



## IAPD Report

# MARIE ANNE BURNS

CRD# 4379046

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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

### MARIE ANNE BURNS (CRD# 4379046)

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 **05/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	WISE WORLD INVESTMENT PLANNING	CRD# 116470	06/08/2018
<b>B</b>	LPL FINANCIAL LLC	CRD# 6413	09/24/2019

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **6** 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>B</b>	SAGEPOINT FINANCIAL, INC.	133763	CHANDLER, AZ	05/15/2018 - 09/26/2019
<b>IA</b>	WADDELL & REED	866	SCOTTSDALE, AZ	09/21/2016 - 01/26/2018
<b>B</b>	WADDELL & REED	866	SCOTTSDALE, AZ	09/02/2016 - 01/26/2018

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

#### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**  
Main Address: 1055 LPL WAY  
FORT MILL, SC 29715  
Firm ID#: 6413

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	09/24/2019
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	09/24/2019
<b>B</b> Arizona	Agent	Approved	09/24/2019
<b>B</b> Arkansas	Agent	Approved	09/24/2019
<b>B</b> Colorado	Agent	Approved	04/15/2022
<b>B</b> Florida	Agent	Approved	09/24/2019
<b>B</b> Ohio	Agent	Approved	09/24/2019
<b>B</b> Wisconsin	Agent	Approved	10/07/2019

#### Branch Office Locations

**LPL FINANCIAL LLC**  
575 W CHANDLER BLVD STE 220  
CHANDLER, AZ 85225

#### Employment 2 of 2

Firm Name: **WISE WORLD INVESTMENT PLANNING**  
Main Address: 575 W CHANDLER BLVD  
SUITE 220  
CHANDLER, AZ 85225-7534  
Firm ID#: 116470



## Qualifications

Regulator	Registration	Status	Date
<b>IA</b> Arizona	Investment Adviser Representative	Approved	06/08/2018

### Branch Office Locations

#### WISE WORLD INVESTMENT PLANNING

575 W CHANDLER BLVD  
SUITE 220  
CHANDLER, AZ 85225-7534



## 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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<b>B</b> Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
<b>B</b> General Securities Representative Examination (S7)	Series 7	08/31/2001
<b>B</b> Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/04/2001

#### State Securities Law Exams

Exam	Category	Date
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<b>IA</b> Uniform Investment Adviser Law Examination (S65)	Series 65	01/20/2006
<b>B</b> Uniform Securities Agent State Law Examination (S63)	Series 63	05/14/2001

### 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	05/15/2018 - 09/26/2019	SAGEPOINT FINANCIAL, INC.	CRD# 133763	CHANDLER, AZ
IA	09/21/2016 - 01/26/2018	WADDELL & REED	CRD# 866	SCOTTSDALE, AZ
B	09/02/2016 - 01/26/2018	WADDELL & REED	CRD# 866	SCOTTSDALE, AZ
IA	06/04/2014 - 08/22/2016	VANGUARD ADVISERS INC	CRD# 106715	SCOTTSDALE, AZ
B	05/13/2014 - 08/22/2016	VANGUARD MARKETING CORPORATION	CRD# 7452	SCOTTSDALE, AZ
B	10/22/2013 - 05/01/2014	CLIFTONLARSONALLEN WEALTH ADVISORS, LLC	CRD# 38357	PHOENIX, AZ
IA	03/12/2012 - 05/01/2014	CLIFTONLARSONALLEN WEALTH ADVISORS, LLC	CRD# 38357	PHOENIX, AZ
B	03/31/2011 - 10/21/2013	VALMARK SECURITIES, INC.	CRD# 31243	PHOENIX, AZ
IA	06/30/2011 - 02/27/2012	CLIFTON GUNDERSON WEALTH ADVISORS	CRD# 111297	PHOENIX, AZ
IA	02/07/2006 - 06/21/2011	CLIFTON GUNDERSON WEALTH MANAGEMENT	CRD# 111297	PHOENIX, AZ
B	08/09/2006 - 03/21/2011	CG BROKERAGE L.L.C.	CRD# 112033	STEVENS POINT, WI
B	12/01/2001 - 01/03/2006	U.S. BANCORP INVESTMENTS, INC.	CRD# 17868	SAINT PAUL, MN
B	05/07/2001 - 12/01/2001	FIRSTAR INVESTMENT SERVICES, INC.	CRD# 14536	MORRIS PLAINS, NJ

#### 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
08/2020 - Present	Wise World Investment Planning	Investment Adviser Representative	Y	Chandler, AZ, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2019 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	CHANDLER, AZ, United States
05/2018 - Present	Win Win Investment Planning, LLC	Investment Adviser Representative	Y	Chandler, AZ, United States
08/2016 - Present	MARIE BURNS INC	DIRECTOR/ STATUTORY AGENT	N	PHOENIX, AZ, United States
08/2016 - Present	VARIOUS INSURANCE CARRIERS	INSURANCE AGENT	Y	PHOENIX, AZ, United States
05/2018 - 09/2019	Sagepoint Financial, Inc.	Registered Representative	Y	Chandler, AZ, United States
08/2016 - 01/2018	WADDELL & REED, INC	ASSOCIATED PERSON	Y	SCOTTSDALE, AZ, United States
04/2014 - 08/2016	THE VANGUARD GROUP, INC.	REGISTERED REP	Y	SCOTTSDALE, AZ, United States
04/2014 - 08/2016	VANGUARD	SENIOR FINANCIAL ADVISOR	Y	SCOTTSDALE, AZ, 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.

