



IAPD Report

Scott Allan Wilson

CRD# 5174350

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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

Scott Allan Wilson (CRD# 5174350)

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 **10/24/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EMPOWER FINANCIAL SERVICES, INC.	CRD# 13109	01/19/2022
IA	EMPOWER ADVISORY GROUP, LLC	CRD# 112058	01/31/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	BANCWEST INVESTMENT SERVICES, INC. (BWIS)	29357	WICHITA, KS	04/10/2018 - 01/14/2022
B	BANCWEST INVESTMENT SERVICES, INC.	29357	WICHITA, KS	04/03/2018 - 01/14/2022
IA	CETERA INVESTMENT ADVISERS LLC	105644	PRATT, KS	10/24/2016 - 03/28/2018

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

Employment 1 of 2

Firm Name: **EMPOWER FINANCIAL SERVICES, INC.**
Main Address: 8515 E ORCHARD ROAD
GREENWOOD VILLAGE, CO 80111
Firm ID#: 13109

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/19/2022
B	Alabama	Agent	Approved	02/08/2022
B	Alaska	Agent	Approved	02/07/2022
B	Arizona	Agent	Approved	02/01/2022
B	Arkansas	Agent	Approved	02/01/2022
B	California	Agent	Approved	01/20/2022
B	Colorado	Agent	Approved	02/01/2022
B	Connecticut	Agent	Approved	01/31/2022
B	Delaware	Agent	Approved	02/03/2022
B	District of Columbia	Agent	Approved	01/24/2022
B	Florida	Agent	Approved	01/20/2022
B	Georgia	Agent	Approved	01/20/2022
B	Hawaii	Agent	Approved	03/01/2022



Qualifications

Regulator	Registration	Status	Date
B Idaho	Agent	Approved	01/19/2022
B Illinois	Agent	Approved	02/25/2022
B Indiana	Agent	Approved	02/01/2022
B Iowa	Agent	Approved	01/25/2022
B Kansas	Agent	Approved	01/19/2022
B Kentucky	Agent	Approved	02/02/2022
B Louisiana	Agent	Approved	02/07/2022
B Maine	Agent	Approved	02/01/2022
B Maryland	Agent	Approved	01/20/2022
B Massachusetts	Agent	Approved	01/20/2022
B Michigan	Agent	Approved	01/21/2022
B Minnesota	Agent	Approved	02/03/2022
B Mississippi	Agent	Approved	02/01/2022
B Missouri	Agent	Approved	01/31/2022
B Montana	Agent	Approved	02/08/2022
B Nebraska	Agent	Approved	02/01/2022
B Nevada	Agent	Approved	02/03/2022
B New Hampshire	Agent	Approved	01/25/2022
B New Jersey	Agent	Approved	02/02/2022



Qualifications

Regulator	Registration	Status	Date
B New Mexico	Agent	Approved	02/01/2022
B New York	Agent	Approved	02/01/2022
B North Carolina	Agent	Approved	01/20/2022
B North Dakota	Agent	Approved	01/31/2022
B Ohio	Agent	Approved	01/19/2022
B Oklahoma	Agent	Approved	01/31/2022
B Oregon	Agent	Approved	01/19/2022
B Pennsylvania	Agent	Approved	02/14/2022
B Puerto Rico	Agent	Approved	01/27/2022
B Rhode Island	Agent	Approved	02/03/2022
B South Carolina	Agent	Approved	02/15/2022
B South Dakota	Agent	Approved	02/03/2022
B Tennessee	Agent	Approved	01/31/2022
B Texas	Agent	Approved	01/19/2022
B Utah	Agent	Approved	01/26/2022
B Vermont	Agent	Approved	02/01/2022
B Virginia	Agent	Approved	02/03/2022
B Washington	Agent	Approved	02/01/2022
B West Virginia	Agent	Approved	02/03/2022



Qualifications

Regulator	Registration	Status	Date
B Wisconsin	Agent	Approved	01/19/2022
B Wyoming	Agent	Approved	01/21/2022

Branch Office Locations

BENEFITSCORP EQUITIES, INC.

Lee's Summit, MO

Employment 2 of 2

Firm Name: **EMPOWER ADVISORY GROUP, LLC**
Main Address: 8515 EAST ORCHARD RD 4T2
GREENWOOD VILLAGE, CO 80111
Firm ID#: 112058

Regulator	Registration	Status	Date
IA Missouri	Investment Adviser Representative	Approved	01/31/2022

