



## IAPD Report

# SEAN PAUL WAGGONER

CRD# 2748574

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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

### SEAN PAUL WAGGONER (CRD# 2748574)

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 **05/19/2025**.

### CURRENT EMPLOYERS

Firm	CRD#	Registered Since
<b>IA</b> ALLIANT RETIREMENT CONSULTING	CRD# 167970	07/11/2013

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **6** 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>B</b> CETERA ADVISOR NETWORKS LLC	13572	HOUSTON, TX	06/08/2017 - 05/12/2025
<b>B</b> LPL FINANCIAL LLC	6413	HOUSTON, TX	12/16/2009 - 06/30/2017
<b>IA</b> LPL FINANCIAL LLC	6413	HOUSTON, TX	12/16/2009 - 10/06/2015

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	3
Customer Dispute	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 **6** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ALLIANT RETIREMENT CONSULTING**  
Main Address: 1125 SANCTUARY PARKWAY  
SUITE 300  
ALPHARETTA, GA 30009  
Firm ID#: 167970

	Regulator	Registration	Status	Date
	Arizona	Investment Adviser Representative	Approved	04/24/2017
	California	Investment Adviser Representative	Approved	12/17/2015
	Colorado	Investment Adviser Representative	Approved	12/18/2015
	Louisiana	Investment Adviser Representative	Approved	12/17/2015
	Minnesota	Investment Adviser Representative	Approved	04/27/2017
	Texas	Investment Adviser Representative	Approved	07/11/2013

### Branch Office Locations

**ALLIANT RETIREMENT CONSULTING**  
1125 SANCTUARY PARKWAY  
SUITE 300  
ALPHARETTA, GA 30009



## 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
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/22/1996

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	01/04/2008
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/24/1997

### 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
B	06/08/2017 - 05/12/2025	CETERA ADVISOR NETWORKS LLC	CRD# 13572	HOUSTON, TX
B	12/16/2009 - 06/30/2017	LPL FINANCIAL LLC	CRD# 6413	HOUSTON, TX
IA	12/16/2009 - 10/06/2015	LPL FINANCIAL LLC	CRD# 6413	HOUSTON, TX
IA	06/04/2010 - 07/10/2013	JAMES E.BASHAW & CO.	CRD# 129320	HOUSTON, TX
IA	01/18/2008 - 12/17/2009	NFP SECURITIES, INC.	CRD# 42046	HOUSTON, TX
B	02/12/2002 - 12/17/2009	NFP SECURITIES, INC.	CRD# 42046	HOUSTON, TX
B	01/03/1997 - 11/28/2001	ONE ORCHARD EQUITIES, INC.	CRD# 42124	GREENWOOD VILLAGE
B	05/23/1996 - 01/03/1997	THE GREAT-WEST LIFE ASSURANCE COMPANY	CRD# 5927	ENGLEWOOD, CO

#### 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
12/2020 - Present	WAGNEW, LLC	OWNER	N	HOUSTON, TX, United States
06/2017 - Present	CETERA ADVISORS NETWORKS, LLC	Registered Rep	Y	El Segundo, CA, United States
01/2008 - Present	CITATION REAL ESTATE HOLDINGS, LLC	OWNER	N	HOUSTON, TX, United States
02/2002 - Present	ALLIANT RETIREMENT CONSULTING	SENIOR VICE PRESIDENT / Investment Adviser Representative	Y	HOUSTON, TX, United States
12/2009 - 06/2017	LPL FINANCIAL, LLC	FINANCIAL ADVISOR	Y	HOUSTON, TX, 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. ALLIANT RETIREMENT SERVICES, LLC DBA ALLIANT RETIREMENT CONSULTING**

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: SEC REGISTERED INVESTMENT ADVISORY FIRM THAT PROVIDES PORTFOLIO MANAGEMENT, FINANCIAL PLANNING, ESTATE PLANNING, AND ADDITIONAL ADVISORY SERVICES.

TITLE: INVESTMENT ADVISORY REPRESENTATIVE

START: 05/2017

APX # OF HRS/WK: 40

APX # OF HRS DUR TRD HRS: 32.5

DUTIES: INVESTMENT ADVISORY REPRESENTATIVE

**2. FIXED INSURANCE WITH VARIOUS COMPANIES**

INVESTMENT RELATED: YES

ADDRESS: SAME AS REGISTERED LOCATION

NATURE OF BUSINESS: FIXED INSURANCE

APX # OF HRS/WK: VARIES

APX # OF HRS DUR TRD HRS: VARIES

TITLE: INSURANCE AGENT

BRIEF DESCRIPTION OF DUTIES: SELLS INSURANCE: LIFE, HEALTH, DISABILITY, AND LONG-TERM CARE

**3. ALLIANT INSURANCE SERVICES, INC. DBA ALLIANT EMPLOYEE BENEFITS ;**

INVESTMENT RELATED: YES ;

ADDRESS: SAME AS REGISTERED LOCATION ;

NATURE OF BUSINESS: INSURANCE ;

START: 11/2001 ;

TITLE: SENIOR VICE PRESIDENT, <1% OWNER

APX # OF HRS/WK: 35 ;

