



IAPD Report

FRED DAVID LITTLEJOHN II

CRD# 4322183

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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

FRED DAVID LITTLEJOHN II (CRD# 4322183)

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 **02/19/2026**.

CURRENT EMPLOYERS

Firm	CRD#	Registered Since
IA LITTLEJOHN FINANCIAL SERVICES INC	CRD# 155113	11/16/2010

QUALIFICATIONS

This representative is currently registered in **0** 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 LPL FINANCIAL CORPORATION	6413	ROSEBURG, OR	02/09/2009 - 09/13/2010
IA WELLS FARGO INVESTMENTS, LLC	10582	ROSEBURG, OR	09/30/2008 - 01/20/2009
IA LPL FINANCIAL CORPORATION	6413	FLORENCE, OR	10/28/2005 - 10/03/2008

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
Civil Event	1
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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LITTLEJOHN FINANCIAL SERVICES INC**
Main Address: 2000 WEST HARVARD AVENUE
SUITE 100
ROSEBURG, OR 97471
Firm ID#: 155113

	Regulator	Registration	Status	Date
IA	Oregon	Investment Adviser Representative	Approved	11/16/2010
IA	Texas	Investment Adviser Representative	Approved	03/26/2019

Branch Office Locations

LITTLEJOHN FINANCIAL SERVICES INC
2000 WEST HARVARD AVENUE
SUITE 100
ROSEBURG, OR 97471



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, 0 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
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA B	Uniform Combined State Law Examination (S66)	Series 66	04/25/2002
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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	02/09/2009 - 09/13/2010	LPL FINANCIAL CORPORATION	CRD# 6413	ROSEBURG, OR
IA	09/30/2008 - 01/20/2009	WELLS FARGO INVESTMENTS, LLC	CRD# 10582	ROSEBURG, OR
IA	10/28/2005 - 10/03/2008	LPL FINANCIAL CORPORATION	CRD# 6413	FLORENCE, OR
IA	06/15/2004 - 11/03/2005	COMPASS CAPITAL ASSET MANAGEMENT	CRD# 13787	FLORENCE, OR
IA	07/23/2002 - 06/01/2004	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	ROSEBURG, OR
IA	06/25/2002 - 06/01/2004	NORTHWEST CONSULTING, LLC	CRD# 119231	ROSEBURG, OR

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
09/2010 - Present	LITTLEJOHN FINANCIAL SERVICES, INC	PRINCIPAL	Y	ROSEBURG, OR, United States
07/2011 - 01/2023	BIGFOOT INVESTMENTS	Consultant	Y	ROSEBURG, 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) 12/08 - PRESENT / PART OWNER WITH BROTHERS OF RENTAL PROPERTY IN EUGENE, OR / 1% TIME SPENT.
- 2) LICENSED INSURANCE AGENT IN OREGON / 5% OF THE TIME. FIXED BUSINESS ONLY.
- 3) LITTLEJOHN FINANCIAL SERVICES, INC; INVESTMENT RELATED; 2435 NW KLINE STREET STE 200 ROSEBURG, OR 97471; RIA; IAR/OWNER; START DATE: 8/2012; APPROX 100 HRS/MO
- 4) LITTLEJOHN PROPERTIES, LLC; MEMBER/MANAGER, OWNS 100% OF THE COMPANY WITH HIS SPOUSE; MANAGES RENTAL PROPERTIES; APPROX 15 HOURS PER MONTH.



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
Civil Event	1
Customer Dispute	2

Civil Event

This disclosure event involves an injunction issued by a foreign or domestic court in connection with investment-related activity, a finding by a domestic or foreign court of a violation of any investment-related statute or regulation, or an action dismissed by a domestic or foreign court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Individual
Initiated By:	Carole Machado Trust, with trustees Carole Machado and Cheri Pike
Relief Sought:	Monetary Penalty other than Fines
Date Court Action Filed:	04/29/2024
Date Notice/Process Served:	04/22/2024
Product Type:	Direct Investment-DPP & LP Interests
Type of Court:	Federal Court
Name of Court:	United States District Court for the District of Oregon Eugene Division
Location of Court:	Eugene Oregon
Docket/Case #:	No. 6:24-cv-00707-MC
Employing firm when activity occurred which led to the action:	Littlejohn Financial Services, Inc.
Allegations:	Alleged a breach of fiduciary duty, recommending an unsuitable investment, and failure to do adequate due diligence on said investment.
Current Status:	Pending
Limitations or Restrictions in Effect During Appeal:	None.
Broker Statement	My position is I introduced the client to a third party, disclosed all the risks, and served as a sounding board for an accredited investor. I received no compensation or incentive for this deal. I was asked to find alternatives to near-zero-interest fixed income. And this was referred to me by another accredited investor who also participated in the deal. I merely connected the parties. I reviewed the materials provided by the 3rd party, but I never did independent due diligence, nor did I claim



