



## IAPD Report

# Bryan Roger Lawrence

CRD# 5467178

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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

### Bryan Roger Lawrence (CRD# 5467178)

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 **05/23/2024**.

### CURRENT EMPLOYERS

|    | Firm              | CRD#      | Registered Since |
|----|-------------------|-----------|------------------|
| B  | LPL FINANCIAL LLC | CRD# 6413 | 08/29/2019       |
| IA | LPL FINANCIAL LLC | CRD# 6413 | 08/29/2019       |

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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  | AMERIPRISE FINANCIAL SERVICES, INC. | 6363  | Russellville, AR | 06/22/2018 - 09/05/2019 |
| IA | AMERIPRISE FINANCIAL SERVICES, INC. | 6363  | Russellville, AR | 06/22/2018 - 09/05/2019 |
| IA | INVESTMENT PROFESSIONALS, INC.      | 30184 | Conway, AR       | 04/04/2012 - 09/24/2018 |

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 **3** 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>B</b>  | FINRA     | General Securities Representative | Approved            | 08/29/2019 |
| <b>B</b>  | Arkansas  | Agent                             | Approved            | 08/29/2019 |
| <b>IA</b> | Arkansas  | Investment Adviser Representative | Approved            | 08/29/2019 |
| <b>B</b>  | Oklahoma  | Agent                             | Approved            | 08/29/2019 |
| <b>B</b>  | Texas     | Agent                             | Approved            | 08/29/2019 |
| <b>IA</b> | Texas     | Investment Adviser Representative | Restricted Approval | 08/30/2019 |

### Branch Office Locations

**LPL FINANCIAL LLC**  
CONWAY, AR



## 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 |
|------|----------|------|
|------|----------|------|

No information reported.

#### General Industry/Product Exams

| Exam                                                        | Category | Date       |
|-------------------------------------------------------------|----------|------------|
| <b>B</b> Securities Industry Essentials Examination (SIE)   | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination (S7) | Series 7 | 02/12/2008 |

#### State Securities Law Exams

| Exam                                                            | Category  | Date       |
|-----------------------------------------------------------------|-----------|------------|
| <b>IA</b> <b>B</b> Uniform Combined State Law Examination (S66) | Series 66 | 02/29/2008 |



### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



## 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  | 06/22/2018 - 09/05/2019 | AMERIPRISE FINANCIAL SERVICES, INC. | CRD# 6363  | Russellville, AR |
| IA | 06/22/2018 - 09/05/2019 | AMERIPRISE FINANCIAL SERVICES, INC. | CRD# 6363  | Russellville, AR |
| IA | 04/04/2012 - 09/24/2018 | INVESTMENT PROFESSIONALS, INC.      | CRD# 30184 | Conway, AR       |
| B  | 03/28/2012 - 09/24/2018 | INVESTMENT PROFESSIONALS, INC.      | CRD# 30184 | Conway, AR       |
| IA | 03/28/2012 - 03/29/2012 | INVESTMENT PROFESSIONALS, INC.      | CRD# 30184 | Conway, AR       |
| IA | 03/12/2008 - 03/29/2012 | EDWARD JONES                        | CRD# 250   | LITTLE ROCK, AR  |
| B  | 02/13/2008 - 03/29/2012 | EDWARD JONES                        | CRD# 250   | LITTLE ROCK, AR  |

### 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                  | Conway, AR, United States       |
| 06/2018 - 08/2019 | AMERIPRISE FINANCIAL SERVICES, INC | Registered Rep            | Y                  | Russellville, AR, United States |
| 03/2012 - 09/2018 | INVESTMENT PROFESSIONALS INC       | FINANCIAL ADVISOR         | Y                  | SAN ANTONIO, TX, 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:** Firm

