



IAPD Report

Daniel J Guibert

CRD# 6419408

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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

Daniel J Guibert (CRD# 6419408)

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 **05/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/07/2021
IA	LPL FINANCIAL LLC	CRD# 6413	04/07/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **15** 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	CUNA BROKERAGE SERVICES, INC.	13941	FRIDLEY, MN	03/13/2020 - 03/31/2021
B	CUNA BROKERAGE SERVICES, INC.	13941	FRIDLEY, MN	03/10/2020 - 03/31/2021
B	LPL FINANCIAL LLC	6413	FRESNO, CA	09/11/2018 - 02/27/2020

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	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 **15** 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	FINRA	General Securities Representative	Approved	04/07/2021
B	Arizona	Agent	Approved	05/28/2021
B	California	Agent	Approved	05/21/2021
B	Colorado	Agent	Approved	05/24/2021
B	Delaware	Agent	Approved	03/14/2025
B	Florida	Agent	Approved	05/20/2021
B	Illinois	Agent	Approved	10/25/2022
B	Iowa	Agent	Approved	10/27/2023
B	Massachusetts	Agent	Approved	05/21/2021
B	Minnesota	Agent	Approved	04/07/2021
IA	Minnesota	Investment Adviser Representative	Approved	04/07/2021
B	Montana	Agent	Approved	08/05/2025
B	North Carolina	Agent	Approved	02/03/2025



Qualifications

Regulator	Registration	Status	Date
B Oregon	Agent	Approved	04/03/2025
B South Carolina	Agent	Approved	06/14/2021
B Texas	Agent	Approved	05/20/2021
IA Texas	Investment Adviser Representative	Restricted Approval	06/21/2021
B Wisconsin	Agent	Approved	04/15/2021

