



IAPD Report

DAMON MERRILL MAPES

CRD# 4011748

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 7
Disclosure Information	8



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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

DAMON MERRILL MAPES (CRD# 4011748)

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 **07/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	03/29/2021
IA	LPL FINANCIAL LLC	CRD# 6413	04/01/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **14** 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	CETERA INVESTMENT ADVISERS LLC	105644	HILLSBORO, OR	06/15/2020 - 12/21/2020
B	CETERA INVESTMENT SERVICES LLC	15340	HILLSBORO, OR	06/10/2020 - 12/21/2020
IA	CETERA INVESTMENT ADVISERS LLC	105644	HILLSBORO, OR	01/21/2014 - 03/20/2020

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	2



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 **14** 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	03/29/2021
B	Arizona	Agent	Approved	04/05/2021
B	California	Agent	Approved	03/30/2021
B	Colorado	Agent	Approved	06/09/2026
B	Florida	Agent	Approved	07/28/2026
B	Idaho	Agent	Approved	11/22/2021
B	Maine	Agent	Approved	09/19/2025
B	Nevada	Agent	Approved	11/27/2023
B	New York	Agent	Approved	09/18/2025
B	North Carolina	Agent	Approved	04/07/2025
B	Ohio	Agent	Approved	03/09/2022
B	Oregon	Agent	Approved	04/01/2021
IA	Oregon	Investment Adviser Representative	Approved	04/01/2021



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	10/22/2021
B Washington	Agent	Approved	04/02/2021
B Wisconsin	Agent	Approved	01/25/2023

Branch Office Locations

LPL FINANCIAL LLC
16099 BOONES FERRY RD
LAKE OSWEGO, OR 97035

LPL FINANCIAL LLC
14800 SW MURRAY SCHOLLS DR
#104
BEAVERTON, OR 97007

LPL FINANCIAL LLC
7675 SW NYBERG ST
TUALATIN, OR 97062

LPL FINANCIAL LLC
1 E Alder St
Walla Walla, WA 99362

LPL FINANCIAL LLC
600 S 9th Ave
Walla Walla, WA 99362

LPL FINANCIAL LLC
3100 SE 164th Ave
Vancouver, WA 98683

LPL FINANCIAL LLC
HILLSBORO, OR

LPL FINANCIAL LLC
1005 BRYDEN AVE
LEWISTON, ID 83501

LPL FINANCIAL LLC
749 6TH ST
CLARKSTON, WA 99403

LPL FINANCIAL LLC
101 SW MAIN STE 154
PORTLAND, OR 97204

LPL FINANCIAL LLC
500 NE 139TH ST
VANCOUVER, WA 98685

LPL FINANCIAL LLC
2072 NE STUCKI AVE
HILLSBORO, OR 97124

LPL FINANCIAL LLC
215 Main St
Waitsburg, WA 99361

LPL FINANCIAL LLC
126 E Main St
Dayton, WA 99328

LPL FINANCIAL LLC
1125 NE C St
College Place, WA 99324

LPL FINANCIAL LLC
125 SE Court Ave
Pendleton, OR 97801

LPL FINANCIAL LLC
100 MAIN ST
OROFINO, ID 83544



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 1 state securities law exam.

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	11/16/1999

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/01/2000



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	06/15/2020 - 12/21/2020	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	HILLSBORO, OR
B	06/10/2020 - 12/21/2020	CETERA INVESTMENT SERVICES LLC	CRD# 15340	HILLSBORO, OR
IA	01/21/2014 - 03/20/2020	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	HILLSBORO, OR
B	02/28/2013 - 03/20/2020	CETERA INVESTMENT SERVICES LLC	CRD# 15340	BEND, OR
IA	02/26/2013 - 01/21/2014	CETERA INVESTMENT SERVICES LLC	CRD# 15340	BEND, OR
B	05/17/2011 - 01/08/2013	LPL FINANCIAL LLC	CRD# 6413	PORTLAND, OR
IA	05/17/2011 - 01/08/2013	LPL FINANCIAL LLC	CRD# 6413	PORTLAND, OR
IA	09/01/2006 - 05/20/2011	FINTEGRA FINANCIAL SOLUTIONS	CRD# 16741	TILLAMOOK, OR
B	08/07/2006 - 05/20/2011	FINTEGRA, LLC	CRD# 16741	TILLAMOOK, OR
B	09/07/2005 - 04/11/2006	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	PORTLAND, OR
IA	09/07/2005 - 04/11/2006	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	PORTLAND, OR
B	09/07/2005 - 04/11/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
IA	04/08/2005 - 08/10/2005	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	TIGARD, OR
B	04/01/2005 - 08/10/2005	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	DETROIT, MI
B	08/12/2004 - 04/08/2005	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	LINCOLN, NE
IA	02/11/2003 - 04/09/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	PORTLAND, OR