Branch Office Locations

EMPOWER ADVISORY GROUP, LLC

Lee's Summit, MO



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, 2 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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General Securities Representative Examination (S7)	Series 7	08/14/2006
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State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	04/30/2007
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/17/2006
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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	04/10/2018 - 01/14/2022	BANCWEST INVESTMENT SERVICES, INC. (BWIS)	CRD# 29357	WICHITA, KS
B	04/03/2018 - 01/14/2022	BANCWEST INVESTMENT SERVICES, INC.	CRD# 29357	WICHITA, KS
IA	10/24/2016 - 03/28/2018	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	PRATT, KS
B	10/18/2016 - 03/28/2018	CETERA INVESTMENT SERVICES LLC	CRD# 15340	PRATT, KS
B	11/02/2015 - 05/18/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WICHITA, KS
IA	11/02/2015 - 05/18/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WICHITA, KS
IA	05/28/2015 - 08/03/2015	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	WICHITA, KS
B	05/27/2015 - 08/03/2015	CETERA INVESTMENT SERVICES LLC	CRD# 15340	WICHITA, KS
B	03/14/2014 - 04/22/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WICHITA, KS
IA	03/14/2014 - 04/22/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WICHITA, KS
B	07/05/2011 - 03/27/2014	LPL FINANCIAL LLC	CRD# 6413	WICHITA, KS
IA	07/05/2011 - 03/27/2014	LPL FINANCIAL LLC	CRD# 6413	WICHITA, KS
B	01/12/2009 - 07/05/2011	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	WICHITA, KS
IA	01/12/2009 - 07/05/2011	UVEST FINANCIAL SERVICES GROUP, INC.	CRD# 13787	WICHITA, KS
IA	05/02/2007 - 01/06/2009	EDWARD JONES	CRD# 250	WICHITA, KS
B	08/15/2006 - 01/06/2009	EDWARD JONES	CRD# 250	WICHITA, KS



Registration & Employment History

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
01/2022 - Present	ADVISED ASSETS GROUP, LLC	INVESTMENT ADVISER REP	Y	GREENWOOD VILLAGE, CO, United States
01/2022 - Present	GWFS EQUITIES, INC	REGISTERED REP	Y	GREENWOOD VILLAGE, CO, United States
03/2018 - 01/2022	BANK OF THE WEST	FINANCIAL ADVISOR	Y	Wichita, KS, United States
03/2018 - 01/2022	BancWest Investment Services	Financial Advisor	Y	Wichita, KS, United States
10/2016 - 03/2018	CETERA INVESTMENT ADVIERS LLC	REGISTERED INVESTMENT ADVISER REP	Y	PRATT, KS, United States
10/2016 - 03/2018	CETERA INVESTMENT SERVICES LLC	REGISTERED REP	Y	ST CLOUD, MN, United States
10/2016 - 03/2018	FIRST NATIONAL BANK IN PRATT	REGISTERED REP	Y	PRATT, KS, United States
04/2016 - 09/2016	UNEMPLOYED	UNEMPLOYED	N	MULVANE, KS, 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.

No information reported.



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	1

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 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LPL Financial LLC
Allegations:	Breach of fiduciary duty; misrepresentation; omission of facts; and unsuitability.
Product Type:	Annuity-Variable Mutual Fund Other: REIT
Alleged Damages:	\$6,205.59

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #14-02053
Date Notice/Process Served:	06/24/2014
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	04/06/2015
Disposition Detail:	Respondents are jointly and severally liable for and shall pay to Claimant the sum of \$6,205.59 in compensatory damages.

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

Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENT AND MISREPRESENTATION OF THE GRIFFEN AMERICAN HEALTHCARE REIT.

Product Type: Real Estate Security

Alleged Damages: \$6,205.59

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [14-02053](#)

Date Notice/Process Served: 07/14/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/06/2015

Monetary Compensation Amount: \$6,205.59

Individual Contribution Amount: \$0.00

Firm Statement MR. WILSON MAINTAINS THAT THIS INVESTMENT WAS SUITABLE AND APPROPRIATE FOR THE CUSTOMER. THE CUSTOMER MADE HER OWN INDEPENDENT INVESTMENT DECISION AWAY FROM BOTH THE FIRM AND MR. WILSON TO SELL HER POSITIONS ON THE SECONDARY MARKET AT A LOSS. MR. WILSON INDICATES THAT HE REPEATEDLY TOLD THE CUSTOMER TO HOLD HER POSITIONS AND IF SHE HAD SHE WOULD HAVE SUFFERED NO MONETARY LOSS. MR. WILSON MADE NO MONETARY CONTRIBUTION TO THIS AWARD.

Reporting Source: Individual

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

Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENT AND MISREPRESENTATION OF THE GRIFFEN AMERICAN HEALTHCARE REIT.

Product Type: Real Estate Security

Alleged Damages: \$6,205.59

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: 05/22/2014

Complaint Pending? No



Status: Evolved into Arbitration/CFTC reparation (the individual is a named party)

Status Date: 07/14/2014

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [14-02053](#)

Date Notice/Process Served: 07/14/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 04/06/2015

Monetary Compensation Amount: \$6,205.59

Individual Contribution Amount: \$0.00

Broker Statement

MR. WILSON MAINTAINS THAT THIS INVESTMENT WAS SUITABLE AND APPROPRIATE FOR THE CUSTOMER. THE CUSTOMER MADE HER OWN INDEPENDENT INVESTMENT DECISION AWAY FROM BOTH THE FIRM AND MR. WILSON TO SELL HER POSITIONS ON THE SECONDARY MARKET AT A LOSS. MR. WILSON INDICATES THAT HE REPEATEDLY TOLD THE CUSTOMER TO HOLD HER POSITIONS AND IF SHE HAD SHE WOULD HAVE SUFFERED NO MONETARY LOSS. MR. WILSON MADE NO MONETARY CONTRIBUTION TO THIS AWARD.



End of Report

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