



IAPD Report

SEKU N SHABAZZ

CRD# 5988727

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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

SEKU N SHABAZZ (CRD# 5988727)

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 **05/22/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	GREAT LAKES RETIREMENT PLANNING LLC	CRD# 290434	11/13/2017

QUALIFICATIONS

This representative is currently registered in **0** 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
IA	GREAT LAKES FINANCING, LLC	298790	CLEVELAND, OH	10/18/2018 - 10/09/2020
IA	PRUDENTIAL FINANCIAL PLANNING SERVICES	5685	MAYFIELD HEIGHTS, OH	09/08/2015 - 10/24/2017
B	PRUCO SECURITIES, LLC.	5685	MAYFIELD HEIGHTS, OH	08/25/2015 - 10/24/2017

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	1
Customer Dispute	1
Judgment/Lien	4



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 **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GREAT LAKES RETIREMENT PLANNING LLC**
Main Address: 1300 EAST 9TH STREET
SUITE 750
CLEVELAND, OH 44114
Firm ID#: 290434

	Regulator	Registration	Status	Date
	New Hampshire	Investment Adviser Representative	Approved	12/01/2020
	Ohio	Investment Adviser Representative	Approved	11/13/2017
	Texas	Investment Adviser Representative	Restricted Approval	07/03/2019

Branch Office Locations

GREAT LAKES RETIREMENT PLANNING LLC
1300 EAST 9TH STREET
SUITE 750
CLEVELAND, OH 44114



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 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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B Securities Industry Essentials Examination (SIE)	SIE	10/24/2017
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B General Securities Representative Examination (S7)	Series 7	02/10/2014
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B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/27/2012
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State Securities Law Exams

Exam	Category	Date
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IA B Uniform Combined State Law Examination (S66)	Series 66	01/03/2015
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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	10/18/2018 - 10/09/2020	GREAT LAKES FINANCING, LLC	CRD# 298790	CLEVELAND, OH
IA	09/08/2015 - 10/24/2017	PRUDENTIAL FINANCIAL PLANNING SERVICES	CRD# 5685	MAYFIELD HEIGHTS, OH
B	08/25/2015 - 10/24/2017	PRUCO SECURITIES, LLC.	CRD# 5685	MAYFIELD HEIGHTS, OH
IA	07/10/2013 - 07/01/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
B	06/18/2013 - 07/01/2015	MML INVESTORS SERVICES, LLC	CRD# 10409	CLEVELAND, OH
B	01/30/2012 - 06/06/2013	FARMERS FINANCIAL SOLUTIONS, LLC	CRD# 103863	CLEVELAND HTS., OH

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
09/2023 - Present	Great Lakes Commerical Mortgages, LLC	President	Y	Cleveland, OH, United States
02/2023 - Present	Great Lakes Rental Mortgage, LLC	President	Y	Cleveland, OH, United States
06/2022 - Present	Great Lakes Family of Companies, LLC	President	N	Cleveland , OH, United States
01/2022 - Present	Wayne Manor Cleveland. LLC	Managing Member	Y	Cleveland, OH, United States
06/2018 - Present	GREAT LAKES LOAN SERVICING, LLC	PRESIDENT	N	Cleveland, OH, United States
10/2017 - Present	ASH BROKERAGE	INSURANCE AGENT	Y	Fort Wayne, IN, United States
10/2017 - Present	GREAT LAKES RETIREMENT PLANNING, LLC	CEO/CCO	Y	Cleveland, OH, United States
08/2018 - 02/2022	GREAT LAKES FINANCING, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	BEACHWOOD, OH, United States
08/2015 - 10/2017	PRUCO SECURITIES LLC	FINANCIAL PLANNER	Y	Newark, NJ, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2015 - 09/2017	PRUDENTIAL INSURANCE COMPANY OF AMERICA	INSURANCE AGENT	Y	Beachwood, OH, 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. Great Lakes Rental Mortgage, LLC; Originates and sells commercial mortgages for Single Family and 1-4 Family investment properties; Investment related; President; Started 09/2023; Approx 160 hrs/mo; may occur during market hours.
2. Great Lakes Loan Servicing, LLC; Originates and sells commercial mortgages for 10-250 Unit Multifamily properties; Started 10/2018; Approx 40 hrs/mo; may occur during market hours.
3. Great Lakes Commercial mortgage, LLC; underwrites & sells commercial mortgages for multi-family properties; Investment related; President; Started 9/2023; Approx 160 hrs/mo; may occur during market hours.
4. Great Lakes Family of Companies, LLC; Holding Company; President; not investment related; Started 03/2022; Approx 6 hrs/mo; may occur during market hours.
5. Great Lakes Securities, LLC; Shell corporation intending to make application for registration as a Broker/Dealer; President; not investment related; Started 04/2022; Approx 2 hrs/mo; may occur during market hours.
6. Fixed Life Insurance; Licensed Agent; Investment related; Started 02/2012; Approx 8 hrs/mo; may occur during market hours.
7. Friends of Breakthrough Public Charter Schools; non-profit providing support to inner city public schools in the city of Cleveland (k-8) students; Board Member; not investment related; Started 10/2017; Approx 10 hrs/mo; may occur during market hours.
8. Linda L. Loria Trust DTD 12/14/2014; Trustee; Investment Related; Started 12/14/2014; Approx 4 hrs/mo; may occur during market hours.
9. Wayne Manor Cleveland, LLC; Owns Real Estate; Managing Member; Investment related; Started 01/2022; Approx 4 hrs /mo; may occur during market 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
Regulatory Event	1
Customer Dispute	1
Judgment/Lien	4