**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** FROM MARCH 1, 2011 TO FEBRUARY 3, 2012 CLIENT STATES IN SPRING OF 2011, THE CLIENT AND HER SISTER WENT TO VISIT THE FINANCIAL ADVISOR. CLIENT STATES THEY WERE INSTRUCTED TO OBTAIN AN EIN NUMBER FOR THE TRUST ACCOUNT. DURING THAT MEETING, CLIENT STATES THEY WERE INFORMED A HOLDING HAD MATURED IN THE AMOUNT OF \$44,000 AND IT WAS DECIDED THAT THEY WOULD INVEST THE FUNDS INTO AAPL STOCK AT\$248.00/SHARE. CLIENT INDICATES SHE CONTACTED FINANCIAL ADVISOR ON FEBRUARY 3, 2012 ABOUT THE EIN NUMBER AND ASKED HOW AAPL SHARES WERE DOING. CLIENT STATES SHE WAS INFORMED NO PURCHASE HAD BEEN MADE AND ADDITIONAL DOCUMENTS WOULD NEED TO BE SIGNED BY HER MOTHER IN ORDER TO HAVE FUNDS AVAILABLE FOR REINVESTMENT. CLIENT STATES THE MONEY WAS NOT REINVESTED PER THEIR INSTRUCTIONS AND THEY HAVE LOST A LARGE AMOUNT OF MONEY, AS AAPL STOCK HAS INCREASED TO \$444.00/SHARE.

**Product Type:** Equity-OTC

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS ON \$5000.00

**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: 02/07/2012

Complaint Pending? No

Status: Denied

Status Date: 03/12/2012

Settlement Amount:

Individual Contribution  
Amount:

Firm Statement

BASED ON OUR REVIEW, WE REGRET TO INFORM CLIENT NO ADJUSTMENT WILL BE MADE TO THE ACCOUNT. ACCORDING TO FINANCIAL ADVISOR HE FIRST SPOKE WITH CLIENT IN JULY 2011 AND EVENTUALLY MET WITH HER AND HER SISTER IN THE FALL OF 2011. FINANCIAL ADVISOR HAS STATED THE HARTFORD DIRECT VIII WAS REVIEWED, AS THERE IS NO LONGER A SURRENDER CHARGE ASSOCIATED WITH THE ANNUITY; HOWEVER, IT IS IMPORTANT TO NOTE THERE MAY BE SIGNIFICANT TAX CONSEQUENCES ASSOCIATED WITH SURRENDERING THE ANNUITY. FINANCIAL ADVISOR HAS STATED HE DISCUSSED INVESTMENT OPTIONS WITH CLIENTS, INCLUDING THE AMERICAN FUNDS CAPITAL INCOME BUILDER AND APPLE STOCK. IT IS OUR UNDERSTANDING CLIENTS LEFT THE OFFICE WITH A MUTUAL FUND FACT SHEET AND NO SPECIFIC TRADE INSTRUCTIONS FOR THE ANNUITY, MUTUAL FUND OR STOCK THAT WERE DISCUSSED DURING THIS MEETING. CLIENT BELIEVED THE APPLE STOCK HAD BEEN PURCHASED AT \$248.00/SHARE. HOWEVER, FIRST AND FOREMOST, THERE DOES NOT APPEAR TO HAVE BEEN FUNDS AVAILABLE TO PURCHASE THE STOCK. IN ADDITION, IN THE FALL OF 2011 APPLE STOCK WAS TRADING NEAR \$400.00/SHARE AND HAD NOT TRADED NEAR \$248.00 SINCE SEPTEMBER 2, 2010. FURTHER, CLIENT WAS RECEIVING ACCOUNT STATEMENTS, WHICH REFLECTED NO INVESTMENT CHANGES HAD BEEN MADE TO THE ACCOUNT. WE EXPECT CLIENTS TO CONTACT OUR FIRM IN A TIMELY MANNER IF THERE ARE DISCREPANCIES WITH THEIR ACCOUNT. LASTLY, CLIENT HAS INDICATED CONCERNS REGARDING THE NEED FOR A TAX IDENTIFICATION NUMBER FOR THE TRUST. HOWEVER, IT IS OUR UNDERSTANDING THIS WAS NEEDED WHEN THE CLIENT'S MOTHER RESIGNED AS TRUSTEE FOR HER TRUST AND ADDED DAUGHTERS AS CO-TRUSTEES.

