



IAPD Report

SHANNON AGNES SHEHORN

CRD# 4302650

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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

SHANNON AGNES SHEHORN (CRD# 4302650)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CL WEALTH MANAGEMENT LLC	CRD# 134922	06/02/2011
B	CABOT LODGE SECURITIES LLC	CRD# 159712	06/28/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	ALLIED BEACON PARTNERS, INC.	46227	CLEARWATER, FL	05/22/2006 - 07/03/2013
IA	ALLIED BEACON PARTNERS, INC. ADVISORY	46227	CLEARWATER, FL	01/23/2007 - 04/08/2011
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	HOLIDAY, FL	03/13/2002 - 05/23/2006

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
Bond	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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CABOT LODGE SECURITIES LLC**
Main Address: 425 N MARTINGALE RD
SUITE 1220
SCHAUMBURG, IL 60173
Firm ID#: 159712

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/28/2013
B	FINRA	General Securities Representative	Approved	06/28/2013
B	FINRA	Municipal Fund	Approved	06/28/2013
B	Florida	Agent	Approved	08/01/2013
B	Ohio	Agent	Approved	01/02/2026
B	Pennsylvania	Agent	Approved	04/10/2025

Branch Office Locations

Ponte Vedra, FL

Employment 2 of 2

Firm Name: **CL WEALTH MANAGEMENT LLC**
Main Address: 425 N. MARTINGALE RD.
SUITE 1220
SCHAUMBURG, IL 60173
Firm ID#: 134922

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/02/2011



Qualifications

Regulator	Registration	Status	Date
IA Nevada	Investment Adviser Representative	Approved	08/14/2019

Branch Office Locations

CL WEALTH MANAGEMENT LLC
Ponte Vedra, FL



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

Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination (S51)	Series 51	08/14/2003
General Securities Principal Examination (S24)	Series 24	03/08/2002

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
General Securities Representative Examination (S7)	Series 7	01/30/2001

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	01/18/2007
Uniform Securities Agent State Law Examination (S63)	Series 63	11/18/2002

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
B	05/22/2006 - 07/03/2013	ALLIED BEACON PARTNERS, INC.	CRD# 46227	CLEARWATER, FL
IA	01/23/2007 - 04/08/2011	ALLIED BEACON PARTNERS, INC. ADVISORY	CRD# 46227	CLEARWATER, FL
B	03/13/2002 - 05/23/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	HOLIDAY, FL
B	02/01/2001 - 03/14/2002	PRIME CAPITAL SERVICES, INC.	CRD# 18334	POUGHKEEPSIE, 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
06/2013 - Present	CABOT LODGE SECURITIES	FINANCIAL ADVISOR	Y	Schaumburg, IL, United States
04/2011 - Present	CL WEALTH MANAGEMENT LLC	IAR	Y	Schaumburg, IL, United States
01/1980 - Present	SELF EMPLOYED	ACCOUNTANT / TAX PREPARER	N	CLEARWATER, FL, 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) Shannon Shehorn, sale of life insurance and fixed annuities, Dunedin, FL, Broker/Advisor, 11/2000, 5 hours per month, zero hours during trading hours, sales of life insurance and fixed annuities through Ash Brokerage.
- 2) Shannon Shehorn, EA, sole Proprietor, Dunedin, FL, Enrolled Agent--Tax Preparer, 1/2023, 5 hours per month, 1 hour during trading hours, provide free tax preparation to approximately 20 financial planning clients.
- 3) The sale of Tax Advisors & Financial Advisors Inc occurred on 9/1/22. As a part of the sale, I am required to provide 570 hours of time to assist with the transition for one year. This role does not involve compensation other than what was received as a result of the sale of the business.



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
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Bond	2
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Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 2

Reporting Source:	Individual
Policy Holder:	L&S SLOMS-SLOMS CONSTRUCTION
Bonding Company Name:	FRONTIER INSURANCE CO.
Disposition:	Payout
Disposition Date:	08/26/1998
Payout Details:	\$654,172 WAS PAID OUT DURING A PERIOD OF TIME IN 1996 TO COMPLETE THE PROJECT.
Broker Statement	DUE TO THE FINANCIAL DURESS CAUSED BY THE PRIOR PROJECT, SCCI WAS UNABLE TO FINANCIALLY COMPLETE THIS PROJECT AND FRONTIER HAD TO TAKE OVER THE PROJECT.

Disclosure 2 of 2

Reporting Source:	Individual
Policy Holder:	SLOMS CONSTRUCTION CO, INC.
Bonding Company Name:	INTERNATIONAL FIDELITY INS. CO.
Disposition:	Payout
Disposition Date:	10/10/1998
Payout Details:	\$340,419.00 WAS PAID OUT DURING A PERIOD OF TIME FROM 12/95 THROUGH 1996 TO COMPLETE A PROJECT.
Broker Statement	MY HUSBAND, LEE, IS THE SOLE SHAREHOLDER OF SLOMS CONSTRUCTION CO. INC. (SCCI). SCCI WAS A GENERAL CONTRACTING COMPANY WHOSE MAIN BUSINESS WAS FEDERAL GOV'T PROJECTS IN THE \$1-3 MILLION RANGE. IN ORDER TO PERFORM THESE PROJECTS, PERSONAL GUARANTEES WERE REQUIRED BY THE BONDING COMPANY. ON A PARTICULAR PROJECT FOR THE US AIR NAT'L GUARD IN CT, ON WHICH INTERNATIONAL FIDELITY HELD THE BOND, THE FEDERAL GOV'T UNLAWFULLY WITHHELD PAYMENTS TO SCCI. SCCI LEFT THE JOB AFTER 1



1/2 YEARS OF FINANCIAL DURESS CAUSED BY THE AIR NATIONAL GUARD. UNDER THE TERMS OF THE BOND THE GOV'T REQUIRED THE BONDING COMPANY TO COMPLETE THE PROJECT. THE BONDING COMPANY IN TURN PUT A JUDGMENT AGAINST US FOR THESE COMPLETION COSTS. ON APRIL 11, 2000 WE WON OUR CASE BEFORE A FEDERAL JUDGE, WHOSE DECISION WAS THAT THE FEDERAL GOV'T BREACHED THEIR CONTRACT WITH US. ALL OF THE BONDING COMPANIES COSTS HAVE TO BE REIMBURSED BY THE FEDERAL GOV'T AND IS IN THE PROCESS RIGHT NOW OF BEING NEGOTIATED. SCCI, LEE AND SHANNON SLOMS WERE FOUND TO BE 100% CORRECT IN ALL OF THEIR ACTIONS. UNFORTUNATLEY, THIS PARTICULAR EVENT AND THE LENGTH OF TIME IT TOOK TO GO TO COURT AND THE FINANCIAL DURESS IT CAUSED WAS THE DIRECT REASON A PERSONAL BANKRUPTCY BECAME NECESSARY.



End of Report

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