



IAPD Report

SCOTT ANDREW MCCASKILL

CRD# 4145753

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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

SCOTT ANDREW MCCASKILL (CRD# 4145753)

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 **03/23/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	08/09/2022
IA	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	08/09/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	KESTRA ADVISORY SERVICES, LLC	283330	FREDERICK, MD	07/21/2016 - 08/09/2022
B	KESTRA INVESTMENT SERVICES, LLC	42046	FREDERICK, MD	12/09/2011 - 08/09/2022
IA	NFP ADVISOR SERVICES, LLC	42046	FREDERICK, MD	05/22/2012 - 09/22/2016

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
Regulatory Event	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 **15** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**
Main Address: 275 WYMAN STREET
SUITE 400
WALTHAM, MA 02451-1200
Firm ID#: 8032

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	08/09/2022
B	FINRA	General Securities Representative	Approved	08/09/2022
B	Arkansas	Agent	Approved	08/09/2022
B	Delaware	Agent	Approved	08/09/2022
B	Florida	Agent	Approved	08/09/2022
B	Illinois	Agent	Approved	09/02/2022
B	Maine	Agent	Approved	08/09/2022
IA	Maryland	Investment Adviser Representative	Approved	08/09/2022
B	Maryland	Agent	Approved	08/10/2022
B	Missouri	Agent	Approved	09/15/2025
B	New York	Agent	Approved	08/09/2022
B	North Carolina	Agent	Approved	08/10/2022
B	Pennsylvania	Agent	Approved	08/09/2022



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	08/09/2022
B	Tennessee	Agent	Approved	02/05/2026
B	Texas	Agent	Approved	08/09/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/24/2026
B	Virginia	Agent	Approved	08/09/2022
B	West Virginia	Agent	Approved	08/09/2022

Branch Office Locations

COMMONWEALTH FINANCIAL NETWORK
275 Wyman Street, Ste. 400
WALTHAM, MA 02451

COMMONWEALTH FINANCIAL NETWORK
220 West Patrick Street
Frederick, MD 21701



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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination (S24)	Series 24	06/11/2009

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Futures Managed Funds Examination (S31)	Series 31	07/01/2009
General Securities Representative Examination (S7)	Series 7	06/01/2000

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	02/20/2008
Uniform Combined State Law Examination (S66)	Series 66	07/14/2000

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	07/21/2016 - 08/09/2022	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	FREDERICK, MD
B	12/09/2011 - 08/09/2022	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	FREDERICK, MD
IA	05/22/2012 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	FREDERICK, MD
IA	09/09/2011 - 12/07/2011	INDEPENDENT FINANCIAL PARTNERS	CRD# 125112	FREDERICK, MD
IA	09/13/2011 - 12/01/2011	LPL FINANCIAL LLC	CRD# 6413	FREDERICK, MD
B	09/06/2011 - 12/01/2011	LPL FINANCIAL LLC	CRD# 6413	FREDERICK, MD
IA	09/06/2011 - 09/06/2011	LPL FINANCIAL LLC	CRD# 6413	FREDERICK, MD
IA	01/02/2009 - 07/14/2011	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	FREDERICK, MD
B	10/09/2007 - 07/14/2011	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	FREDERICK, MD
IA	02/22/2008 - 12/31/2010	VOSO FINANCIAL ADVISERS, LLC	CRD# 117998	FREDERICK, MD
IA	02/22/2008 - 01/02/2009	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	FREDERICK, MD
B	05/12/2003 - 10/08/2007	H. BECK, INC.	CRD# 1763	FREDERICK, MD
IA	07/21/2000 - 06/10/2002	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	CRD# 6363	VIENNA, VA
B	06/02/2000 - 06/10/2002	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	06/02/2000 - 06/10/2002	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN



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
08/2022 - Present	Commonwealth Financial Network	Advisor	Y	Waltham, MA, United States
08/2022 - Present	McCaskill Financial Advisors, LLC	Owner	Y	Frederick, MD, United States
04/2016 - 08/2022	Kestra Advisory Services, LLC	Investment Adviser Representative	Y	Frederick, MD, United States
12/2011 - 08/2022	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	FREDERICK, 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. Fixed insurance sales; as of 8/9/2022; 1% of time spent during business hours; Conducted at branch location; Investment related. 2. Owner, McCaskill Properties, LLC; an entity created for the purpose of buying and managing real estate in Frederick, MD, as of 10/29/2015; 1% of time spent during business hours; Conducted at branch; Investment related. 3. Co-owner, Princess Cassandra Designs, LLC; wedding & event invitation company; Located in Frederick, MD; as of 10/29/2015; 0% of time spent during business hours; Not conducted at branch location; Not investment related. 4. Owner & President, McCaskill Financial Advisors, LLC; a private entity established to facilitate securities, advisory, and insurance business; as of 9/01/2011; 95% of time spent during business hours; Conducted at branch; Investment related. 5. Co-owner, 214-216 W Patrick, LLC; a private entity created for the purchase, rehabilitation, and managing of historic properties as housing rentals; Located in Frederick, MD; as of 04/09/2021; 1% of time spent; Not conducted at branch; Investment related.



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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	MARYLAND
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/09/2011
Docket/Case Number:	2011-0417
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES
Product Type:	No Product
Allegations:	THE DIVISION ALLEGED THAT MCCASKILL, THROUGH COMPANIES THAT HE OWNED, HELD OUT AS AN INVESTMENT ADVISER DURING A TIME THAT THE COMPANIES WERE NOT REGISTERED, IN VIOLATION OF SECTION 11-401 OF THE SECURITIES ACT. THE DIVISION FURTHER ALLEGED THAT MCCASKILL EMPLOYED AN UNREGISTERED INVESTMENT ADVISER REPRESENTATIVE, IN VIOLATION OF SECTION 11-402 OF THE ACT.
Current Status:	Final
Resolution:	Consent



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	05/22/2012
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: FOR PERIOD OF TWO YEARS, RESPONDENT SHALL NOT APPLY OR REAPPLY, IN THE CAPACITY AS A CONTROL PERSON, PRINCIPAL, OR OWNER, FOR REGISTRATION IN MARYLAND AS A BROKER-DEALER OR INVESTMENT ADVISER. FOR A PERIOD OF TWO YEARS, RESPONDENT SHALL NOT SERVE IN A SUPERVISORY CAPACITY. RESPONDENT IS SUBJECT TO HEIGHTENED SUPERVISION.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$2,500 UPFRONT AND \$2,500 WITHIN 45 DAYS OF ORDER EXECUTION.
Is Payment Plan Current:	Yes
Date Paid by individual:	09/07/2012
Was any portion of penalty waived?	No
Amount Waived:
Reporting Source:	Individual
Regulatory Action Initiated By:	MARYLAND DIVISION OF SECURITIES
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	12/09/2011
Docket/Case Number:	2011-0417
Employing firm when activity occurred which led to the regulatory action:	RAYMOND JAMES
Product Type:	No Product
Allegations:	REPRESENTATIVE HELD HIS FIRM OUT AS A REGISTERED INVESTMENT ADVISOR AND HIMSELF AS AN INVESTMENT ADVISOR REPRESENTATIVE OF THAT RIA ALTHOUGH HE NOR HIS FIRM WERE REGISTERED AS SUCH
Current Status:	Final



Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Resolution Date:	05/22/2012
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$2,500 PAID AT TIME OF EXECUTION OF ORDER AND REMAINING \$2,500 SHALL BE PAID BY NO LATER THAN 45 DAYS AFTER EXECUTION OF ORDER
Is Payment Plan Current:	Yes
Date Paid by individual:	05/22/2012
Was any portion of penalty waived?	No
Amount Waived:	



End of Report

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