APX # OF HRS DUR TRD HRS: 32.5 ;

DUTIES: SELLS INSURANCE: WHOLE LIFE, UNIVERSAL LIFE, VARIABLE LIFE, LONG-TERM CARE, DISABILITY AND HEALTH ;

**4. 3GWLC LLC ; INVESTMENT RELATED: NO ; ADDRESS: KCXO AIRPORT, 10260 CARL PICKERING MEMORIAL, CONROE**

TX 77303 NATURE OF BUSINESS: AIRPLANE OWNERSHIP GROUP ; START: 2/2021 ; TITLE: CO-OWNER / MEMBER; APX

APX # OF HRS/WK: VARIES ; APX # OF HRS DUR TRD HRS: VARIES; DUTIES: AIRCRAFT TO PROVIDE

TRANSPORTATION, LEASE OR CHARTER OF PLANE FOR COMPENSATION;

**5. WAGNEW, LLC INVESTMENT RELATED: NO, ADDRESS: 3355 W ALABAMA ST #44, HOUSTON, TX, 77090 NATURE OF**

BUSINESS: ASSET PROTECTION START: 2/2021, TITLE: OWNER, LESS THAN ONE HOUR WEEK, NOT DURING TRADING HOURS, DUTIES: ASSET PROTECTION FOR PLANE, LEASE OR CHARTER OF PLANE FOR COMPENSATION;

**6. WAGNEW 1917 VALENTINO COVE, LLC;**

INVESTMENT RELATED: NO;

ADDRESS: 3355 W. ALABAMA, SUITE 444, HOUSTON, TX 77098;

NATURE OF BUSINESS: BOARD;

START: 8/2024;

TITLE: VICE PRESIDENT/SECRETARY;

APX # OF HRS/WK: LESS THAN 1;

APX # OF HRS DUR TRD HRS: 0;

DUTIES: ASSIST WITH THE MANAGEMENT OF THE PROPERTY OWNED BY THE LLC;



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

7. CHAPELWOOD UNITED METHODIST CHURCH;  
INVESTMENT RELATED: NO;  
ADDRESS: 11140 GREENBAY ST HOUSTON, TX 77024;  
NATURE OF BUSINESS: NON PROFIT;  
START DATE: 03/2025;  
POSITION/TITLE/RELATIONSHIP: STAFF PARISH RELATION COMMITTEE;  
APX NUMBER OF HOURS PER WEEK: 1;  
APX NUMBER OF HOURS DURING TRADING HOURS: 0;  
BRIEF DESCRIPTION OF DUTIES: ADVISORY ROLE WITH SENIOR PASTOR TO PROVIDE ADVICE ON HR RELATED MATTERS;

8. NEXUS ENERGY 10, LLC  
INVESTMENT RELATED: NO;  
ADDRESS: 109 East 17th Street Suite 520, Cheyenne, WY 82001  
NATURE OF BUSINESS: Member  
START: 5/2025;  
TITLE: MEMBER  
APX # OF HRS/WK: LESS THAN 1;  
APX # OF HRS DUR TRD HRS: 0;  
DUTIES: VOTING MEMBER. (MEMBERS DO NOT HAVE ANY INDIVIDUAL DUTIES)



## 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	3
Customer Dispute	1

### 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 3

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	INSURANCE COMMISSIONER OF THE STATE OF CALIFORNIA
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	08/14/2020
<b>Docket/Case Number:</b>	OBS 3979-A
<b>Employing firm when activity occurred which led to the regulatory action:</b>	CETERA ADVISOR NETWORKS, LLC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	RESPONDENT DID NOT REPORT AN ADMINISTRATIVE ACTION TAKEN BY FINRA TO THE CALIFORNIA INSURANCE COMMISSIONER
<b>Current Status:</b>	Final
<b>Resolution:</b>	Order
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/14/2020
<b>Sanctions Ordered:</b>	Suspension



**Sanction 1 of 1**

**Sanction Type:** Suspension  
**Capacities Affected:** CALIFORNIA INSURANCE LICENSING  
**Duration:** 14 DAYS  
**Start Date:** 11/01/2020  
**End Date:** 11/14/2020

**Disclosure 2 of 3**

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** DELAWARE INSURANCE DEPARTMENT  
**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
**Date Initiated:** 04/08/2020  
**Docket/Case Number:** 4287  
**Employing firm when activity occurred which led to the regulatory action:** CETERA ADVISOR NETWORKS LLC  
**Product Type:** No Product  
**Allegations:** RESPONDENT DID NOT REPORT AN ADMINISTRATIVE ACTION TAKEN BY FINRA TO THE DELAWARE INSURANCE COMMISSIONER  
**Current Status:** Final  
**Resolution:** Stipulation and Consent  
**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes  
**Resolution Date:** 05/11/2020  
**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)  
**Total Amount:** \$500.00  
**Portion Levied against individual:** \$500.00  
**Payment Plan:**  
**Is Payment Plan Current:**  
**Date Paid by individual:**  
**Was any portion of penalty waived?** No



