



IAPD Report

ERIC EUGENE LAWTON III

CRD# 2808214

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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

ERIC EUGENE LAWTON III (CRD# 2808214)

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 **07/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	06/01/2018
IA	LPL FINANCIAL LLC	CRD# 6413	06/07/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **11** 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	WESTPORT CAPITAL MARKETS, LLC	41562	Guilford, CT	12/11/2013 - 06/26/2018
B	WESTPORT CAPITAL MARKETS, LLC	41562	Guilford, CT	11/06/2013 - 06/26/2018
IA	WESTPORT CAPITAL MARKETS, LLC	41562	Guilford, CT	11/06/2013 - 12/10/2013

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	1
Termination	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 **11** 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	06/01/2018
B	Connecticut	Agent	Approved	06/04/2018
IA	Connecticut	Investment Adviser Representative	Approved	06/07/2018
B	Florida	Agent	Approved	06/01/2018
B	Illinois	Agent	Approved	06/05/2018
B	Minnesota	Agent	Approved	06/05/2018
B	Nebraska	Agent	Approved	07/05/2018
B	New Jersey	Agent	Approved	08/07/2019
B	New York	Agent	Approved	06/01/2018
B	Ohio	Agent	Approved	08/13/2019
B	Rhode Island	Agent	Approved	11/20/2025
B	South Carolina	Agent	Approved	02/10/2025
B	Washington	Agent	Approved	06/01/2023



Qualifications

Branch Office Locations

LPL FINANCIAL LLC
99 WHITFIELD ST
GUILFORD, CT 06437



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	10/31/1997

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/07/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/12/1997



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	12/11/2013 - 06/26/2018	WESTPORT CAPITAL MARKETS, LLC	CRD# 41562	Guilford, CT
B	11/06/2013 - 06/26/2018	WESTPORT CAPITAL MARKETS, LLC	CRD# 41562	Guilford, CT
IA	11/06/2013 - 12/10/2013	WESTPORT CAPITAL MARKETS, LLC	CRD# 41562	Guilford, CT
B	12/12/2008 - 11/14/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DARIEN, CT
IA	12/12/2008 - 11/14/2013	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	DARIEN, CT
B	11/11/2005 - 12/15/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTPORT, CT
IA	11/11/2005 - 12/15/2008	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTPORT, CT
IA	07/23/2003 - 11/17/2005	LEGG MASON WOOD WALKER INC	CRD# 6555	NEW YORK, NY
B	07/18/2003 - 11/17/2005	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
B	07/01/2003 - 07/23/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	ST. LOUIS, MO
IA	07/01/2003 - 07/23/2003	WACHOVIA SECURITIES, LLC	CRD# 19616	WESTPORT, CT
IA	03/03/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	WESTPORT, CT
B	01/11/2000 - 07/01/2003	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	11/03/1997 - 01/12/2000	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY



Registration & Employment History

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
06/2018 - Present	LPL Financial LLC	Registered Representative	Y	Guilford, CT, United States
11/2013 - 06/2018	WESTPORT CAPITAL MARKETS, LLC	REGISTERED REPRESENTATIVE	Y	WESTPORT, CT, 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) 06/01/2018 - DBA for LPL Business (entity for LPL business) - Impact Financial Wealth Management LLC - 100% - GUILFORD, CT 06437
- 2) 6/22/2018 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date:06/11/2018 - 2 Hours Per Month/1 Hours During Trading.
- 3) 09/18/2019 - Impact Financial Wealth Management llc - Investment related - At reported business location(s) - Non-Variable Insurance - start date:09/13/2019 - 1 hr/mo - 0 hrs during trading.
- 4) 04/22/2025 - The Keeper LLC - Not Investment Related - Other - Boat Tours - Shoreham, RI - Start Date :05/31/2025 - 2 Hrs/Mth - 2 Hrs During Trading.
- 5) 12/02/2025 - Other - Beneficiary of client trust - Investment Related - Home Based - Start Date 11/06/2025 - 1 hour per month/ 0 hours during trading
- 6) 1/13/2022 - Impact Financial - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 1/5/2022 - 20 Hours Per Month/ During Securities 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	1
Termination	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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
Allegations:	THE CUSTOMER ALLEGES UNAUTHORIZED TRADING BETWEEN NOVEMBER 2011 AND SEPTEMBER 2013.
Product Type:	Other: CLOSED END FUNDS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES NOT SPECIFIED
Is this an oral complaint?	Yes
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	12/20/2013
Complaint Pending?	No
Status:	Settled
Status Date:	03/26/2014



