



IAPD Report

STEVEN P MCTAGGART

CRD# 4748857

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8

i 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

STEVEN P MCTAGGART (CRD# 4748857)

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 **02/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	08/29/2019
IA	LPL FINANCIAL LLC	CRD# 6413	01/03/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **35** 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	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL	11/23/2019 - 03/01/2022
B	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL	11/26/2019 - 12/12/2019
IA	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL	09/05/2006 - 11/22/2019

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
Termination	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 **35** 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 Principal	Approved	08/29/2019
B	FINRA	General Securities Representative	Approved	08/29/2019
B	Alabama	Agent	Approved	08/30/2019
B	Alaska	Agent	Approved	05/19/2021
B	Arizona	Agent	Approved	09/12/2019
B	California	Agent	Approved	08/29/2019
B	Colorado	Agent	Approved	09/06/2019
B	Florida	Agent	Approved	08/30/2019
IA	Florida	Investment Adviser Representative	Approved	01/04/2022
B	Georgia	Agent	Approved	09/03/2019
B	Illinois	Agent	Approved	09/11/2019
B	Indiana	Agent	Approved	09/19/2019
B	Iowa	Agent	Approved	09/20/2019



Qualifications

Regulator	Registration	Status	Date
B Kentucky	Agent	Approved	07/28/2022
B Maine	Agent	Approved	04/30/2021
B Maryland	Agent	Approved	09/03/2019
B Massachusetts	Agent	Approved	09/06/2019
B Michigan	Agent	Approved	09/03/2019
B Minnesota	Agent	Approved	09/04/2019
B Mississippi	Agent	Approved	06/26/2025
B Missouri	Agent	Approved	08/29/2019
B Nebraska	Agent	Approved	08/29/2019
B New Hampshire	Agent	Approved	11/24/2025
B New Jersey	Agent	Approved	04/26/2024
B New York	Agent	Approved	08/30/2019
B North Carolina	Agent	Approved	11/04/2019
B Ohio	Agent	Approved	09/09/2019
B Oklahoma	Agent	Approved	09/03/2019
B Pennsylvania	Agent	Approved	09/04/2019
B South Carolina	Agent	Approved	04/29/2025
B South Dakota	Agent	Approved	02/27/2026
B Tennessee	Agent	Approved	08/29/2019



Qualifications

Regulator	Registration	Status	Date
B Texas	Agent	Approved	09/05/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/03/2022
B Virginia	Agent	Approved	09/06/2019
B Washington	Agent	Approved	09/16/2019
B West Virginia	Agent	Approved	02/05/2020
B Wisconsin	Agent	Approved	09/17/2019
B Wyoming	Agent	Approved	09/03/2019

Branch Office Locations

LPL FINANCIAL LLC
1401 SOUTH FLORIDA AVENUE
LAKELAND, FL 33803




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, 2 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	07/19/2015

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	03/05/2004

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	03/24/2004

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
IA	11/23/2019 - 03/01/2022	ALLEN & COMPANY OF FLORIDA, LLC	CRD# 25	LAKELAND, FL
B	11/26/2019 - 12/12/2019	ALLEN & COMPANY OF FLORIDA, LLC	CRD# 25	LAKELAND, FL
IA	09/05/2006 - 11/22/2019	ALLEN & COMPANY OF FLORIDA, LLC	CRD# 25	LAKELAND, FL
B	08/18/2005 - 11/22/2019	ALLEN & COMPANY OF FLORIDA, LLC	CRD# 25	LAKELAND, FL
IA	04/27/2004 - 09/14/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	TAMPA, FL
B	03/08/2004 - 09/14/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, 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
08/2019 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	LAKELAND, FL, United States
08/2005 - Present	ALLEN & COMPANY OF FLORIDA, INC.	FINANCIAL ADVISOR	Y	LAKELAND, 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.