Branch Office Locations

LPL FINANCIAL LLC
757 CLEVELAND AVE S
ST PAUL, MN 55116

LPL FINANCIAL LLC
1400 RIVERWOOD DR
BURNSVILLE, MN 55337

LPL FINANCIAL LLC
6303 CENTRAL AVE NE
FRIDLEY, MN 55432

LPL FINANCIAL LLC
3420 DIVISION ST ST
ST CLOUD, MN 56301

LPL FINANCIAL LLC
7860 32ND AVE N
OAKDALE, MN 55128

LPL FINANCIAL LLC
2150 LEXINGTON AVE N
ROSEVILLE, MN 55113

LPL FINANCIAL LLC
2817 LYNDALE AVE S
MINNEAPOLIS, MN 55408

LPL FINANCIAL LLC
17533 CEDAR AVE
LAKEVILLE, MN 55044

LPL FINANCIAL LLC
14300 NICOLLET CT
BURNSVILLE, MN 55306

LPL FINANCIAL LLC
2772 EAST 82ND STREET
BLOOMINGTON, MN 55425

LPL FINANCIAL LLC
5703 100TH AVENUE N
BROOKLYN PARK, MN 55443

LPL FINANCIAL LLC
7851 ELM CREEK BLVD
MAPLE GROVE, MN 55369

LPL FINANCIAL LLC
4290 DEAN LAKE BLVD
SHAKOPEE, MN 55379

LPL FINANCIAL LLC
14115 JAMES RD STE 300
ROGERS, MN 55374

LPL FINANCIAL LLC
7905 GREAT PLAINS BLVD
CHANHASSEN, MN 55317

LPL FINANCIAL LLC
605 BOONE AVE N
GOLDEN VALLEY, MN 55427

LPL FINANCIAL LLC
2535 27TH AVE S
MINNEAPOLIS, MN 55406

LPL FINANCIAL LLC
3990 MAIN STREET NW
COON RAPIDS, MN 55448



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	01/07/2015
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	01/23/2015
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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	03/13/2020 - 03/31/2021	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	FRIDLEY, MN
B	03/10/2020 - 03/31/2021	CUNA BROKERAGE SERVICES, INC.	CRD# 13941	FRIDLEY, MN
B	09/11/2018 - 02/27/2020	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
IA	09/10/2018 - 02/27/2020	LPL FINANCIAL LLC	CRD# 6413	FRESNO, CA
B	03/30/2018 - 06/04/2018	ASCENDANT ALTERNATIVE STRATEGIES, LLC	CRD# 283881	Austin, TX
IA	04/19/2016 - 01/22/2018	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	AUSTIN, TX
B	10/16/2015 - 01/22/2018	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	AUSTIN, TX
IA	10/16/2015 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	AUSTIN, TX
IA	01/26/2015 - 07/30/2015	EDWARD JONES	CRD# 250	AUSTIN, TX
B	01/07/2015 - 07/30/2015	EDWARD JONES	CRD# 250	AUSTIN, TX

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
04/2021 - Present	LPL Financial LLC	Registered Representative	Y	St Paul, MN, United States
04/2021 - Present	Truestone Financial Credit Union	Financial Consultant	Y	St Paul, MN, United States
03/2020 - 03/2021	CUNA Brokerage Services, Inc.	Registered Representative	Y	Waverly, IA, United States
03/2020 - 03/2021	CUNA Mutual Group	Agent	Y	Waverly, IA, United States
09/2018 - 02/2020	LPL Financial LLC	Registered Representative	Y	Fresno, CA, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
07/2018 - 08/2018	Alorica	Client Relations	N	Fresno, CA, United States
03/2018 - 06/2018	Ascendant Alternative Strategies	REGISTERED REP	Y	New York, NY, United States
04/2016 - 01/2018	KESTRA FINANCIAL SERVICES, INC	REGISTERED REP	Y	Austin, 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.

- 1) 03/24/2022 - TruStone Financial Advisors - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 05/23/2022 - 40 Hours Per Month/ 40 Hours During Securities Trading.



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	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 2

Reporting Source:	Individual
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	HILLSBOROUGH COUNTY FELONY TRAFFIC COURT
Location of Court:	HILLSBOROUGH COUNTY FLORIDA
Docket/Case #:	06-CF-000817
Charge Date:	01/12/2006
Charge(s) 1 of 1	
Formal Charge(s)/Description:	DRIVING ON A SUSPENDED/REVOKED LICENSE - HABITUAL OFFENDER
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NO PLEA
Disposition of charge:	Reduced
Date of Amended Charge:	08/09/2006



Charge was Amended or reduced to: NO VALID DRIVERS LICENSE, SECOND DEGREE MISDEMEANOR

Amended No of Counts: 1

Amended Charge: Misdemeanor

Amended Plea: GUILTY

Disposition of Amended Charge: Pled guilty

Current Status: Final

Status Date: 08/09/2006

Disposition Date: 08/09/2006

Sentence/Penalty: GUILTY PLEA TO A SECOND DEGREE MISDEMEANOR, PAID COURT COSTS 10/2006 IN FULL

Broker Statement I WAS CONVICTED OF A MISDEMEANOR IN 2006 AND PENALTY WAS PAID IN FULL. ISSUE WAS TRAFFIC RELATED AND HAS BEEN DISCLOSED TO MY EMPLOYER.

Disclosure 2 of 2

Reporting Source: Individual

If charge(s) were brought against an organization over which individual exercised control:

Organization Name:

Investment Related Business: No

Position:

Formal Charges were brought in: NEVER APPEARED IN COURT

Name of Court: N/A

Location of Court: N/A

Docket/Case #: 00493290

Charge Date: 02/14/2002

Charge(s) 1 of 1

Formal Charge(s)/Description: PETIT THEFT

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: NO PLEA ENTERED

Disposition of charge: Dismissed

Current Status: Final

Status Date: 03/09/2002



Disposition Date:	03/09/2002
Sentence/Penalty:	NO PENALTY CHARGED
Broker Statement	I WAS ARRESTED FOR DRIVING WITH A TEMPORARY TAG ON A CAR THAT HAD BEEN REGISTERED AS STOLEN BY THE DEALER. THE DEALER NEVER BROUGHT CHARGES AGAINST ME AS THIS WAS NO FAULT OF MINE.



End of Report

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