



IAPD Report

James Anthony Delaney

CRD# 6702228

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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

James Anthony Delaney (CRD# 6702228)

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 **11/21/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	NEXT FINANCIAL GROUP, INC.	46214	Madison, WI	06/13/2023 - 07/10/2025
IA	NEXT FINANCIAL GROUP, INC.	46214	Madison, WI	06/13/2023 - 07/10/2025
IA	TRANSAMERICA FINANCIAL ADVISORS, INC.	16164	MADISON, WI	10/21/2021 - 06/21/2023

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 2 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	Invest. Co and Variable Contracts	Approved	07/10/2025
B	Florida	Agent	Approved	07/11/2025
B	Wisconsin	Agent	Approved	07/10/2025
IA	Wisconsin	Investment Adviser Representative	Approved	07/10/2025

Branch Office Locations

LPL FINANCIAL LLC
5555 ODANA ROAD SUITE 104
MADISON, WI 53719



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
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	02/16/2017

State Securities Law Exams

Exam	Category	Date
------	----------	------

Uniform Investment Adviser Law Examination (S65)	Series 65	08/02/2017
Uniform Securities Agent State Law Examination (S63)	Series 63	01/10/2017

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
B	06/13/2023 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	Madison, WI
IA	06/13/2023 - 07/10/2025	NEXT FINANCIAL GROUP, INC.	CRD# 46214	Madison, WI
IA	10/21/2021 - 06/21/2023	TRANSAMERICA FINANCIAL ADVISORS, INC.	CRD# 16164	MADISON, WI
B	10/20/2021 - 06/21/2023	TRANSAMERICA FINANCIAL ADVISORS, INC	CRD# 16164	MADISON, WI
IA	02/15/2019 - 12/31/2019	ON INVESTMENT MANAGEMENT CO	CRD# 105662	Madison, WI
B	02/16/2017 - 12/31/2019	THE O.N. EQUITY SALES COMPANY	CRD# 2936	MADISON, WI

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	Madison, WI, United States
03/2014 - Present	Delaney Brothers LLC	Managing Member	N	Madison, WI, United States
12/2012 - Present	Delaney's Charcoal Steaks, Inc	Co-owner	N	Madison, WI, United States
06/2023 - 07/2025	Next Financial Group	Registered Rep	Y	Madison, WI, United States
04/2017 - 07/2025	Dublin Profits LLC	Co-Owner	N	Madison, WI, United States
04/2017 - 07/2025	Real Suite Assets LLC	Co-Owner	N	Madison, WI, United States
01/2014 - 07/2025	Tony Drzewiecki LLC	Owner	N	Madison, WI, United States
10/2021 - 06/2023	Transamerica Financial Advisor	Registered Rep	Y	Madison, WI, United States
05/2021 - 06/2023	World Financial Group	Agent	N	Madison, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2012 - 08/2020	Wisconsin Financial Group, inc	agent	N	Madison, WI, United States
10/2016 - 12/2019	Ohio National Financial Services	AGENT	N	CINCINNATI, OH, United States
10/2016 - 12/2019	THE O.N. EQUITY SALES COMPANY	REGISTERED REP	Y	CINCINNATI, 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 - 07/2025 - Shepherd Financial Advisors - DBA for LPL Business (entity for LPL business) - Inv Related - 152 Hours/Month - 152 Hours During Trading - At reported business location(s).
- 2 - 07/2025 - Delaney Charcoal Steaks, Inc. - Business Owner - Not Inv Related - 8 Hours/Month - Madison, WI - OBA Start Date: 12/31/2012.
- 3 - 07/2025 - Delaney Brothers LLC - Real Estate Rental - Inv Related - 2 Hours/Month - Madison, WI - OBA Start Date: 12/31/2012.
- 4 - 07/2025 - James Delaney - Real Estate Rental - Inv Related - 2 Hours/Month - Madison, WI - OBA Start Date: 09/09/1994.
- 5 - 07/2025 - James & Wendy Delaney JTWR0S - Real Estate Rental - Inv Related - 2 Hours/Month - Madison, WI - OBA Start Date: 05/14/2004.
- 6 - 07/2025 - James Delaney - Non-Variable Insurance - Inv Related - 2 Hours/Month - Madison, WI - OBA Start Date: 05/23/2025.
- 7- 11/05/2025 - Sierra Ridge Advisor Group - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 10/01/2025 - 1 hour per month/ during trading
- 8- 11/05/2025 - Sierra Ridge Wealth Management - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business Location(s) - Start Date 10/01/2025 - 1 hour per month/ during 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:	N/A
Investment Related Business:	
Position:	
Formal Charges were brought in:	State Court
Name of Court:	Dane County Circuit Court
Location of Court:	Madison, WI
Docket/Case #:	91 CF 00062
Charge Date:	01/16/1991
Charge(s) 1 of 1	
Formal Charge(s)/Description:	2nd degree reckless endangering safety
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	no contest
Disposition of charge:	Deferred Adjudication
Date of Amended Charge:	03/20/1995



Charge was Amended or reduced to: Battery

Amended No of Counts: 1

Amended Charge: Misdemeanor

Amended Plea: No contest

Disposition of Amended Charge: Convicted

Current Status: Final

Status Date: 06/17/1992

Disposition Date: 03/21/1995

Sentence/Penalty: Sentence:1 year probation
Stat Date of Penalty: 06/17/1991
End date of Penalty: 06/17/1992
No Monetary fine.

Broker Statement I received a battery charge for fighting with an uninvited male inside my residence. I successfully completed a one-year probation.

Disclosure 2 of 2

Reporting Source: Individual

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

Organization Name: N/A

Investment Related Business:

Position:

Formal Charges were brought in: State Court

Name of Court: Ozaukee County Circuit Court Branch III

Location of Court: Ozaukee County, WI

Docket/Case #: 92-CM-00243 B3

Charge Date: 05/19/1992

Charge(s) 1 of 1

Formal Charge(s)/Description: Theft

No of Counts: 1

Felony or Misdemeanor: Misdemeanor

Plea for each charge: Not guilty

Disposition of charge: Dismissed

Current Status: Final



Status Date:	05/15/1992
Disposition Date:	11/18/1992
Sentence/Penalty:	None. Case dismissed.
Broker Statement	This charge was dismissed.



End of Report

This page is intentionally left blank.