IAPD Report

Angela Michelle Graham -West

CRD# 3004083

Section Title | **Page(s)**

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

Angela Michelle Graham -West (CRD# 3004083)

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	LPL FINANCIAL LLC	CRD# 6413	03/24/2020
IA	LPL FINANCIAL LLC	CRD# 6413	08/05/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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	ORION WEALTH MANAGEMENT LLC	313698	GARLAND, TX	02/15/2023 - 07/23/2025
IA	LPL FINANCIAL LLC	6413	GARLAND, TX	03/26/2020 - 11/30/2022
IA	OPPENHEIMER & CO. INC.	249	FORT LAUDERDALE, FL	09/27/2017 - 03/27/2020

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	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 **17** 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	03/24/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	03/24/2020
B	FINRA	Investment Co./Variable Contracts Prin	Approved	03/24/2020
B	FINRA	Municipal Securities Representative	Approved	12/05/2023
B	Alabama	Agent	Approved	03/30/2020
B	California	Agent	Approved	03/24/2020
B	Florida	Agent	Approved	03/24/2020
B	Georgia	Agent	Approved	03/24/2020
B	Iowa	Agent	Approved	06/27/2023
B	Kentucky	Agent	Approved	12/13/2021
B	Mississippi	Agent	Approved	07/06/2023
B	New Mexico	Agent	Approved	06/26/2023
B	New York	Agent	Approved	03/24/2020

Qualifications

	Regulator	Registration	Status	Date
B	North Carolina	Agent	Approved	03/24/2020
B	Oklahoma	Agent	Approved	07/14/2025
B	Puerto Rico	Agent	Approved	03/24/2020
B	South Carolina	Agent	Approved	03/24/2020
B	Tennessee	Agent	Approved	08/05/2025
B	Texas	Agent	Approved	03/24/2020
IA	Texas	Investment Adviser Representative	Approved	08/05/2025
B	Virginia	Agent	Approved	03/24/2020
B	Washington	Agent	Approved	02/10/2021

Branch Office Locations

LPL FINANCIAL LLC
1412 MAIN ST STE 1308
DALLAS, TX 75202

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, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	03/31/2004

General Industry/Product Exams

	Exam	Category	Date
B	Municipal Securities Representative Examination (S52TO)	Series 52TO	12/05/2023
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	03/17/2008
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/23/1998

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/21/2008
B	Uniform Securities Agent State Law Examination (S63)	Series 63	02/23/1998

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	02/15/2023 - 07/23/2025	ORION WEALTH MANAGEMENT LLC	CRD# 313698	GARLAND, TX
IA	03/26/2020 - 11/30/2022	LPL FINANCIAL LLC	CRD# 6413	GARLAND, TX
IA	09/27/2017 - 03/27/2020	OPPENHEIMER & CO. INC.	CRD# 249	FORT LAUDERDALE, FL
B	09/26/2017 - 03/27/2020	OPPENHEIMER & CO. INC.	CRD# 249	FORT LAUDERDALE, FL
IA	09/19/2008 - 09/27/2017	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. LAUDERDALE, FL
B	01/18/2008 - 09/27/2017	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	FT. LAUDERDALE, FL
B	10/07/2005 - 01/28/2008	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	TAMARAC, FL
IA	09/08/2005 - 10/13/2005	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	COOPER CITY, FL
B	02/24/1998 - 10/13/2005	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	FORT WORTH, TX
IA	04/27/2004 - 09/14/2005	FIRST COMMAND BANK	CRD# 128851	FORT WORTH, TX
IA	01/06/2004 - 04/20/2004	FIRST COMMAND FINANCIAL PLANNING, INC.	CRD# 3641	COOPER CITY, FL

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
03/2020 - Present	LPL Financial, LLC	Registered Representative	Y	GARLAND, TX, United States
08/2022 - 07/2025	Orion Wealth Management	Investment Adviser Representative	Y	Garland, KY, United States
09/2017 - 04/2020	OPPENHEIMER	FINANCIAL ADVISOR	Y	FORT LAUDERDALE, FL, United States
01/2008 - 09/2017	RAYMOND JAMES	FINANCIAL ADVISOR	Y	FORT LAUDERDALE, FL, 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) 03/24/2020 - DBA for LPL Business (entity for LPL business) - The West Group - Investment Related - At Reported Business Location(s) - Started 2020

2) 03/24/2020 - Republican Coffee Corner with Angela - Not Investment Related - 1837 EASTERN HILLS, DRIVE GARLAND TX 75043 - Other - Started - 2013 - Life commentator.