- 9/10/2019 - 4H4 Investment, LLC - Investment Related - Las Vegas, NV 89113 - Real Estate Rental - Owner - Started 01/01/2011 - 1 Hours Per Month/0 Hours During Securities Trading - Time Spent 1%.
- 9/10/2019 - DSZ Group, Inc - Not Investment Related - 2910 Maine Lakeland, FL 33801 - Other-Business Owner - Started 04/01/2008 - Moving and storage business, part-owner.
- 11/5/2020 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 10/30/2020 - 2 Hours Per Month During Securities Trading.
- 3/1/2021 - McTaggart & Associates - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Start Date: 1/26/2021 - 4 Hours Per Month/0 Hours During Securities Trading.
- 8/30/2021 - Plutus 2 - Investment Related - Location: To Be Determined - Business Entity For Tax/Investment Purposes Only -



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Start Date: 08/10/2021 - 1 Hour Per Month/0 Hours During Securities Trading.

6. 2/4/2022 - Plutus Investments, LLC - Investment Related - Location/Address: to be determined - Real Estate Rental - Started 10/27/2020 - 1 Hour Per Month/0 Hours During Securities Trading - Looking at a couple of farms to purchase for renting.
7. 3/17/2022 - Allen & Company - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 09/03/2019 - 0 Hour Per Month/0 Hours During Securities Trading.
8. 3/17/2022 - Allen & Company of Florida, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 09/03/2019 - 0 Hour Per Month/0 Hours During Securities Trading
9. 08/14/2023 - Real Estate Rental - Investment Related - farm near Dublin Georgia - Start Date 06/01/2023 - 2 Hours Per Month/0 Hours 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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.

Termination Type: Discharged

Termination Date: 08/16/2005

Allegations: MR. MCTAGGART WAS TERMINATED FROM MERRILL LYNCH ON 8/15/2005 AFTER THEY CONCLUDED THAT THE HAD ALTERED A CLIENT DOCUMENT AND SUBMITTED IT TO THE FIRM IN ORDER TO CONDUCT A TRANSFER OF FUNDS ON THE CLIENT'S BEHALF TO THE CLIENT'S BANK ACCOUNT. THE FIRM ALSO CONCLUDED THAT MR. MCTAGGART SIGNED A CLIENT'S NAME TO A DOCUMENT WITHOUT THE CLIENT'S KNOWLEDGE. THE CLIENT WAS NOTIFIED AFTER THE FACT.

Product Type: No Product

Other Product Types:

Broker Statement DURING THE SECOND WEEK OF AUGUST 2005, A CLIENT AND FRIEND OF MORE THAN 12 YEARS, REQUESTED A WIRE TRANSFER FROM HIS BROKERAGE ACCOUNT TO HIS BANK (SAME NAME). ON A NUMBER OF OCCASIONS THIS CLIENT HAD DONE THE SAME TRANSACTION, THEREFORE WE HAD SIGNED LETTER OF AUTHORIZATION ON FILE. WHEN I SUBMITTED THE REQUEST FOR TRANSFER, I REALIZED THE AMOUNT WAS NOT THE SAME AS THE CLIENT'S REQUEST. AT THAT TIME I CHANGED THE AMOUNT. ADDITIONALLY, THE CLIENT HAD SENT STOCK POWERS ALONG WITH CERTIFICATES FOR DEPOSIT INTO THE ACCOUNT. WHEN AN EXTRA STOCK POWER WAS NEEDED, I TRACED OVER A COPY OF THE CLIENT'S SIGNATURE TO DEPOSIT THE STOCK TO HIS ACCOUNT. SINCE THE CLIENT HAS BEEN A FRIEND FOR MORE THAN 12 YEARS I WRONGLY ASSUMED I COULD MAKE THE NECESSARY CHANGES TO THE LOA AND STOCK POWER. AFTER THE FACT I NOTIFIED MY CLIENT OF MY ACTIONS OF WHICH HE APPROVED AND



RATIFIED THE SAME.



End of Report

This page is intentionally left blank.