence #1733832 of an amount of $77,647.94. Ms. Loughery hired an attorney to contend with the IRS that the original amount could be written off in a lump sum rather than as $3000 per year. The IRS agreed. Now she is on a payment plan with the IRS for the remainder of the amounts.

Disclosure 9 of 9

Reporting Source:	Individual
Judgment/Lien Holder:	IRS
Judgment/Lien Amount:	$77,647.94
Judgment/Lien Type:	Tax
Date Filed with Court:	09/12/2013
Date Individual Learned:	09/20/2013
Type of Court:	Federal Court
Name of Court:	FEDERAL
Location of Court:	KING COUNTY SEATTLE, WA
Docket/Case #:	960851713
Judgment/Lien Outstanding?	Yes
Broker Statement	WE GAVE A FAMILY MEMBER $60,000 USING AN ATTORNEY WITH A LEGAL LOAN. THAT WAS NOT REPAID. WE THOUGHT WE COULD WRITE IT OFF AS BAD DEBT-WHICH YOU CAN. HOWEVER, WE FOUND OUT AFTER THE FACT, YOU CAN WRITE OFF $3000 PER YEAR. INCLUDING INTEREST, WE HAD PLANNED ON WRITING OFF ABOUT $72,000, AND DID NOT PAY TAX ON THAT AMOUNT OF INCOME THAT YEAR. PAT WAS OUT OF WORK FOR A YEAR, AND THIS SNOWBALLED. ON PAYMENT PLAN WITH IRS NOW.

End of Report

This page is intentionally left blank.