



IAPD Report

Philip Clyde Sessoms Jr.

CRD# 6668590

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6

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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

Philip Clyde Sessoms Jr. (CRD# 6668590)

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 **12/15/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	03/27/2017
B	MUTUAL OF OMAHA INVESTOR SERVICES, INC.	CRD# 611	08/15/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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
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No information reported.

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

Employment 1 of 1

Firm Name: **MUTUAL OF OMAHA INVESTOR SERVICES, INC.**
Main Address: 3300 MUTUAL OF OMAHA PLAZA
OMAHA, NE 68175-1020
Firm ID#: 611

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	08/15/2017
B	Arizona	Agent	Approved	03/17/2020
B	District of Columbia	Agent	Approved	10/19/2017
B	Florida	Agent	Approved	12/06/2017
B	Georgia	Agent	Approved	07/27/2022
B	Maryland	Agent	Approved	10/19/2017
B	North Carolina	Agent	Approved	03/17/2020
B	Pennsylvania	Agent	Approved	07/10/2024
B	South Carolina	Agent	Approved	08/01/2022
IA	Virginia	Investment Adviser Representative	Approved	03/27/2017
B	Virginia	Agent	Approved	09/06/2017
B	Washington	Agent	Approved	04/15/2021

Branch Office Locations



Qualifications

MUTUAL OF OMAHA INVESTOR SERVICES, INC.

23710 Schooler Plz
Suite 275
Brambleton, VA 20148



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
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/15/2017

State Securities Law Exams

Exam	Category	Date
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Uniform Securities Agent State Law Examination (S63)	Series 63	08/30/2017
Uniform Investment Adviser Law Examination (S65)	Series 65	03/27/2017

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

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:

No information reported.

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
02/2017 - Present	Mutual of Omaha Insurance Company	Insurance Agent	N	Manassas, VA, United States
02/2017 - Present	Mutual of Omaha Investment Services	Registered Representative	Y	Manassas, VA, United States
10/2016 - 11/2016	unemployed	unemployed	N	Aldie, VA, United States
06/2016 - 09/2016	Edward Jones	Financial Advisor Trainee	Y	Aldie, VA, United States
09/2014 - 09/2016	self-employed	tutor	N	Aldie, VA, United States
10/2014 - 06/2016	Oxford Learning Center/South Riding Learning Center	Tutor	Y	South Riding, VA, United States
08/2007 - 06/2016	Loudoun County Public Schools	Teacher	N	South Riding, VA, 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) Insurance Agent - Start Date: 11/2016 - Non-investment Related - Insurance lines of business: Life, disability, LTC, annuities, and group health. - Hours/per week during trading hours: 40 Mutual of Omaha Insurance Company -- insurance agent
- 2) Mutual of Omaha Mortgage Lead Incentive Program; not investment related. Less than 1 hour per week. Submit qualified forward/reverse mortgage leads to Mutual of Omaha Mortgage when a customer indicates a potential need for these services.
- 3) Sessoms Consulting LLC for tax purposes; d.b.a. Philip Sessoms Financial Services, a.k.a. Financial Phil.



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
Criminal	1
Customer Dispute	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:	State Bar of California
Sanction(s) Sought:	Suspension
Date Initiated:	07/21/1997
Docket/Case Number:	137988
Employing firm when activity occurred which led to the regulatory action:	Sessoms & Sessoms, P.C.
Product Type:	No Product
Allegations:	From 1997 to 2002, I was suspended by the State Bar of California for failing to pay my membership dues. I was not practicing law during that period. In 2002, I paid the back dues and returned to "inactive" status. In 2014, I returned to "active" status and remain on active status to this date, despite having never practiced law during that time.
Current Status:	Final
Resolution:	paid all dues including back dues



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: 04/16/2002

Sanctions Ordered: Suspension
Other: none

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: n/a

Duration: five years

Start Date: 07/21/1997

End Date: 04/16/2002

Disclosure 2 of 2

Reporting Source: Individual

Regulatory Action Initiated By: Virginia State Bar

Sanction(s) Sought: Revocation

Date Initiated: 10/19/1999

Docket/Case Number: 98-060-1803/99-060-0719

Employing firm when activity occurred which led to the regulatory action: Sessoms & Sessoms, P.C.

Product Type: No Product

Allegations: In 1996, I closed my legal practice in Williamsburg, Virginia. As part of that course of action, I closed my case files. Two clients later complained to the Virginia State Bar about the way I closed their files. Rather than incur the cost and time required to defend myself, and knowing that I would never want to practice law again, I elected to surrender my law license in Virginia.

Current Status: Final

Resolution: Order

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: 10/20/1999

Sanctions Ordered: Revocation



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 1

Reporting Source:	Individual
Formal Charges were brought in:	State Court
Name of Court:	Albemarle County General District Court
Location of Court:	Charlottesville, VA
Docket/Case #:	C477857
Charge Date:	10/06/1984
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Arson -- On or about October 4, 1984, as an undergraduate student at the University of Virginia, I was involved in an incident that led to me being convicted of misdemeanor destruction of property. Two other students and I went to visit two girls at their dorm room after a fraternity rush party. We damaged 4 floor tiles with a small fire. The University replaced them. I had to perform 40 hours of community service and pay a \$40 fine and court costs before I graduated from school that May.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Reduced
Date of Amended Charge:	11/13/1984
Charge was Amended or reduced to:	Misdemeanor destruction of public property
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Not guilty
Disposition of Amended Charge:	Convicted
Current Status:	Final
Status Date:	11/13/1984
Disposition Date:	11/13/1984
Sentence/Penalty:	I had to perform 40 hours of community service and pay a \$40 fine and court costs before I graduated from school that May.



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:	Individual
Employing firm when activities occurred which led to the complaint:	MUTUAL OF OMAHA INVESTOR SERVICES, INC.
Allegations:	Clients alleged they incurred tax liability resulting from the representative's guidance to sell company stock options in order to pay life insurance premiums. The firm's review found no evidence of mishandling by the representative. To bring resolution to this matter, the insurance company rescinded clients' fixed life insurance contracts with premiums refunded.
Product Type:	Insurance
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	No specific damage amount alleged, however, the Firm believes alleged compensatory damages to be \$5000 or more.
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:	07/21/2021
Complaint Pending?	No
Status:	Settled
Status Date:	09/15/2021
Settlement Amount:	\$0.00
Individual Contribution Amount:	\$0.00
Broker Statement	Representative disputes clients' allegations and indicates clients were provided with information over multiple meetings related to their financial needs and retirement strategies. Representative further indicates clients were advised to discuss their situation with their accountant or tax advisor.



End of Report

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