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	02/07/2003 - 04/09/2004	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	SAN FRANCISCO, CA
B	11/17/1999 - 02/05/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	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
03/2021 - Present	Banner Bank	Financial Consultant	Y	Hillsboro, OR, United States
03/2021 - Present	LPL Financial LLC	Registered Representative	Y	Hillsboro, OR, United States
01/2021 - 02/2021	Unemployed	Unemployed	N	Hillsboro, OR, United States
05/2020 - 12/2020	CETERA INVESTMENT ADVISERS LLC	REGISTERED INVESTMENT ADVISER	Y	PORTLAND, OR, United States
05/2020 - 12/2020	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
05/2020 - 12/2020	HERITAGE BANK	REGISTERED REP	Y	PORTLAND, OR, United States
04/2020 - 05/2020	Unemployed	UNEMPLOYED	N	Hillsboro, OR, United States
01/2014 - 03/2020	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	PORTLAND, OR, United States
02/2013 - 03/2020	CETERA INVESTMENT SERVICES	REGISTERED REPRESENTATIVE	Y	SAINT CLOUD, MN, United States
02/2013 - 03/2020	COLUMBIA STATE BANK	REGISTERED REPRESENTATIVE	Y	PORTLAND, OR, 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) 3/2021- Banner Investment Services- DBA for LPL Business (entity for LPL business)- Inv. Related- at reported business



Registration & Employment History



OTHER BUSINESS ACTIVITIES

location(s)- 100%

2) 12/07/2021 - Banner Investment Services - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Start Date: 03/29/2021 - 10 Hours Per Month/1 Hour During Securities Trading.

3) 02/23/2024 - Banner Wealth & Investment Services - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 03/01/2024 - 160 Hours Per Month/ 140 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*.
 - 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	2

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Cetera Investment Services LLC
Allegations:	Claimant generally alleges its registered representative overconcentrated and recommended unsuitable investment in alternative investments.
Product Type:	Other: REIT
Alleged Damages:	\$250,000.00
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 - Portland, OR
Docket/Case #:	24-00253
Filing date of arbitration/CFTC reparation or civil litigation:	02/02/2024

Customer Complaint Information

Date Complaint Received:	02/06/2024
Complaint Pending?	No



Status: Settled
Status Date: 07/03/2025
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00
.....

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: Cetera Investment Services, LLC
Allegations: Customer alleges representative made unsuitable investment recommendations.
Product Type: Real Estate Security
Alleged Damages: \$250,000.00
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
Docket/Case #: 24-00253
Filing date of arbitration/CFTC reparation or civil litigation: 02/02/2024

Customer Complaint Information

Date Complaint Received: 02/05/2024
Complaint Pending? No
Status: Settled
Status Date: 07/03/2025
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MERRILL LYNCH
Allegations: CLIENT ALLEGES THAT HER INVESTMENTS WERE NOT SUITABLE.
Product Type: Mutual Fund
Alleged Damages: \$39,000.00
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: 06/22/2001

Complaint Pending? No

Status: Settled

Status Date: 10/29/2001

Settlement Amount: \$20,000.00

**Individual Contribution
Amount:** \$0.00

Broker Statement SETTLED AS A BUSINESS DECISION TO AVOID THE TIME AND EXPENSE OF
ARBITRATION.



End of Report

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