



IAPD Report

JEFFREY DALTON REDDICK

CRD# 3181062

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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

JEFFREY DALTON REDDICK (CRD# 3181062)

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 **11/12/2025**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA WG PLAN LLC	CRD# 338296	11/21/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 PROLINE INVESTMENT MANAGEMENT, PLLC	297875	MCKINNEY, TX	01/02/2025 - 12/31/2025
IA GUIDELINE CAPITAL MANAGEMENT	283711	PLANO, TX	10/11/2016 - 10/16/2023
B INDEPENDENT FINANCIAL GROUP, LLC	7717	MCKINNEY, TX	02/25/2014 - 10/05/2016

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

Employment 1 of 1

Firm Name: **WG PLAN LLC**
Main Address: 7701 ELDORADO PKWY
STE 200
MCKINNEY, TX 75070
Firm ID#: 338296

Regulator	Registration	Status	Date
IA Texas	Investment Adviser Representative	Approved	11/21/2025

Branch Office Locations

WG PLAN LLC
7701 ELDORADO PKWY
STE 200
MCKINNEY, TX 75070



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, 3 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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B Securities Industry Essentials Examination (SIE)	SIE	10/05/2016
B General Securities Representative Examination (S7)	Series 7	10/01/2008
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/12/1999

State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	02/16/2007
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/17/2001

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	01/02/2025 - 12/31/2025	PROLINE INVESTMENT MANAGEMENT, PLLC	CRD# 297875	MCKINNEY, TX
IA	10/11/2016 - 10/16/2023	GUIDELINE CAPITAL MANAGEMENT	CRD# 283711	PLANO, TX
B	02/25/2014 - 10/05/2016	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	MCKINNEY, TX
IA	02/25/2014 - 10/05/2016	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	MCKINNEY, TX
IA	09/10/2012 - 02/25/2014	WFG ADVISORS, LP	CRD# 125073	MCKINNEY, TX
B	09/10/2012 - 02/25/2014	WFG INVESTMENTS, INC.	CRD# 22704	MCKINNEY, TX
IA	03/15/2012 - 09/11/2012	BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	MCKINNEY, TX
B	03/15/2012 - 09/11/2012	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	MCKINNEY, TX
B	02/25/2011 - 03/15/2012	GIRARD SECURITIES, INC.	CRD# 18697	MCKINNEY, TX
IA	02/25/2011 - 03/15/2012	GIRARD SECURITIES, INC.	CRD# 18697	MCKINNEY, TX
B	09/19/2007 - 02/11/2011	QA3 FINANCIAL CORP.	CRD# 14754	MCKINNEY, TX
IA	09/19/2007 - 02/11/2011	QA3 FINANCIAL LLC	CRD# 104957	MCKINNEY, TX
IA	02/23/2007 - 06/19/2007	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	MCKINNEY, TX
B	08/22/2006 - 06/19/2007	NATIONAL PLANNING CORPORATION	CRD# 29604	MCKINNEY, TX
B	10/18/2002 - 06/01/2006	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	DALLAS, TX
B	08/14/1999 - 09/25/2002	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI



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 04/05/2001 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

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
11/2025 - Present	WG Plan	Investment Adviser Representative	Y	McKinney, TX, United States
03/2024 - Present	Proline Investment Management	Investment Adviser Representative	Y	McKinney, TX, United States
10/2023 - 03/2024	Unemployed	Unemployed	N	McKinney, TX, United States
10/2016 - 10/2023	REDDICK CONSULTING, LLC D/B/A PROLINE FINANCIAL ADVISORS	INVESTMENT ADVISER REPRESENTATIVE	Y	MCKINNEY, TX, United States
10/2015 - 10/2023	REDDICK CONSULTING, LLC D/B/A PROLINE FINANCIAL ADVISORS	MANAGING MEMBER/CHIEF COMPLIANCE OFFICER	Y	MCKINNEY, TX, United States
01/2014 - 10/2023	Guideline Capital Management	Investment Adviser Representative	Y	McKinney, TX, United States
02/2014 - 10/2016	INDEPENDENT FINANCIAL GROUP	REGISTERED REPRESENTATIVE / Investment Adviser Representative	Y	SAN DIEGO, CA, 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)
the name of the other business; Insurance business dba is Guideline Capital Management

whether the business is investment-related; it is investment related, insurance business is life insurance, annuities, long term care policies to effect necessary coverages and solutions identified for my financial planning clients

the address of the other business; my same primary office for all three business: 5851 Legacy Cir Dr., Suite 600 Plano TX 75024

the nature of the other business; life insurance, annuities, ltc and disability insurance



Registration & Employment History



OTHER BUSINESS ACTIVITIES

your position; financial advisor

title, or relationship with the other business; financial advisor

the start date of your relationship; June 1999

the approximate number of hours/month you devote to the other business; 40 hours a month

the number of hours you devote to the other business during securities trading hours; 2 hours

and briefly describe your duties relating to the other business; Research and then construct the best combination insurance solutions for clients who have an insurance need and then put in force and monitor

(2)

the name of the other business; Litigation finance business is called VPR Ventures LLC

whether the business is investment-related; it is investment related but formed via attorneys and consultants as an outside business and not part of my firm

the address of the other business; 5851 Legacy Cir Dr., Suite 600 Plano TX 75024

the nature of the other business; we finance third party litigation

your position; Managing Director

title, or relationship with the other business; CFO

the start date of your relationship; October 2022

the approximate number of hours/month you devote to the other business; 20hours a month

the number of hours you devote to the other business during securities trading hours; 1 hour

and briefly describe your duties relating to the other business; general CFP business management duties, accounting, finance related, and due diligence on finance opportunities



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:	Independent Financial Group, LLC
Allegations:	Alleges investment was not in line with client's stated investment objectives and risk tolerance.
Product Type:	Other: Non-traded REIT
Alleged Damages:	\$35,000.00
Alleged Damages Amount Explanation (if amount not exact):	Statement of Claim does not contain a damages allegation. Amount listed is the total amount of the investment that is being complained about.
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
Docket/Case #:	23-03302
Filing date of arbitration/CFTC reparation or civil litigation:	11/15/2023

Customer Complaint Information



Date Complaint Received: 11/20/2023

Complaint Pending? No

Status: Settled

Status Date: 06/20/2025

Settlement Amount: \$10,000.00

Individual Contribution Amount: \$0.00

Firm Statement

Claimant cherry-picked (an) investment(s) that did not perform as expected and claimed that it was not suitable and that the broker-dealer failed to do its due diligence. The statement of claim is a cookie-cutter that makes clearly false claims and accusations about the representative's conduct and statements. In addition, it fails to acknowledge that the investment was part of an overall plan/strategy. The Firm's initial investigation did not reveal any information to support the claims made and no such information was provided by Claimant during the course of discovery. The claim was settled solely to avoid the cost and expense of protracted litigation and should not be deemed an admission of guilt or liability. Evidence showed that the characteristics, features and risks of the product(s) were fully disclosed at the time of the recommendations and were in line with Claimant's stated investment objectives, risk tolerance and time horizon.



End of Report

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