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Ohio
Sanction(s) Sought:	Cease and Desist Revocation Suspension
Date Initiated:	12/29/2025
Docket/Case Number:	25-021
URL for Regulatory Action:	https://apps2.com.ohio.gov/secu/FinalOrders/
Employing firm when activity occurred which led to the regulatory action:	CLE Retirement Planning DBA Great Lakes Retirement Planning, CRD 290434
Product Type:	Investment Contract Promissory Note Real Estate Security
Allegations:	Shabazz failed to update his Form U4 regarding numerous pending litigation and judgment liens, and failed to disclose the pending litigation during an exam in July 2025. Shabazz failed to disclose outside business activities on the Form U4. Shabazz falsely represented that no advisory clients were involved in his outside investment related business activity.
Current Status:	Pending
Regulator Statement	The Division issued a Notice of Hearing and intent to suspend or revoke license of Seku Shabazz and his firm on 12/29/25, after a July 2025 exam revealed that he



failed to update his Form U4 on several occasions, failing to disclose judgment entries against him, and making false representations to the examiners.

Reporting Source: Individual

Regulatory Action Initiated By: State of Ohio, Department of Commerce, Division of Securities

Sanction(s) Sought: Revocation

Date Initiated: 12/29/2025

Docket/Case Number: 25-021

Employing firm when activity occurred which led to the regulatory action: Great Lakes Retirement Planning

Product Type: No Product

Allegations: THIS REGULATORY ACTION WAS INITIATED AGAINST CLE RETIREMENT PLANNING FOR FAILURE TO FILE TIMELY UPDATED FORM U4S ON SEVERAL OCCASIONS. THE MANAGER, CCO AND SOLE INVESTMENT ADVISER OF THE COMPANY, SEKU SHABAZZ, IS THE SUBJECT OF SEVERAL JUDGEMENT LIENS AND LEGAL ACTIONS RELATING TO HIS OUTSIDE INVESTMENT RELATED BUSINESS ACTIVITIES THAT WERE NOT DISCLOSED AND/OR NOT DISCLOSED TIMELY. SHABAZZ ALSO MADE FALSE REPRESENTATIONS TO THE EXAMINERS DURING THE JULY 2025 EXAMINATION OF THE IA FIRM.

Current Status: Pending

Broker Statement The regulatory matter brought by the Ohio Division of Securities concerns Order No. 25-021 providing Notice of Opportunity to request a hearing as to whether to revoke Ohio Investment Adviser License No. CRD 290434 should be issued against Great Lakes Retirement, Planning, and as to whether an order to revoke Investment Adviser License CRD 5988727 should be issued as to Seku Shabazz. Both Mr. Shabazz and Great Lakes Retirement Planning, LLC have each availed themselves of opportunity for a hearing.



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:	PRUCO SECURITIES, LLC.
Allegations:	CLIENT WAS MISLEAD REGARDING THE DURATION OF PREMIUM PAYMENTS.
Product Type:	Insurance
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	NO DAMAGE AMOUNT WAS ALLEGED.
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:	02/12/2019
Complaint Pending?	No
Status:	Settled
Status Date:	08/02/2019
Settlement Amount:	\$96,954.00
Individual Contribution Amount:	\$0.00



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 4

Reporting Source: Individual
Judgment/Lien Holder: Joyhn Geoffrey Bradner Jr. & Hollu Rovelli-Bradner
Judgment/Lien Amount: \$97,125.00
Judgment/Lien Type: Civil
Date Filed with Court: 07/12/2025
Date Individual Learned: 10/31/2025
Type of Court: State Court
Name of Court: Cuyahoga County Court of Common Pleas
Location of Court: Cuyahoga County, Ohio
Docket/Case #: cv-25-120723
Judgment/Lien Outstanding? Yes

Disclosure 2 of 4

Reporting Source: Individual
Judgment/Lien Holder: Sequence Financial Specialists, LLC
Judgment/Lien Amount: \$994,000.00
Judgment/Lien Type: Civil
Date Filed with Court: 10/03/2022
Date Individual Learned: 10/31/2025
Type of Court: State Court
Name of Court: Charleston County Court of Common Pleas/Cuyahoga County Court of Common Pleas
Location of Court: Charleston, SC/Cuyahoga County Ohio
Docket/Case #: SC 2022-CP/OH cv-25-114612
Judgment/Lien Outstanding? Yes

Disclosure 3 of 4

Reporting Source: Individual
Judgment/Lien Holder: Savanna Roberts
Judgment/Lien Amount: \$132,433.13
Judgment/Lien Type: Civil
Date Filed with Court: 10/23/2025
Date Individual Learned: 10/31/2025
Type of Court: State Court



Name of Court: Cuyahoga County Court of Common Pleas
Location of Court: Cuyahoga County, Ohio
Docket/Case #: cv-25-118597
Judgment/Lien Outstanding? Yes

Disclosure 4 of 4

Reporting Source: Individual
Judgment/Lien Holder: Zinoff Capital, LLC
Judgment/Lien Amount: \$388,750.00
Judgment/Lien Type: Civil
Date Filed with Court: 06/02/2025
Date Individual Learned: 10/31/2025
Type of Court: State Court
Name of Court: Cuyahoga County Court of Common Pleas
Location of Court: Cuyahoga County, Ohio
Docket/Case #: cv-25-118600
Judgment/Lien Outstanding? Yes



End of Report

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