to or agree to.) I introduced my clients to a 3rd party (Kent Limson, CPA) who both brokered, underwrote, originated, and participated in a hard money loan that clients also participated in. The loan was represented as collateralized and bonded. The investment failed to perform as expected, and subsequently, the plaintiffs have initiated legal action against me. Notably, I am the sole party they have chosen to sue. Despite the fact that Kent Limson has filed a separate lawsuit against the borrowers on behalf of all participants in the investment, the plaintiffs have not included Limson or the borrowers as defendants in this case.



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:	Individual
Employing firm when activities occurred which led to the complaint:	Littlejohn Financial Services, Inc.
Allegations:	Alleged a breach of fiduciary duty, recommending an unsuitable investment, and failure to do adequate due diligence on said investment.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$1,300,000.00
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:	United States District Court for the District of Oregon Eugene Division
Docket/Case #:	No. 6:24-cv-00707-MC
Filing date of arbitration/CFTC reparation or civil litigation:	04/29/2024

Customer Complaint Information

Date Complaint Received:	04/22/2024
Complaint Pending?	Yes
Status:	
Status Date:	10/14/2025

Settlement Amount:

Individual Contribution Amount:

Civil Litigation Information

Type of Court:	Federal Court
Name of Court:	United States District Court for the District of Oregon
Location of Court:	Eugene Division
Docket/Case #:	No. 6:24-cv-00707-MC
Date Notice/Process Served:	04/22/2024
Litigation Pending?	Yes

**Disclosure 2 of 2**

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL

Allegations: CUSTOMER CLAIMS REPRESENTATIVE DID NOT LIQUIDATE FUNDS PER HER INSTRUCTIONS, RESULTING IN MARKET LOSS.

Product Type: Mutual Fund(s)

Alleged Damages: \$27,000.00

Customer Complaint Information

Date Complaint Received: 10/02/2008

Complaint Pending? No

Status: Denied

Status Date: 10/14/2008

Settlement Amount:**Individual Contribution Amount:**

Firm Statement CONTRARY TO CUSTOMER CLAIM, REVIEW ESTABLISHES CUSTOMER DID NOT WISH TO SELL PRIOR TO LARGE MARKET DROP.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL

Allegations: CUSTOMER CLAIMS REPRESENTATIVE DID NOT LIQUIDATE FUNDS PER HER INSTRUCTIONS, RESULTING IN MARKET LOSS.

Product Type: Mutual Fund(s)

Alleged Damages: \$27,000.00

Customer Complaint Information

Date Complaint Received: 10/02/2008

Complaint Pending? No

Status: Denied

Status Date: 10/14/2008

Settlement Amount:**Individual Contribution Amount:**

Broker Statement CLIENT REQUESTED ACCOUNT LIQUIDATION AFTER MARKET CLOSE VIA EMAIL ON FRIDAY, 9/26/08. I RETURNED AN EMAIL THE SAME DAY ADVISING THAT MARKET ORDERS COULD NOT BE ACCEPTED VIA EMAIL AND INSTRUCTED CLIENT TO CONTACT ME VIA PHONE. MULTIPLE PHONE NUMBERS WERE PROVIDED AS A MEANS TO REACH ME. LATER THE SAME



DAY I TENDERED MY RESIGNATION FROM THE FIRM. THIS TRIGGERED A NON-SOLICITATION CLAUSE LEGALLY FORBIDDING ME FROM COMMUNICATING WITH ANY CLIENTS OF MY FORMER FIRM. THE CLIENT NEVER CONTACTED ME AND THE FOLLOWING MONDAY (9/29/08) THE MARKETS DROPPED SUBSTANTIALLY. CLIENT CONTACTED MY FORMER FIRM ON OCT. 1, 2008 VIA EMAIL BUT NEVER FOLLOWED UP VIA PHONE AS INSTRUCTED.



End of Report

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