



IAPD Report

SHAWN MICHAEL WYATT

CRD# 5231185

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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

SHAWN MICHAEL WYATT (CRD# 5231185)

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 **11/10/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NORTH FORK FINANCIAL, LLC	CRD# 316152	09/01/2021

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	ON INVESTMENT MANAGEMENT CO	105662	WICHITA, KS	07/10/2014 - 09/07/2021
B	THE O.N. EQUITY SALES COMPANY	2936	HUTCHINSON, KS	06/04/2014 - 09/07/2021
IA	AMERIPRISE FINANCIAL SERVICES, INC.	6363	HUTCHINSON, KS	01/03/2007 - 04/02/2012

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

Employment 1 of 1

Firm Name: **NORTH FORK FINANCIAL, LLC**
Main Address: 16 W. 4TH AVE.
SUITE A
HUTCHINSON, KS 67501
Firm ID#: 316152

Regulator	Registration	Status	Date
 Kansas	Investment Adviser Representative	Approved	09/01/2021

Branch Office Locations

NORTH FORK FINANCIAL, LLC
16 W. 4TH AVE.
SUITE A
HUTCHINSON, KS 67501



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 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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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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 General Securities Representative Examination (S7)	Series 7	06/03/2014
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	06/13/2014
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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	07/10/2014 - 09/07/2021	ON INVESTMENT MANAGEMENT CO	CRD# 105662	WICHITA, KS
B	06/04/2014 - 09/07/2021	THE O.N. EQUITY SALES COMPANY	CRD# 2936	HUTCHINSON, KS
IA	01/03/2007 - 04/02/2012	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HUTCHINSON, KS
B	12/05/2006 - 04/02/2012	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	HUTCHINSON, KS

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
09/2021 - Present	North Fork Financial, LLC	Managing Member and Chief Compliance Officer	Y	Hutchinson, KS, United States
04/2014 - Present	OHIO NATIONAL FINANCIAL SERVICES	CAREER AGENT	N	CINCINNATI, OH, United States
05/2014 - 09/2021	THE O.N. EQUITY SALES COMPANY	FINANCIAL ADVISOR	Y	WICHITA, 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.

- 1) STRATEGIC FINANCIAL CONCEPTS; NOT INVESTMENT RELATED; 216 N WACO WICHITA KS 67202; INSURANCE; AGENT; START DATE 04/14/14; HOURS/MONTH 100; HOURS/TRADING 70; SELLING LIFE,DISABILITY,LTC.
- 2). Kansas Area United Methodist Foundation; yes investment related; 100 E First Avenue, Hutchinson, KS 67501; foundation for Kansas Methodist Churches; Volunteer position, board member; 11/07/2020-present; 1 Hours/month 9 1 securities trading hours); Serve as board member in volunteer - no compensation. Also serve on financial service committee.



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
Regulatory Event	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC
Sanction(s) Sought:	Other: LETTER OF ADMONITION
Date Initiated:	07/23/2012
Docket/Case Number:	2012-0486
Employing firm when activity occurred which led to the regulatory action:	AMERIPRISE FINACIAL SERVICES
Product Type:	No Product
Allegations:	SELF DISCLOSED TO CFP BOARD: FINRA RULE 2010: THE STATE OF CO REQUIRES REGISTERED REPRESENTATIVES TO COMPLETE A 4 HR TRAINING COURSE PRIOR TO SELLING, SOLICITING OR NOGOTIATING ANNUITIES. WYATT AGREED TO TAKE THE REQUIRED CO ANNUITY TRAINING FOR HIS SUPERVISOR. WYATT LOGGED ONTO AN INSURANCE CONTINUING EDUCATION WEBSITE AS THE SUPERVISOR AND TOOK THE CO ANNUITY TRAINING. THE SUPERVISOR COMPENSATED WYATT FOR TAKING THE TRAINING FOR HER.
Current Status:	Final
Resolution:	LETTER OF ADMONITION



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/11/2014

Sanctions Ordered: Letter of Reprimand

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 10/02/2013

Docket/Case Number: [2012032428202](#)

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES, INC.

