IAPD Report

AARON MICHAEL PUCKETT

CRD# 3139974

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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

AARON MICHAEL PUCKETT (CRD# 3139974)

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 **08/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/09/2010
IA	LPL FINANCIAL LLC	CRD# 6413	12/15/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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	1ST GLOBAL ADVISORS INC	111133	WESTMINSTER, MD	02/27/2007 - 12/10/2010
B	1ST GLOBAL CAPITAL CORP.	30349	WESTMINSTER, MD	02/27/2007 - 12/10/2010
IA	EDWARD JONES	250	HAMPSTEAD, MD	01/11/2007 - 03/02/2007

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 **37** 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	12/09/2010
B	FINRA	General Securities Principal	Approved	02/04/2011
B	Arizona	Agent	Approved	01/07/2011
B	California	Agent	Approved	01/30/2012
B	Colorado	Agent	Approved	09/23/2020
B	Delaware	Agent	Approved	12/17/2010
B	District of Columbia	Agent	Approved	04/08/2016
B	Florida	Agent	Approved	12/09/2010
B	Georgia	Agent	Approved	06/17/2021
B	Hawaii	Agent	Approved	04/19/2022
B	Illinois	Agent	Approved	09/20/2012
B	Indiana	Agent	Approved	09/17/2019
B	Kansas	Agent	Approved	12/09/2010

Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	04/14/2025
B	Louisiana	Agent	Approved	05/27/2014
B	Maine	Agent	Approved	09/02/2025
B	Maryland	Agent	Approved	12/09/2010
IA	Maryland	Investment Adviser Representative	Approved	12/15/2010
B	Massachusetts	Agent	Approved	07/03/2019
B	Michigan	Agent	Approved	09/10/2020
B	Missouri	Agent	Approved	08/25/2025
B	New Jersey	Agent	Approved	04/25/2022
B	New Mexico	Agent	Approved	11/11/2024
B	New York	Agent	Approved	01/18/2011
B	North Carolina	Agent	Approved	12/09/2010
B	Ohio	Agent	Approved	09/14/2017
B	Oklahoma	Agent	Approved	05/15/2017
B	Oregon	Agent	Approved	01/08/2013
B	Pennsylvania	Agent	Approved	12/09/2010
B	Rhode Island	Agent	Approved	09/29/2022
B	South Carolina	Agent	Approved	06/11/2014
B	South Dakota	Agent	Approved	08/23/2018

Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	06/11/2026
B	Texas	Agent	Approved	10/24/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	10/24/2017
B	Utah	Agent	Approved	11/09/2020
B	Vermont	Agent	Approved	06/09/2020
B	Virginia	Agent	Approved	12/09/2010
B	Washington	Agent	Approved	09/29/2021
B	West Virginia	Agent	Approved	03/06/2014
B	Wisconsin	Agent	Approved	07/02/2025

Branch Office Locations

LPL FINANCIAL LLC
20 LIBERTY ST
SUITE 2D
WESTMINSTER, MD 21157

LPL FINANCIAL LLC
7543 MAIN STREET FIRST FLOOR
SYKESVILLE, MD 21784

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	02/03/2011

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	06/17/2002

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	12/10/2006
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/20/2002

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

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.

User Guidance

www.adviserinfo.sec.gov

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	02/27/2007 - 12/10/2010	1ST GLOBAL ADVISORS INC	CRD# 111133	WESTMINSTER, MD
B	02/27/2007 - 12/10/2010	1ST GLOBAL CAPITAL CORP.	CRD# 30349	WESTMINSTER, MD
IA	01/11/2007 - 03/02/2007	EDWARD JONES	CRD# 250	HAMPSTEAD, MD
B	06/19/2002 - 03/02/2007	EDWARD JONES	CRD# 250	HAMPSTEAD, MD

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
12/2010 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	WESTMINSTER, MD, 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.