Settlement Amount: \$45,375.45

Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Allegations: THE CUSTOMER ALLEGES UNAUTHORIZED TRADING BETWEEN NOVEMBER 2011 AND SEPTEMBER 2013.

Product Type: Other: CLOSED END FUNDS

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES NOT SPECIFIED

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 12/20/2013

Complaint Pending? No

Status: Settled

Status Date: 03/26/2014

Settlement Amount: \$45,375.45

Individual Contribution Amount: \$0.00

Broker Statement THE CUSTOMER APPARENTLY CLAIMS THAT CERTAIN TRANSACTIONS MADE OVER A NEARLY 2 YEAR PERIOD WERE WITHOUT AUTHORITY. IN FACT, EVERY TRADE MADE IN THE CUSTOMER ACCOUNT WAS DISCUSSED BEFOREHAND AND AUTHORIZED. CUSTOMER WAS A CLIENT OF MR. LAWTON FOR NEARLY A DECADE WITHOUT ISSUE. MR. LAWTON FREQUENTLY SPOKE WITH CUSTOMER REGARDING HIS ACCOUNT AND ALWAYS DISCUSSED TRADES WITH CUSTOMER PRIOR TO TRANSACTING BUSINESS IN ACCOUNT. CUSTOMER ACCOUNT WAS PROFITABLE ON AN OVERALL BASIS. MR LAWTON WAS NEVER MADE AWARE AT ANY POINT IN TIME OF AN ISSUE WITH CUSTOMER OR CUSTOMER'S ACCOUNT UNTIL MR. LAWTON DEPARTED FROM THE FIRM AND LATER LEARNED THAT FIRM SETTLED WITH CUSTOMER. MR. LAWTON HAD NO KNOWLEDGE OF THE SETTLEMENT NOR WAS HE ASKED, BY THE FIRM OR OTHERWISE, TO PROVIDE ANY INFORMATION OR EXPLANATION IN CONNECTION WITH THIS PURPORTED COMPLAINT, AND DISAGREES VEHEMENTLY WITH THE PURPORTED ALLEGATIONS. MR. LAWTON BELIEVES THE COMPLAINT WAS WRONGFULLY ELICITED BY THE FIRM IN ORDER TO RETAIN MR. LAWTON'S CLIENTS AFTER HIS DEPARTURE AND FURTHER TO GAIN LEVERAGE IN CIVIL ARBITRATION WITH MR. LAWTON OVER TRANSITIONAL COMPENSATION.





Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Discharged

Termination Date: 11/05/2013

Allegations: CONDUCT INCLUDING TRADES AND ASSOCIATED OVERCHARGES TO CERTAIN CUSTOMERS AND EXERCISING DISCRETION IN NON-DISCRETIONARY CUSTOMER ACCOUNTS.

Product Type: Mutual Fund

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Reporting Source: Individual

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED

Termination Type: Discharged

Termination Date: 11/05/2013

Allegations: CONDUCT INCLUDING TRADES AND ASSOCIATED OVERCHARGES TO CERTAIN CUSTOMERS AND EXERCISING DISCRETION IN NON-DISCRETIONARY CUSTOMER ACCOUNTS.

Product Type: Mutual Fund



End of Report

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