



IAPD Report

ADAM LELAND ANDERSON

CRD# 2924886

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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

ADAM LELAND ANDERSON (CRD# 2924886)

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 **03/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WEALTHGUARD ADVISORS, INC.	CRD# 297192	08/22/2018

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	ARBOR POINT ADVISORS	165127	PLACERVILLE, CA	06/08/2017 - 08/21/2018
IA	SECURITIES AMERICA ADVISORS, INC.	110518	PLACERVILLE, CA	01/23/2009 - 08/21/2018
B	SECURITIES AMERICA, INC.	10205	PLACERVILLE, CA	01/23/2009 - 08/21/2018

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





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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WEALTHGUARD ADVISORS, INC.**
Main Address: 496 MAIN STREET
PLACERVILLE, CA 95667
Firm ID#: 297192

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	08/22/2018
	Texas	Investment Adviser Representative	Restricted Approval	08/22/2018

Branch Office Locations

WEALTHGUARD ADVISORS, INC.
496 MAIN STREET
PLACERVILLE, CA 95667




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
	General Securities Principal Examination (S24)	Series 24	10/08/2007

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	08/21/2018
	General Securities Representative Examination (S7)	Series 7	11/20/2002
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/20/1997

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/19/2005
	Uniform Securities Agent State Law Examination (S63)	Series 63	08/06/1997

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
IA	06/08/2017 - 08/21/2018	ARBOR POINT ADVISORS	CRD# 165127	PLACERVILLE, CA
IA	01/23/2009 - 08/21/2018	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	PLACERVILLE, CA
B	01/23/2009 - 08/21/2018	SECURITIES AMERICA, INC.	CRD# 10205	PLACERVILLE, CA
IA	01/30/2006 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	PLACERVILLE, CA
B	05/16/2003 - 01/23/2009	BRECEK & YOUNG ADVISORS, INC.	CRD# 40395	PLACERVILLE, CA
B	02/10/2003 - 05/07/2003	NEBS FINANCIAL SERVICES, INC.	CRD# 103874	CLEVELAND, OH
B	01/23/2003 - 02/06/2003	PENSION PLANNERS SECURITIES, INC.	CRD# 14068	SACRAMENTO, CA
B	08/21/1997 - 01/28/2003	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY

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	WEALTHGUARD ADVISORS, INC.	INVESTMENT ADVISER REPRESENTATIVE	Y	PLACERVILLE, CA, United States
08/2010 - Present	WEALTHGUARD ADVISORS, INC.	CEO/ PRESIDENT	Y	PLACERVILLE, CA, United States
08/2010 - Present	WEALTHGUARD ADVISORS, INC.	OWNER	Y	PLACERVILLE, CA, United States
06/2017 - 08/2018	ARBOR POINT ADVISORS	IAR	Y	PLACERVILLE, CA, United States
01/2009 - 08/2018	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR	Y	LAVISTA, NE, United States
01/2009 - 08/2018	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	UKIAH, CA, 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.

FIVE AM MAIN LLC

POSITION: owner NATURE: Manage and maintain commercial property INVESTMENT RELATED: No NUMBER OF HOURS: 0
HOURS: 0 START DATE: 05/01/2014
ADDRESS: 496 Main st., Placerville CA 95667
DESCRIPTION: manage and maintain commercial property. Used as a branch office and houses registered reps and employees.

MEMBER OF THE BOARD OF DIRECTORS FOR THE EL DORADO COUNTY CHAMBER OF COMMERCE

POSITION: board member NATURE: Community Service INVESTMENT RELATED: No NUMBER OF HOURS: 5 to 10
SECURITIES TRADING HOURS: 2 START DATE: 01/01/2015
ADDRESS: 542 Main St., Placerville CA 95667
DESCRIPTION: Give direction to county business affairs

PLACERVILLE ECONOMIC ACTIVITY COMMITTEE

POSITION: COMMITTEE MEMBER
INVESTMENT RELATED: NO
START DATE: 04/2018
2 HOURS/MONTH
0 HOURS DURING SECURITIES TRADING HOURS

ADAM LELAND ANDERSON is an owner at Coloma Lotus Whitewater, LLC; Is the business investment related: No; Location of the business: 6673 Carvers Road Coloma CA 95613; Description of the business: whitewater rafting; Responsibilities Duties: manage activities of rafting business; Start date with business: 2023-08-01; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 12; Percentage of total yearly compensation expected to be derived from the business: 1.

ADAM LELAND ANDERSON is a Board member for Mother Lode Rehabilitation Enterprises, Inc.; Investment related: No; Location: 399 Placerville Drive Placerville CA 95667; Description: Charitable organization to empowering individuals with disabilities to enhance their quality of life; Responsibilities Duties: Attend board meetings; Start date: 2024-05-01; Hours devoted to business during trading hours: 0; Hours devoted to business outside trading hours: 2; Percentage of total yearly compensation expected to be derived from the business: 0.

ADAM LELAND ANDERSON is a Board member for Marshall Foundation for Community Health; Investment related: No; Location: 1124 Sherman Street Placerville CA 95667; Description: Non-profit, community service foundation; Responsibilities Duties: Help direct giving to health related need in the county; Start date with business: 2024-12-31; Hours per month devoted to business during trading hours: 2; Hours per month devoted to business outside trading hours: 3; Percentage of total yearly compensation expected to be derived from the business: 0; Website address for the organization: marshallfound.org.

ADAM LELAND ANDERSON is an Owner at Rivers Bend Properties, LLC; Investment related: No; Location: 6400 State Highway 49 Lotus CA 95651; Description: Rental Property; Responsibilities Duties: Physical upkeep of property grounds, handyman work.; Start date: 2026-03-02; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 20; Percentage of total yearly compensation expected to be derived from the business: 15.



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

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:	Individual
Employing firm when activities occurred which led to the complaint:	WEALTHGUARD ADVISORS, INC
Allegations:	Opened accounts in March 2021 using Treasury notes & options. In January 2022, client expressed concerns about losses and long-term term treasures and concerns with advisory fees.
Product Type:	Options
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	No amount listed.

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	AAA
Docket/Case #:	000
Date Notice/Process Served:	02/22/2023
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	06/05/2024



Monetary Compensation Amount:	\$20,000.00
Individual Contribution Amount:	\$15,000.00



End of Report

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