Product Type: No Product

Allegations: FINRA RULE 2010: THE STATE OF COLORADO REQUIRES REGISTERED REPRESENTATIVES TO COMPLETE A 4-HOUR TRAINING COURSE PRIOR TO SELLING, SOLICITING OR NEGOTIATING ANNUITIES. WYATT AGREED TO TAKE THE REQUIRED COLORADO ANNUITY TRAINING FOR HIS SUPERVISOR. WYATT LOGGED ONTO AN INSURANCE CONTINUING EDUCATION WEBSITE AS THE SUPERVISOR AND TOOK THE COLORADO ANNUITY TRAINING. THE SUPERVISOR COMPENSATED WYATT FOR TAKING THE TRAINING FOR HER.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 10/02/2013

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No



(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	31 DAYS
Start Date:	10/07/2013



End Date: 11/06/2013

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current: Yes

Date Paid by individual: 05/21/2014

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, WYATT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 31 DAYS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM OCTOBER 7, 2013, THROUGH NOVEMBER 6, 2013. FINE PAID IN FULL ON MAY 21, 2014.

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Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 04/18/2012

Docket/Case Number: 201203248202

Employing firm when activity occurred which led to the regulatory action: AMERIPRISE FINANCIAL SERVICES

Product Type: No Product

Allegations: FINRA RULE 2010: THE STATE OF CO REQUIRES REGISTERED REPRESENTATIVES TO COMPLETE A 4 HR TRAINING COURSE PRIOR TO SELLING, SOLICITING OR NEGOTIATING ANNUITIES. WYATT AGREED TO TAKE THE REQUIRED CO ANNUITY TRAINING FOR HIS SUPERVISOR. WYATT LOGGED ONTO AN INSURANCE CONTINUING EDUCATION WEBSITE AS THE SUPERVISOR AND TOOK THE CO ANNUITY TRAINING. THE SUPERVISOR COMPENSATED WYATT FOR TAKING THE TRAINING FOR HER.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

10/02/2013

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type:

Suspension

Capacities Affected:

ANY CAPACITY

Duration:

31 DAYS

Start Date:

10/07/2013

End Date:

11/06/2013

Monetary Sanction 1 of 1

Monetary Related Sanction:

Civil and Administrative Penalty(ies)/Fine(s)

Total Amount:

\$5,000.00

Portion Levied against individual:

\$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived?

No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, WYATT CONSENTE TO THE DESCRIBED SANCTIOS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH AN FNRA MEMBER IN ANY CAPACITY FOR 31 DAYS. TH FINE IS DUE AND PAYABLE EITHER IMMEDIATLY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUUTORY DISQUALIFICATION RESULTING FROM THIS ORANY OTHER EVENT OR PROCEEDIG, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM OCTOBER 7, 2013, THROUGH NOVEMBER 6, 2013.



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: Firm
Firm Name: AMERIPRISE FINANCIAL SERVICES, INC.
Termination Type: Discharged
Termination Date: 03/05/2012
Allegations: THE ASSOCIATED PERSON WAS TERMINATED FOR VIOLATING THE AMERIPRISE CODE OF CONDUCT.
Product Type: No Product

Reporting Source: Individual
Firm Name: AMERIPRISE FINANCIAL SERVICES, INC
Termination Type: Discharged
Termination Date: 03/05/2012
Allegations: I SELF DISCLOSED THAT I TOOK A CONTINUING EDUCATION COURSE ON BEHALF OF MY THEN SUPERVISOR/BOSS. AMERIPRISE DETERMINED THAT CONSTITUTED A VIOLATION OF THE AMERIPRISE CODE OF CONDUCT AND I WAS LET GO.
Product Type: No Product



End of Report

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