1.12/12/2011; none; Farm; Investment Related; ; Start Date ; hrs/mth; hrs during trading
2.06/24/2014; Investment products and services are offered through LPL Financial LLC using the DBA/trade name Puckett & Sturgill Financial Group; Investment Related; at Reported Business Location(s); Start Date 10/01/2014; 200hrs/mth; 8hrs during trading
3.06/24/2014; ; Non-Variable Insurance; Investment Related; at Reported Business Location(s); Start Date ; hrs/mth; hrs during trading
4.02/02/2015; Liberty Street Holdings LLC; Real Estate Rental; Investment Related; 20 Liberty Street Westminster,MD; Start Date 01/02/2015; 1hrs/mth; 0hrs during trading
5.04/05/2023; Investment products and services are offered through LPL Financial LLC using the DBA/trade name Puckett & Sturgill Wealth Management; Investment Related; at Reported Business Location(s); Start Date 04/01/2007; 200hrs/mth; 8hrs during trading
6.01/05/2026; Investment products and services are offered through LPL Financial LLC using the DBA/trade name Puckett Financial Group; Investment Related; at Reported Business Location(s); Start Date 01/01/2026; 200hrs/mth; 200hrs during trading
7.03/31/2026; Investment products and services are offered through LPL Financial LLC using the DBA/trade name Christian Planning; Investment Related; at Reported Business Location(s); Start Date 03/24/2026; 100hrs/mth; 100hrs during trading
8.08/10/2026; Puckett Family Charitable Foundation; Business Entity For Tax/Investment Purposes Only; Not Investment Related; at Reported Business Location(s); Start Date 06/01/2026; 1hrs/mth; 1hrs during trading
9.08/21/2026; PFG Tax LLC; Tax Prep/Accounting/CPA; Investment Related; Westminster,MD; Start Date 08/01/2026; 20hrs/mth; 20hrs 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*.
  - 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:	Firm
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	COMPLAINT ORIGINALLY FILED ON U4: CLIENT INDICATES THE IR SUGGESTED SELLING A METLIFE ANNUITY AND PURCHASING THE HARTFORD EDGE ANNUITY. CLIENT STATES IR INFORMED HER THERE WOULD BE NO TAX LIABILITY, HOWEVER, THIS INFORMATION WAS INCORRECT. CLIENT BELIEVES SHE SHOULD ONLY BE RESPONSIBLE FOR 10-15% TAXES AND EJ AND/OR IR SHOULD BE RESPONSIBLE FOR THE IRS AND MARYLAND TAX REFUNDS SHE WAS DUE, 10% PENALTY AS WELL AS INTEREST AND FINES SHE HAS INCURRED FROM THE IRS AND MARYLAND. CLIENT PROVIDED A LETTER FROM HER CPA WHICH REFLECTED THE ADDITIONAL TAX/PENALTY TO BE $7,975 PLUS THE MARYLAND TAX EFFECT. CLIENT CLAIMS TOTAL LOSSES EXCEED $18,000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$18,000.00

Customer Complaint Information

Date Complaint Received:	05/25/2007
Complaint Pending?	No
Status:	Settled
Status Date:	08/14/2007
Settlement Amount:	$15,000.00

Individual Contribution Amount:	$0.00
Firm Statement	IT IS OUR OPINION THE CLIENT AND/OR HER HEIRS WOULD HAVE EVENTUALLY PAID TAXES ON THE DISTRIBUTION FROM THE ANNUITY. ALTHOUGH CLIENT WAS TAXED AND PENALIZED ON THE ANNUITY DISTRIBUTION, WE BELIEVE IT WAS THE CLIENT'S RESPONSIBILITY TO INFORM THE IR OF THE HISTORY OF THE ANNUITY FUNDS (SPECIFICALLY THAT THE FUNDS WERE INVESTED IN AT LEAST ONE OTHER ANNUITY PRIOR TO THE METLIFE ANNUITY). HOWEVER, AS A RESULT OF THIS INVESTIGATION WE HAVE MADE THE DECISION TO OFFER A SETTLEMENT IN THE AMOUNT OF $4,000.00, WHICH WOULD COVER A PORTION OF THE TAXES AND/OR PENALTIES ASSOCIATED WITH THE DISTRIBUTION. CLOSED FILE, AS OF 2/15/07 CLIENT HAS NOT ACCEPTED OUR OFFER. 5/25/07 RECEIVED LETTER FROM CLIENT'S ATTORNEY AND FILE WAS AGAIN REVIEWED. A SETTLEMENT IN THE AMOUNT OF $15,000.00 WAS OFFERED TO THE CLIENT AND THE CLIENT ACCEPTED OUR OFFER ON 8/14/07.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	EDWARD JONES
Allegations:	CLIENT INDICATES THE IR SUGGESTED SELLING A METLIFE ANNUITY AND PURCHASING THE HARTFORD EDGE ANNUITY. CLIENT STATES IR INFORMED HER THERE WOULD BE NO TAX LIABILITY, HOWEVER, THIS INFORMATION WAS INCORRECT. CLIENT BELIEVES SHE SHOULD ONLY BE RESPONSIBLE FOR 10-15% TAXES AND EJ AND/OR IR SHOULD BE RESPONSIBLE FOR THE IRS AND MARYLAND TAX REFUNDS SHE WAS DUE, 10% PENALTY AS WELL AS INTEREST AND FINES SHE HAS INCURRED FROM THE IRS AND MARYLAND. CLIENT PROVIDED A LETTER FROM HER CPA WHICH REFLECTED THE ADDITIONAL TAX/PENALTY TO BE $7,975 PLUS THE MARYLAND TAX EFFECT. CLIENT CLAIMS TOTAL LOSSES EXCEED $18,000.
Product Type:	Annuity(ies) - Variable
Alleged Damages:	$18,000.00

