



IAPD Report

ALLEN FREDERICK SECOR JR

CRD# 827902

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5 - 6
Disclosure Information	7



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

ALLEN FREDERICK SECOR JR (CRD# 827902)

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 **12/20/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	GWN SECURITIES INC.	CRD# 128929	07/23/2004
IA	GWN SECURITIES INC.	CRD# 128929	03/04/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	PMG SECURITIES CORPORATION	27107	ELGIN, IL	07/05/1996 - 07/23/2004
B	LEGEND EQUITIES CORPORATION	30999	PALM BEACH GARDENS, FL	07/27/1993 - 07/22/1996
B	LEGEND CAPITAL CORPORATION	4149	PALM BEACH GARDENS, FL	08/23/1979 - 12/31/1993

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
Termination	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 **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **GWN SECURITIES INC.**
Main Address: 11440 NORTH JOG ROAD
PALM BEACH GARDENS, FL 33418-3764
Firm ID#: 128929

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	07/23/2004
B	FINRA	General Securities Representative	Approved	07/23/2004
B	California	Agent	Approved	07/23/2004
B	Connecticut	Agent	Approved	01/04/2006
B	Florida	Agent	Approved	07/23/2004
B	Maryland	Agent	Approved	12/03/2015
B	Nevada	Agent	Approved	07/23/2004
B	New Mexico	Agent	Approved	01/05/2006
B	New York	Agent	Approved	07/23/2004
IA	New York	Investment Adviser Representative	Approved	02/07/2022
B	North Carolina	Agent	Approved	07/23/2004
B	Ohio	Agent	Approved	07/23/2004
B	Pennsylvania	Agent	Approved	07/23/2004



Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	07/23/2004
IA	South Carolina	Investment Adviser Representative	Approved	03/04/2019
B	Texas	Agent	Approved	12/09/2004
B	Virginia	Agent	Approved	07/23/2004

Branch Office Locations

GWN SECURITIES INC.
LANDRUM, SC

GWN SECURITIES INC.
WILLIAMSVILLE, NY



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 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	06/19/1984

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	04/14/1984
B	Registered Representative Examination (S1)	Series 1	09/21/1976

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/27/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/22/1980



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	07/05/1996 - 07/23/2004	PMG SECURITIES CORPORATION	CRD# 27107	ELGIN, IL
B	07/27/1993 - 07/22/1996	LEGEND EQUITIES CORPORATION	CRD# 30999	PALM BEACH GARDEN:
B	08/23/1979 - 12/31/1993	LEGEND CAPITAL CORPORATION	CRD# 4149	PALM BEACH GARDEN:
B	10/01/1976 - 09/13/1979	MUTUAL OF OMAHA FUND MANAGEMENT COMPANY	CRD# 611	

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
07/2004 - Present	GWN SECURITIES INC.	REG. REP.	Y	PALM BEACH GARDENS, FL, 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.

GREAT LAKES FINANCIAL GROUP, INC

POSITION: President. NATURE: Marketing company INVESTMENT RELATED: YES HOURS: 60 INVESTMENT RELATED

HOURS: 0 START DATE: 01/05/2011

ADDRESS: 11 Flint Hill Ln. Landrum, SC 29356

DESCRIPTION: President.

THE NORMAN A SCHOELL CHARITABLE FOUNDATION, INC

POSITION: Director NATURE: foundation INVESTMENT RELATED: NO HOURS: 1 INVESTMENT RELATED HOURS: 0 START DATE: 06/15/2006

ADDRESS: 7 Corporate Center Court, Ste B, Greensboro, NC 27408

DESCRIPTION: Director.

LIFE INSURANCE

POSITION: Agent NATURE: LIFE INSURANCE, LONG TERM CARE INSURANCE, DISABILITY INSURANCE INVESTMENT RELATED: NO HOURS: 5 INVESTMENT RELATED HOURS: 0 START DATE: 07/01/1974

ADDRESS: 11 Flint Hill Ln. Landrum, SC 29356

DESCRIPTION: Sales and service of life insurance.

SECOR FAMILY ASSEMBLY Is Not Investment Related, Humanitarian Projects, Manager, 2022-03-01, 30 hours per month, 0



Registration & Employment History



OTHER BUSINESS ACTIVITIES

hours per month during trading hours, No Compensation Compensation, "As Manager of the organization, it will be my responsibility to review and approve projects brought to the group prior to funding and implementation."

MUSICIAN

POSITION: Musician NATURE: musician for hire INVESTMENT RELATED: NO HOURS: 1 INVESTMENT RELATED HOURS: 0

START DATE: 7/1/1970

ADDRESS: 11 Flint Hill Ln. Landrum, SC 29356

DESCRIPTION: Play Bass Trombone in big bands.



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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Individual

Firm Name: LEGEND EQUITIES CORPORATION

Termination Type: Permitted to Resign

Termination Date: 06/21/1996

Allegations: FILE NO. E8B960388
LEGEND EQUITIES CORP., MY FORMER
BROKER/DEALER, MADE CERTAIN BASELESS ALLEGATIONS AGAINST ME
WITH RESPECT TO POSSIBLE RULES VIOLATIONS. THESE ALLEGATIONS
WERE MADE AS A RESULT OF MY DECISION TO TERMINATE MY
AGREEMENT
WITH LEGEND AND BECOME AFFILIATED WITH PMG SECURITIES
CORPORATION.

Product Type:

Other Product Types:

Broker Statement THE INVESTIGATION WAS TERMINATED BY
NASD-DISTRICT 8 BECAUSE OF NASD'S DETERMINATION THAT "NO ACTION
AGAINST YOU IS WARRANTED..." THERE WERE NO PENALTIES, FINES OR
ASSESSMENTS LEVIED AGAINST ME NOR WERE ANY OTHER COMPLAINTS
FILED, TO MY KNOWLEDGE, WITH NASD.
IN JUNE 1996 I DETERMINED THAT IT WOULD BE IN MY
BEST INTERESTS TO LEAVE LEGEND EQUITIES CORPORATION AND
BECOME
AFFILIATED WITH PMG SECURITIES CORPORATION. OUT OF SPITE AND IN
AN ATTEMPT TO RENDER ME INCAPABLE OF PROVIDING SERVICES TO
CLIENTS (IN THE HOPES THESE CLIENTS WOULD REMAIN WITH LEGEND),
LEGEND DELAYED FILING ITS U-5 FOR 28 DAYS, AND, WHEN FILED, THE
U-5 CONTAINED SPURIOUS AND UNFOUNDED CHARGES AND COMPLAINTS
AGAINST ME. THE SPURIOUS NATURE OF LEGEND'S ALLEGATIONS IS



SHOWN BY THE DISMISSAL OF THE INVESTIGATION BY NASD.



End of Report

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