Reporting Source: Individual

Employing firm when  
activities occurred which led  
to the complaint: EDWARD JONES

Allegations: FROM MARCH 1, 2011 TO FEBRUARY 3, 2012 CLIENT STATES IN SPRING OF 2011, THE CLIENT AND HER SISTER WENT TO VISIT THE FINANCIAL ADVISOR. CLIENT STATES THEY WERE INSTRUCTED TO OBTAIN AN EIN NUMBER FOR THE TRUST ACCOUNT. DURING THAT MEETING, CLIENT STATES THEY WERE INFORMED A HOLDING HAD MATURED IN THE AMOUNT OF \$44,000 AND IT WAS DECIDED THAT THEY WOULD INVEST THE FUNDS INTO AAPL STOCK AT \$248.00/SHARE. CLIENT INDICATES SHE CONTACTED FINANCIAL ADVISOR ON FEBRUARY 3, 2012



ABOUT THE EIN NUMBER AND ASKED HOW AAPL SHARES WERE DOING. CLIENT STATES SHE WAS INFORMED NO PURCHASE HAD BEEN MADE AND ADDITIONAL DOCUMENTS WOULD NEED TO BE SIGNED BY HER MOTHER IN ORDER TO HAVE FUNDS AVAILABLE FOR REINVESTMENT. CLIENT STATES THE MONEY WAS NOT REINVESTED PER THEIR INSTRUCTIONS AND THEY HAVE LOST A LARGE AMOUNT OF MONEY, AS AAPL STOCK HAS INCREASED TO \$444.00/SHARE.

**Product Type:** Equity-OTC

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** ALLEGATIONS CLAIM DAMAGES THAT APPEAR TO BE IN EXCESS ON \$5000.00

**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:** 02/07/2012

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 03/12/2012

**Settlement Amount:**

**Individual Contribution Amount:**

### Broker Statement

BASED ON OUR REVIEW, WE REGRET TO INFORM CLIENT NO ADJUSTMENT WILL BE MADE TO THE ACCOUNT. ACCORDING TO FINANCIAL ADVISOR HE FIRST SPOKE WITH CLIENT IN JULY 2011 AND EVENTUALLY MET WITH HER AND HER SISTER IN THE FALL OF 2011. FINANCIAL ADVISOR HAS STATED THE HARTFORD DIRECT VIII WAS REVIEWED, AS THERE IS NO LONGER A SURRENDER CHARGE ASSOCIATED WITH THE ANNUITY; HOWEVER, IT IS IMPORTANT TO NOTE THERE MAY BE SIGNIFICANT TAX CONSEQUENCES ASSOCIATED WITH SURRENDERING THE ANNUITY. FINANCIAL ADVISOR HAS STATED HE DISCUSSED INVESTMENT OPTIONS WITH CLIENTS, INCLUDING THE AMERICAN FUNDS CAPITAL INCOME BUILDER AND APPLE STOCK. IT IS OUR UNDERSTANDING CLIENTS LEFT THE OFFICE WITH A MUTUAL FUND FACT SHEET AND NO SPECIFIC TRADE INSTRUCTIONS FOR THE ANNUITY, MUTUAL FUND OR STOCK THAT WERE DISCUSSED DURING THIS MEETING. CLIENT BELIEVED THE APPLE STOCK HAD BEEN PURCHASED AT \$248.00/SHARE. HOWEVER, FIRST AND FOREMOST, THERE DOES NOT APPEAR TO HAVE BEEN FUNDS AVAILABLE TO PURCHASE THE STOCK. IN ADDITION, IN THE FALL OF 2011 APPLE STOCK WAS TRADING NEAR \$400.00/SHARE AND HAD NOT TRADED NEAR \$248.00 SINCE SEPTEMBER 2, 2010. FURTHER, CLIENT WAS RECEIVING ACCOUNT STATEMENTS, WHICH REFLECTED NO INVESTMENT CHANGES HAD BEEN MADE TO THE ACCOUNT. WE EXPECT CLIENTS TO CONTACT OUR FIRM IN A TIMELY MANNER IF THERE ARE DISCREPANCIES WITH THEIR ACCOUNT. LASTLY, CLIENT HAS INDICATED CONCERNS REGARDING THE NEED FOR A TAX IDENTIFICATION NUMBER FOR THE TRUST. HOWEVER, IT IS OUR UNDERSTANDING THIS WAS NEEDED WHEN THE CLIENT'S MOTHER



RESIGNED AS TRUSTEE FOR HER TRUST AND ADDED DAUGHTERS AS CO-TRUSTEES.



## End of Report

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