Customer Complaint Information

Date Complaint Received:	05/25/2007
Complaint Pending?	No
Status:	Settled
Status Date:	08/14/2007
Settlement Amount:	$15,000.00
Individual Contribution Amount:	$0.00
Broker Statement	IT IS THE OPINION OF EDWARD JONES THAT THE CLIENT AND/OR HER HEIRS WOULD HAVE EVENTUALLY PAID TAXES ON THE DISTRIBUTION FROM THE ANNUITY. ALTHOUGH CLIENT WAS TAXED AND PENALIZED ON THE ANNUITY DISTRIBUTION, EDWARD JONES BELIEVED IT WAS THE CLIENT'S RESPONSIBILITY TO INFORM THE IR OF THE HISTORY OF THE ANNUITY FUNDS (SPECIFICALLY THAT THE FUNDS WERE INVESTED IN AT LEAST ONE OTHER ANNUITY PRIOR TO THE METLIFE ANNUITY).

HOWEVER, AS A RESULT OF THIS INVESTIGATION EDWARD JONES MADE THE DECISION TO OFFER A SETTLEMENT IN THE AMOUNT OF $4,000.00, WHICH WOULD COVER A PORTION OF THE TAXES AND/OR PENALTIES ASSOCIATED WITH THE DISTRIBUTION. CLOSED FILE, AS OF 2/15/07 CLIENT DID NOT ACCEPT OFFER. 5/25/2007 RECEIVED LETTER FROM CLIENT'S ATTORNEY AND FILE WAS AGAIN REVIEWED. A SETTLEMENT IN THE AMOUNT OF $15,000.00 WAS OFFERED TO THE CLIENT AND THE ACCEPTED OUR OFFER ON 8/14/2007.REP COMMENTS: I ALWAYS ACTED WITH THE CLIENTS BEST INTERESTS AT HEART, AND THAT HAD THE CLIENT ADVISED ME OF THE HISTORY OF THE FUNDS, I WOULD HAVE PERFORMED A 1035 EXCHANGE RATHER THAN LIQUIDATING THE OLD ANNUITY. UNFORTUNATELY, EVEN THOUGH THERE WAS A CAPITAL LOSS ON THE ANNUITY THAT WAS LIQUIDATED, I WAS UNAWARE THAT THE ANNUITY WAS FUNDED BY A 1035 EXCHANGE MANY YEARS AGO AND THAT THE BASIS WAS MUCH LESS THAN THE AMOUNT THE CLIENT INVESTED IN THE ANNUITY THAT WAS LIQUIDATED. I CONSULTED WITH THE ANNUITY SERVICE CENTER AT EDWARD JONES THROUGHOUT THE PROCESS, AND THEY ALSO FAILED TO POINT OUT THE POTENTIAL FOR THE COST BASIS TO BE LOWER THAN THE AMOUNT INVESTED. THE CLIENT FAILED TO PROVIDE ME WITH IMPORTANT INFORMATION, THE EDWARD JONES ANNUITY SERVICES DEPARTMENT FAILED TO POINT OUT THE POTENTIAL CAPITAL GAINS, AND I FAILED BY RELYING ON OTHERS TO PROVIDE ME WITH INFORMATION I SHOULD HAVE OBTAINED. WHEN I LEFT EDWARD JONES IN FEBRUARY OF 2007 THE COMPLAINT WAS CLOSED. THE COMPLAINT WAS REOPENED AND EDWARD JONES NEGOTIATED A SETTLEMENT OF WHICH I WAS NOT EVEN AWARE OF UNTIL REFLECTED ON MY U4.

End of Report

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