



IAPD Report

MICHAEL PATRICK NOLAN JR

CRD# 4985415

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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

MICHAEL PATRICK NOLAN JR (CRD# 4985415)

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 **10/30/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVISOR SHARE WEALTH MANAGEMENT, LLC	CRD# 307997	10/16/2024

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	SEQUENT PLANNING, LLC	160381	ST. LOUIS, MO	07/17/2023 - 10/30/2024
IA	ALLSTATE FINANCIAL ADVISORS, LLC	109524	CHESTERFIELD, MO	01/22/2015 - 07/19/2023
B	ALLSTATE FINANCIAL SERVICES, LLC	18272	CHESTERFIELD, MO	08/19/2013 - 07/19/2023

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
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ADVISOR SHARE WEALTH MANAGEMENT, LLC**
Main Address: 13215 SE MILL PLAIN BLVD
SUITE C8-321
VANCOUVER, WA 98684
Firm ID#: 307997

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Restricted Approval	10/16/2024

Branch Office Locations

ADVISOR SHARE WEALTH MANAGEMENT, LLC
9849 MANCHESTER RD
SAINT LOUIS, MO 63119



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
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Futures Managed Funds Examination (S31)	Series 31	11/14/2006
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General Securities Representative Examination (S7)	Series 7	11/26/2005
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	08/09/2006
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Uniform Securities Agent State Law Examination (S63)	Series 63	12/30/2005
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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	07/17/2023 - 10/30/2024	SEQUENT PLANNING, LLC	CRD# 160381	ST. LOUIS, MO
IA	01/22/2015 - 07/19/2023	ALLSTATE FINANCIAL ADVISORS, LLC	CRD# 109524	CHESTERFIELD, MO
B	08/19/2013 - 07/19/2023	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	CHESTERFIELD, MO
IA	02/21/2013 - 06/19/2013	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	ST LOUIS, MO
B	07/03/2012 - 06/19/2013	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	ST LOUIS, MO
IA	04/01/2011 - 05/16/2012	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
B	03/28/2011 - 05/16/2012	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
B	06/27/2007 - 03/30/2011	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	CHESTERFIELD, MO
IA	06/27/2007 - 03/30/2011	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	CHESTERFIELD, MO
IA	08/10/2006 - 05/30/2007	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	CLAYTON, MO
B	07/05/2006 - 05/30/2007	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CLAYTON, MO
B	12/20/2005 - 07/13/2006	EDWARD JONES	CRD# 250	ST. LOUIS, MO
B	11/28/2005 - 01/03/2006	AXA ADVISORS, LLC	CRD# 6627	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
07/2023 - Present	SEQUENT PLANNING, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	ST. LOUIS, MO, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2013 - Present	Premier Personal Services LLC	Owner	N	St Louis, MO, United States
01/2015 - 07/2023	ALLSTATE FINANCIAL ADVISORS, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
08/2013 - 07/2023	ALLSTATE FINANCIAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
06/2013 - 07/2023	ALLSTATE INSURANCE CO	AGENT	N	WILDWOOD, MO, 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)PREMIER PERSONAL SERVICES LLC

POSITION: Owner NATURE: I use this to pay my assistant W2 income as well as pay my business expenses INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 12/24/2013 ADDRESS: 5075 Clayridge Dr Apt 202, St Louis MO 63129, United States DESCRIPTION: Paying My assistant and business expenses

2) BNG INSURANCE - INSURANCE AGENT WITH ADVISORSHARE (IMO) - INVESTMENT RELATED. DUTIES INCLUDE OFFERING INSURANCE PRODUCTS AND SERVICES TO CLIENTS AND PROSPECTS. SPEND 10 HRS/WEEK ON THIS ACTIVITY, DURING NORMAL TRADING HOURS.



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
Criminal	1
Customer Dispute	2

Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	N/A
Investment Related Business:	No
Position:	N/A
Formal Charges were brought in:	MUNICIPAL COURT
Name of Court:	CITY OF O'FALLON
Location of Court:	O'FALLON
Docket/Case #:	041960051
Charge Date:	09/12/2005
Charge(s) 1 of 1	
Formal Charge(s)/Description:	STEALING
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Amended
Date of Amended Charge:	01/09/2006



Charge was Amended or reduced to:	LITTERING
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	GUILTY
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	01/09/2006
Disposition Date:	01/09/2006
Sentence/Penalty:	PAID \$500 FINE ON 02/06/2005 .
Broker Statement	I WAS WITH MY BROTHER AT A BAR. HE LEFT AND TOLD ME HE HAD PAID THE BILL. HE ACTUALLY DID NOT PAY THE BILL AND WHEN I LEFT I WAS ARRESTED. MY ATTORNEY RECOMMENDED I TAKE A CONVICTION FOR LITTERING WHICH I DID



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:	ALLSTATE FINANCIAL SERVICES, LLC
Allegations:	Customer alleges the RR provided an unsuitable recommendation to invest in UITs.
Product Type:	Unit Investment Trust
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	The customer did not specify an alleged damage amount. The Firm has made a good faith determination that the alleged damages may exceed \$5,000.
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:	08/10/2023
Complaint Pending?	No
Status:	Denied
Status Date:	08/17/2023
Settlement Amount:	
Individual Contribution Amount:	
Firm Statement	The customer was a partnering registered representative on his own account.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Allstate Financial Services, LLC
Allegations:	Customer alleges that representative did not discuss her risk tolerance, specific products or surrender charges associated with the investment. Customer also alleges that a prospectus was not given to her nor did she receive the contract. Allegation period is from Sept. 2018 to June 2019.
Product Type:	Annuity-Variable



Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): The firm is unable to make a good faith determination that the damages from the alleged conduct would be less than \$5,000.

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: 06/19/2019

Complaint Pending? No

Status: Denied

Status Date: 07/10/2019

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00



End of Report

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