



IAPD Report

WILLIAM ROBERT WIGGINS II

CRD# 4261961

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

WILLIAM ROBERT WIGGINS II (CRD# 4261961)

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 **05/09/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	08/02/2019
B	LPL FINANCIAL LLC	CRD# 6413	08/02/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
B	WELLS FARGO CLEARING SERVICES, LLC	19616	RALEIGH, NC	06/27/2014 - 08/07/2019
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	RALEIGH, NC	06/27/2014 - 08/07/2019
B	FIRST CITIZENS INVESTOR SERVICES, INC.	44430	GARNER, NC	01/04/2011 - 07/02/2014

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 **10** 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	08/02/2019
B	Colorado	Agent	Approved	05/11/2026
B	Florida	Agent	Approved	10/29/2020
B	Georgia	Agent	Approved	05/26/2021
B	Maryland	Agent	Approved	08/02/2019
B	New York	Agent	Approved	08/02/2019
B	North Carolina	Agent	Approved	08/02/2019
IA	North Carolina	Investment Adviser Representative	Approved	08/02/2019
B	Ohio	Agent	Approved	02/07/2022
B	Oregon	Agent	Approved	10/28/2021
B	South Carolina	Agent	Approved	06/24/2020
B	Virginia	Agent	Approved	08/02/2019

Branch Office Locations



Qualifications

LPL FINANCIAL LLC

919 HWY 70 WEST
GARNER, NC 27529

LPL FINANCIAL LLC

600 OBERLIN RD
RALEIGH, NC 27605

LPL FINANCIAL LLC

32 INDUSTRIAL PARK DR STE 140
PITTSBORO, NC 27312

LPL FINANCIAL LLC

RALEIGH, NC

LPL FINANCIAL LLC

611 N HOWE ST
SOUTHPORT, NC 28461

LPL FINANCIAL LLC

5700 CREEDMOOR RD
RALEIGH, NC 27612

LPL FINANCIAL LLC

1426 E 11TH ST
SILER CITY, NC 27344

LPL FINANCIAL LLC

7000 GB ALFORD HWY
HOLLY SPRINGS, NC 27540

LPL FINANCIAL LLC

2245 GTWY ACC PT SUITE 200
RALEIGH, NC 27607



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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Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	05/22/2003
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/21/2000

State Securities Law Exams

Exam	Category	Date
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Uniform Investment Adviser Law Examination (S65)	Series 65	01/17/2002
Uniform Securities Agent State Law Examination (S63)	Series 63	11/21/2000

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



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	06/27/2014 - 08/07/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	RALEIGH, NC
IA	06/27/2014 - 08/07/2019	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	RALEIGH, NC
B	01/04/2011 - 07/02/2014	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	GARNER, NC
IA	01/04/2011 - 07/02/2014	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	GARNER, NC
IA	08/19/2004 - 01/05/2011	CIC ADVISERS, LLC	CRD# 130735	RALEIGH, NC
B	07/06/2004 - 01/05/2011	CAPITAL INVESTMENT GROUP, INC.	CRD# 14752	RALEIGH, NC
IA	06/09/2003 - 07/16/2004	AXA ADVISORS, LLC	CRD# 6627	RALEIGH, NC
B	06/06/2003 - 07/16/2004	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	09/22/2000 - 06/13/2003	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	FORT WAYNE, IN

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
08/2019 - Present	LPL Financial LLC	Registered Representative	Y	Raleigh, NC, United States
11/2016 - 07/2019	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	RALEIGH, NC, United States
06/2014 - 11/2016	WELLS FARGO ADVISORS, LLC	REGISTERED REP	Y	RALEIGH, NC, United States



Registration & Employment History



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. 04/16/2024 - Fidelity Bank - Non-Inv Related - Financial Institution Duty - Relationship Manager - Started: 1/1/2024 - 2 Hrs/Mo.
2. 04/17/2024 - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 03/20/2024 - 5 Hours Per Month/ 1 Hour During Trading
- 3) 03/26/2025 - Blueprint Investment Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:03/04/2025 - 200 Hrs/Mth - 6 Hrs During Trading.
- 4)06/30/2025 - Blueprint Wealth Management Group, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:06/06/2025 - 200 Hrs/Mth - 6 Hrs 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:	CAPITAL INVESTMENT GROUP, INC.
Allegations:	CLAIMANT ALLEGES VIOLATION OF FEDERAL AND NC SECURITIES LAW, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE AND GROSS NEGLIGENCE RELATED TO INVESTMENTS IN FOUR REIT PURCHASES AND ONE 1031 EXCHANGE.
Product Type:	Other: REIT AND 1031 EXCHANGE
Alleged Damages:	\$645,883.77
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-02932
Filing date of arbitration/CFTC reparation or civil litigation:	08/13/2012