**Amount Waived:**

**Disclosure 3 of 3**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 01/21/2020

**Docket/Case Number:** 2017054826001

**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC

**Product Type:** Other: Unspecified Securities

**Allegations:** Without admitting or denying the findings, Waggoner consented to the sanctions and to the entry of findings that he participated in private securities transactions without providing prior written notice to his member firm. The findings stated that the purchases, which Waggoner made on his own behalf, were outside the scope of his employment with his firm. The findings also stated that Waggoner failed to provide prior written notice to his firm about personal brokerage accounts. When Waggoner became associated with his firm he disclosed that he had brokerage accounts held at another firm. His broker for the accounts moved to a different firm and Waggoner opened brokerage accounts at that firm. Waggoner signed and submitted annual compliance questionnaires to his firm in which he inaccurately represented that he did not have any undisclosed outside securities accounts.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 01/21/2020

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension  
Undertaking  
Other: Within 90 days, Waggoner will undertake to attend and satisfactorily complete 20 hours of continuing education concerning registered representatives' regulatory responsibilities by a provider not unacceptable to FINRA.

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?** No



**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**

**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	All Capacities
<b>Duration:</b>	two months
<b>Start Date:</b>	02/18/2020



**End Date:** 04/17/2020

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 03/10/2020

**Was any portion of penalty waived?** No

**Amount Waived:**

.....

**Reporting Source:** Individual

**Regulatory Action Initiated By:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 01/21/2020

**Docket/Case Number:** 2017054826001

**Employing firm when activity occurred which led to the regulatory action:** LPL Financial LLC

**Product Type:** Other: Unspecified Securities

**Allegations:** Without admitting or denying the findings, Waggoner consented to the sanctions and to the entry of findings that he participated in private securities transactions without providing prior written notice to his member firm. The findings stated that the purchases, which Waggoner made on his own behalf, were outside the scope of his employment with his firm. The findings also stated that Waggoner failed to provide prior written notice to his firm about personal brokerage accounts. When Waggoner became associated with his firm he disclosed that he had brokerage accounts held at another firm. His broker for the accounts moved to a different firm and Waggoner opened brokerage accounts at that firm. Waggoner signed and submitted annual compliance questionnaires to his firm in which he inaccurately represented that he did not have any undisclosed outside securities accounts.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**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:** 01/21/2020



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension  
Undertaking  
Other: Within 90 days, Waggoner will undertake to attend and satisfactorily complete 20 hours of continuing education concerning registered representatives' regulatory responsibilities by a provider not unacceptable to FINRA.

**Sanction 1 of 1**

**Sanction Type:** Suspension

**Capacities Affected:** All Capacities

**Duration:** two months

**Start Date:** 02/18/2020

**End Date:** 04/17/2020

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$10,000.00

**Portion Levied against individual:** \$10,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:**

**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 1

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** CETERA ADVISOR NETWORKS LLC and LPL Financial LLC

**Allegations:** Participants in a 401k Plan allege that between 2009 and 2022, representative recommended costly investments to the detriment of the 401k Plan. Participants also allege that representative was not registered in the proper state to provide investment advice to the 401k Plan.

**Product Type:** Annuity-Variable  
Mutual Fund

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** Cannot be determined but over \$5,000

**Is this an oral complaint?** No

**Is this a written complaint?** No

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

**Arbitration/Reparation forum or court name and location:** U.S. District Court for the Northern District of Georgia

**Docket/Case #:** 1:21-CV-5343

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/03/2022

### Customer Complaint Information

**Date Complaint Received:** 02/01/2022

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 04/02/2024

**Settlement Amount:** \$3,925,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:**

LPL FINANCIAL LLC THEN CETERA ADVISOR NETWORKS

**Allegations:**

PARTICIPANTS in a 401K Plan allege that between 2009 and 2022, representative recommended costly investments to the detriment of the 401K Plan. Participants also allege that representative was not registered in the proper state to provide investment advice to the 401K Plan.

**Product Type:**

Annuity-Variable  
Mutual Fund

**Alleged Damages:**

\$0.00

**Alleged Damages Amount Explanation (if amount not exact):**

Cannot be determined but over 5,000.00.

**Is this an oral complaint?**

No

**Is this a written complaint?**

No

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

Yes

**Arbitration/Reparation forum or court name and location:**

U.S. DISTRICT COURT FOR THE NORTHERN DISTRICT OF GEORGIA

**Docket/Case #:**

1:21-CV-5343

**Filing date of arbitration/CFTC reparation or civil litigation:**

01/03/2022

**Customer Complaint Information****Date Complaint Received:**

02/01/2022

**Complaint Pending?**

No

**Status:**

Settled

**Status Date:**

04/02/2024

**Settlement Amount:**

\$3,925,000.00

**Individual Contribution Amount:**

\$0.00

**Broker Statement**

Participants in the Rollins 401k plan filed a class action lawsuit against the plan, Rollins as the employer plan sponsor, and a number of institutional defendants involved in providing services to the 401k Plan, including Sean Waggoner's employer, Alliant Insurance Services, Inc.. Sean Waggoner was not a named party in the lawsuit and did not contribute to the settlement between the Plaintiffs and the various Defendants.



## End of Report

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