



IAPD Report

Don Hosea Williams

CRD# 4131238

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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

Don Hosea Williams (CRD# 4131238)

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 **11/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	12/20/2023
IA	LPL FINANCIAL LLC	CRD# 6413	12/21/2023

QUALIFICATIONS

This representative is currently registered in **1** 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	INDEPENDENT FINANCIAL GROUP, LLC	7717	SAN DIEGO, CA	03/07/2023 - 12/07/2023
B	INDEPENDENT FINANCIAL GROUP, LLC	7717	SAN DIEGO, CA	03/06/2023 - 12/07/2023
B	FORESIDE FUND SERVICES, LLC	46106	PORTLAND, ME	04/11/2022 - 12/13/2022

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
Criminal	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 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 Principal	Approved	12/20/2023
B	FINRA	General Securities Representative	Approved	12/20/2023
B	FINRA	Operations Professional	Approved	12/20/2023
B	California	Agent	Approved	12/20/2023
IA	California	Investment Adviser Representative	Approved	12/21/2023
B	Washington	Agent	Approved	12/22/2023

Branch Office Locations

LPL FINANCIAL LLC
San Marcos, CA



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 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/24/2011

General Industry/Product Exams

	Exam	Category	Date
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Futures Managed Funds Examination (S31)	Series 31	05/03/2000
	General Securities Representative Examination (S7)	Series 7	04/07/2000

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	04/28/2000

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	03/07/2023 - 12/07/2023	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SAN DIEGO, CA
B	03/06/2023 - 12/07/2023	INDEPENDENT FINANCIAL GROUP, LLC	CRD# 7717	SAN DIEGO, CA
B	04/11/2022 - 12/13/2022	FORESIDE FUND SERVICES, LLC	CRD# 46106	PORTLAND, ME
B	08/31/2021 - 12/20/2021	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	ALBANY, NY
IA	04/17/2020 - 12/16/2021	THRIVENT ADVISOR NETWORK, LLC	CRD# 304569	San Marcos, CA
IA	01/05/2016 - 04/27/2020	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	01/04/2016 - 04/27/2020	LPL FINANCIAL LLC	CRD# 6413	SAN DIEGO, CA
B	02/23/2015 - 10/26/2015	LPL FINANCIAL LLC	CRD# 6413	PEORIA, AZ
IA	02/23/2015 - 10/26/2015	LPL FINANCIAL LLC	CRD# 6413	PEORIA, AZ
B	03/06/2006 - 02/25/2015	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SAN DIEGO, CA
IA	03/06/2006 - 02/25/2015	CUSO FINANCIAL SERVICES, L.P.	CRD# 42132	SAN DIEGO, CA
B	09/01/2005 - 03/10/2006	E*TRADE SECURITIES LLC	CRD# 29106	JERSEY CITY, NJ
IA	02/28/2001 - 08/19/2005	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	SAN DIEGO, CA
B	02/20/2001 - 08/19/2005	LINSICO/PRIVATE LEDGER CORP.	CRD# 6413	FORT MILL, SC
B	06/08/2000 - 02/02/2001	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, NY



Registration & Employment History

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
12/2023 - Present	LPL Financial LLC	Registered Representative	Y	San Marcos, CA, United States
03/2023 - 12/2023	Independent Financial Group, LLC	Compliance Branch Auditor	Y	San Diego, CA, United States
10/2022 - 03/2023	Unemployed	Unemployed	N	San Diego, CA, United States
04/2022 - 10/2022	Foreside Fund Services, LLC	Registered Representative	Y	San Marcos, CA, United States
02/2022 - 10/2022	Eventide Asset Management, LLC	Regional Director	Y	San Marcos, CA, United States
08/2021 - 12/2021	Purshe Kaplan Sterling Investments, Inc.	Registered Representative	Y	Albany, NY, United States
04/2020 - 12/2021	Thrivent Advisor Network, LLC	Relationship Manager	Y	San Marcos, CA, United States
01/2016 - 04/2020	LPL FINANCIAL	HOME OFFICE EMPLOYEE	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. 05/06/2024 - Financial Advocates - DBA for LPL Business (entity for LPL business) - 1601 Cooper Point Rd NW Olympia, WA 98502 - Inv Related - Start Date 01/19/2024 - 160hrs/mths



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
Criminal	1

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	LEXINGTON, KY- FAYATTE COUNTY DISTRICT COURT.
Charge Date:	03/14/1989
Charge Details:	1-SEXUAL ABUSE 1ST FELONY, DISMISSED 2- BURGLARY 2ND, FELONY AMENDED CRIMINAL TRESPASS 2ND GUILTY PLEA. 3- CRIMINAL TRESPASS 1ST, MISDEMEANOR, DISMISSED 4- TERRORISTIC THREATNING, MISDEMEANOR, DISMISSED 5- CRIMINAL MISCHIEF 3RD MISDEMEANOR, DISMISSED 6- HARASSING COMMUNICATION, MISDEMEANOR, DISMISSED 7- HARASSMENT MISDEMEANOR, DISMISSED
Felony?	Yes
Current Status:	Final
Status Date:	03/23/1989
Disposition Details:	ALL CHARGES DISMISSED EXCEPT BURGLARY 2ND WHICH WAS AMENDED TO CRIMINAL TRESPASS A MISDEMEANOR.
Broker Statement	IN LATE FEBRUARY, EARLY MARCH OF 1989 A HEATED ARGUMENT WITH AND EX-GIRLFRIEND LED TO EXAGGERATED CHARGES. THE EX-GIRLFRIEND DID NOT PRESS CHARGES BUT THE STATE PICKED UP THE CASE AND CHARGED ME WITH A MISDEMEANOR.



End of Report

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