Customer Complaint Information

Date Complaint Received:	08/20/2012
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Complaint Pending? No
Status: Settled
Status Date: 12/17/2013
Settlement Amount: \$145,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CAPITOL INVESTMENT GROUP

Allegations: CLAIMANT ALLEGES VIOLATION OF FEDERAL & NC SECURITIES LAW, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE AND GROSS NEGLIGENCE RELATED TO INVESTMENTS IN FOUR REIT PURCHASES AND ONE 1031 EXCHANGE. [CUSTOMER AND CUSTOMER]CAME INTO CAPITAL BANK IN HICKORY, NC IN THE FALL OF 2007 AND REQUESTED A MEETING WITH A FINANCIAL ADVISOR TO ASSIST THEM WITH INVESTING SOME OF THEIR \$1,000,000 THEY HAD JUST RECEIVED FROM THE SALE OF A COMMERCIAL PROPERTY. AT THIS INITIAL MEETING WE DISCUSSED THEIR RISK TOLERANCE, EXPECTATIONS FOR THIS MONEY, AND THEIR FINANCIAL GOALS. THEIR GOALS INCLUDED A HIGH PRIORITY ON TAX SHELTERS AND/OR TAX-DEFERRED VEHICLES, AS WELL AS HIGH-INTEREST BEARING VEHICLES. THE RESULT OF OUR CONVERSATIONS LED TO A MUTUAL AGREEMENT THAT A TAX-DEFERRED VARIABLE ANNUITY (\$600K) AND A PRIVATE REIT (\$200K)WAS APPROPRIATE AND SUITABLE TO ACCOMPLISH THESE GOALS. ADDITIONALLY, I ASSISTED THEM WITH A 1031 EXCHANGE WITH THE PROCEEDS FROM A CONDO IN FLORIDA THEY SOLD. THE AMOUNT OF THE 1031 WAS \$350K WHICH WAS REINVESTED INTO AN APARTMENT COMPLEX IN RALEIGH, NC AND ALLOWED THEM TO AVOID CAPITAL GAINS TAX ON THE SALE OF THE CONDO. BASED ON ALL OF THE FINANCIAL FACT FINDING AND DATA GATHERING, AS WELL AS EXTENSIVE CONVERSATIONS AND MULTIPLE METINGS (AT LEAST 8-10 MEETINGS FROM 2007-2010), TO MY KNOWLEDGE ALL OF THE INVESTMENT VEHICLES WERE APPROPRIATE AND SUITABLE FOR THE [CUSTOMERS].

Product Type: Other: PRIVATE REIT & 1031 EXCHANGE

Alleged Damages: \$645,883.77

Is this an oral complaint? No

Is this a written complaint? Yes

**Is this an arbitration/CFTC
reparation or civil litigation?** Yes

**Arbitration/Reparation forum
or court name and location:** FINRA

Docket/Case #: 12-02932

**Filing date of
arbitration/CFTC reparation
or civil litigation:** 08/13/2012

Customer Complaint Information



Date Complaint Received: 08/20/2012
Complaint Pending? No
Status: Settled
Status Date: 12/17/2013
Settlement Amount: \$145,000.00
Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CAPITAL INVESTMENT GROUP, INC.
Allegations: HUSBAND OF CUSTOMER WROTE FIRM CLAIMING HE HAD INSTRUCTED REP TO PLACE HIS WIFE'S RETIREMENT IN A FLEXIBLE EASY TO USE VEHICLE. REP PURCHASED VARIABLE ANNUITY FOR CUSTOMER.
Product Type: Annuity-Variable
Alleged Damages: \$15,000.00
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: 04/22/2008
Complaint Pending? No
Status: Settled
Status Date: 05/27/2008
Settlement Amount: \$14,897.86
Individual Contribution Amount: \$4,965.95

Broker Statement REP BELIEVES THAT CUSTOMER FULLY UNDERSTOOD AND SIGNED OFF ON PRODUCT PURCHASED. HUSBAND OF CUSTOMER HAS TAKEN EXCEPTION TO THE PRODUCT AND SEVERAL CONVERSATIONS TOOK PLACE WITH THE REP, CCO, CUSTOMER AND CUSTOMER'S HUSBAND IN AN ATTEMPT TO SORT OUT FACTS AND SETTLE THE SITUATION. THESE OCCURRED PRIOR TO THE WRITTEN COMPLAINT FILED BY THE HUSBAND OF THE CUSTOMER.



End of Report

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