- 9/24/2019 - Itty Bitty: "Before" Financial Checklist - Home Based - Other-book on getting financially organized. - Writer - Started 1/18/2018 - 40 Hours Per Month/5 Hours During Securities Trading - Book on getting financially organized. No investment or financial advice.
- 9/24/2019 - WIN WIN INVESTMENT PLANNING LLC- Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 1996.
- 9/24/2019 - FOCUS POINT PLANNING - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 01/2018.
- 9/24/2019 - Mind Money Motion - Investment Related - Home Based - Other-mind money motion dba to MARIE BURNS, INC - Started 1/18/2018 - 2 Hours Per Month/5 Hours During Securities Trading - Speaking and podcast.
- 9/24/2019 - MARIE BURNS, INC - Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Started 08/2016- 1 Hour Per Month.
- 9/24/2019 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 08/2016 - 5 Hours Per Month - Life, long term care.
- 8/27/2020 - Wise World Investment Planning - DBA: (FP) FOCUS POINT PLANNING - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Started 01/2018 - 20 Hours Per Month During Securities



## Registration & Employment History



### OTHER BUSINESS ACTIVITIES

Trading.

8. 8/27/2020 - Wise World Investment Planning - Investment Related - At Reported Business Location(s) - Registered Investment Advisor - IAR - Started 01/2018 - 20 Hours Per Month During Securities Trading - I provide financial planning and consulting services through Wise World Investment Planning, an independent investment advisor firm. I started this business activity in 1/2018. I expect to spend approximately 20 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The advisory firm is separate from and independent of LPL Financial.



## 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

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	AITHOUGH MARIE BURNS IS AN EMPLOYEE OF THE VANGUARD GROUP, INC., MARIE BURNS IS AN INVESTMENT ADVISOR REPRESENTATIVE OF VANGUARD ADVISERS INC., THE ENTITY THROUGH WHICH THE COMPLAINT WAS RECEIVED.
<b>Allegations:</b>	CLIENT ALLEGES MS. BURNS INVESTED THE CLIENT'S ASSETS IN UNSUITABLE INVESTMENTS LEADING TO AN ESTIMATED MARKET LOSS OF \$100,000.00.
<b>Product Type:</b>	Mutual Fund
<b>Alleged Damages:</b>	\$100,000.00
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	08/21/2015
<b>Complaint Pending?</b>	No
<b>Status:</b>	Closed/No Action
<b>Status Date:</b>	09/23/2015

#### Settlement Amount:

**Individual Contribution Amount:**



## Civil Litigation Information

**Disposition:****Disposition Date:** 09/23/2015**Broker Statement**

Prior to the implementation of the client's financial plan, the advisor reviewed the investment recommendations in detail with and then obtained verbal and written approval of those investments from the client. Additionally, the firm found the financial plan's investment recommendations to be appropriate and consistent with Vanguard's investment and advice methodology.

### Disclosure 2 of 2

**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** ALTHOUGH MARIE A. BURNS IS AN EMPLOYEE OF THE VANGUARD GROUP, INC., MARIE A. BURNS IS AN INVESTMENT ADVISOR REPRESENTATIVE OF**Allegations:** THE CLIENT ALLEGED THAT THE REP SOLD SECURITIES ON APRIL 16, 2015, WHILE THE CLIENT WAS STILL CONSIDERING TAX CONSEQUENCES OF THE TRADES.**Product Type:** Equity Listed (Common & Preferred Stock)**Alleged Damages:** \$99,755.99**Is this an oral complaint?** Yes**Is this a written complaint?** No**Is this an arbitration/CFTC reparation or civil litigation?** No

## Customer Complaint Information

**Date Complaint Received:** 04/17/2015**Complaint Pending?** No**Status:** Settled**Status Date:** 05/18/2015**Settlement Amount:** \$99,755.99**Individual Contribution Amount:** \$0.00**Broker Statement**

REP STATES THAT SHE MISUNDERSTOOD THE CLIENT'S AUTHORIZATION AS TO WHEN TO PLACE THE TRADES AND REALIZED THE ERROR WITHIN 24 HOURS OF PLACING THE TRADES. SHE STATES THAT SHE IMMEDIATELY MADE ATTEMPTS WITH HER MANAGEMENT TO CANCEL THE TRADES AND COMMUNICATED WITH THE CLIENT THAT SAME DAY.



## End of Report

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