3) 03/24/2020 - Non-Profit Board Member - Kansas State University - Not Investment Related - Manhattan, KS - Started - 2018

4) 01/02/2024 - Tap2Space - Rep's Business - Co-Owner of Patent - Not Investment Related - Mansfield, TX - Start Date 10/25/2023 - 10 Hours Per Month/ 0 Hours During Trading

5) 01/02/2024 - The West McCandless Group, PLLC - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 01/01/2024 - 10 Hours Per Month/ 0 Hours During Trading

6. 10/23/2025 - West-McCandless PLLC - Tax Prep/Accounting/CPA - Investment Related - At Reported Business Location(s) - Start Date 01/01/2024 - 10 Hours Per Month/ 0 Hours During 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*.
    - o A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
    - o A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - o 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*.
    - o 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.
    - o 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.
    - o 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	3

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:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENTS INTIMATED THAT UNAUTHORIZED PURCHASES HAD TAKEN PLACE IN THEIR ACCOUNTS DURING OCTOBER 2019, AND THAT THEIR ACCOUNTS HAD BEEN NEGLECTED/MISMANAGED BETWEEN 2017-2019.
Product Type:	Equity Listed (Common & Preferred Stock) Mutual Fund
Alleged Damages:	$110,000.00
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:	12/26/2019
Complaint Pending?	No
Status:	Denied
Status Date:	01/08/2020
Settlement Amount:	
Individual Contribution Amount:	

Broker Statement

At all times, when working with this client, I conducted myself in in both a responsive and professional manner. I deny any and all allegations of wrongdoing and I intend to defend myself against any and all allegations. The client acknowledged in a subsequent letter and several personal phone calls that the allegations were his way of "pulling my chain". He was unaware that any suggestion of a complaint, serious or not, would be met with vigorous legal response. All actions on this account were authorized by the owners of these accounts. The accounts were not actively traded and no further trades have been made in this account. Claimants have experienced gains across all of their accounts.

Disclosure 2 of 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLIENT ALLEGES UNAUTHORIZED SALES WERE MADE IN HIS ACCOUNTS. NO TIME PERIOD SPECIFIED, BUT LAST SALE OF SECURITY TOOK PLACE DURING MARCH 2019.
Product Type:	Mutual Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	NONE SPECIFIED, BUT BELIEVED TO BE OVER $5,000.
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:	11/04/2019
Complaint Pending?	No
Status:	Denied
Status Date:	11/13/2019
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Raymond James & Associates, Inc.
Allegations:	Common Law Fraud, Common Law Negligent Misrepresentation, Breach of Fiduciary Duty, Negligence, Suitability, Excessive Trading. Incident Date 5/3/2011 - 9/29/2017.

Product Type:	No Product
Alleged Damages:	$499,000.00
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:	FINRA - Boca Raton District Office
Docket/Case #:	17-02750
Filing date of arbitration/CFTC reparation or civil litigation:	10/12/2017

Customer Complaint Information

Date Complaint Received:	10/19/2017
Complaint Pending?	No
Status:	Settled
Status Date:	06/07/2018
Settlement Amount:	$185,000.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES & ASSOCIATES, INC.
Allegations:	Common Law Fraud, Common Law Negligent Misrepresentation, Breach of Fiduciary Duty, Negligence, Suitability, Excessive Trading. Incident Date 5/3/2011 - 9/29/2017.
Product Type:	No Product
Alleged Damages:	$499,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-02750
Filing date of arbitration/CFTC reparation or civil litigation:	10/12/2017

Customer Complaint Information

Date Complaint Received:	10/19/2017
Complaint Pending?	No
Status:	Settled
Status Date:	06/07/2018
Settlement Amount:	$185,000.00
Individual Contribution Amount:	$0.00

End of Report

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