



IAPD Report

VINCENT ROBERT GALLAGHER

CRD# 844534

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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

VINCENT ROBERT GALLAGHER (CRD# 844534)

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 **03/19/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	04/27/2023
IA	LPL FINANCIAL LLC	CRD# 6413	04/27/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **25** 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	CETERA ADVISOR NETWORKS LLC	13572	BRIDGEPORT, OH	05/02/2016 - 04/27/2023
IA	CETERA ADVISOR NETWORKS LLC	13572	BRIDGEPORT, OH	05/02/2016 - 04/27/2023
IA	KESTRA ADVISORY SERVICES, LLC	283330	WHEELING, WV	04/21/2016 - 04/29/2016

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	1
Customer Dispute	3
Termination	1
Financial	1



Report Summary



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 **25** 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	04/27/2023
B	California	Agent	Approved	10/05/2023
B	Colorado	Agent	Approved	04/27/2023
B	Florida	Agent	Approved	04/27/2023
B	Georgia	Agent	Approved	04/27/2023
B	Indiana	Agent	Approved	04/27/2023
B	Maryland	Agent	Approved	04/27/2023
B	Massachusetts	Agent	Approved	05/30/2023
B	Michigan	Agent	Approved	03/24/2026
B	Minnesota	Agent	Approved	05/01/2023
B	Nebraska	Agent	Approved	04/27/2023
B	New Hampshire	Agent	Approved	04/27/2023
B	New Jersey	Agent	Approved	05/01/2023



Qualifications

Regulator	Registration	Status	Date
B New York	Agent	Approved	04/27/2023
B North Carolina	Agent	Approved	04/27/2023
B Ohio	Agent	Approved	04/27/2023
IA Ohio	Investment Adviser Representative	Approved	04/27/2023
B Oregon	Agent	Approved	01/23/2025
B Pennsylvania	Agent	Approved	04/27/2023
B South Carolina	Agent	Approved	05/02/2023
B Tennessee	Agent	Approved	09/26/2023
B Texas	Agent	Approved	04/27/2023
IA Texas	Investment Adviser Representative	Restricted Approval	04/27/2023
B Utah	Agent	Approved	04/27/2023
B Virginia	Agent	Approved	04/27/2023
B Washington	Agent	Approved	04/27/2023
B West Virginia	Agent	Approved	04/27/2023
B Wisconsin	Agent	Approved	04/09/2025

Branch Office Locations

LPL FINANCIAL LLC
300 HOWARD ST. STE 1
BRIDGEPORT, OH 43912



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 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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 General Securities Representative Examination (S7TO)	Series 7TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/15/1977

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	07/30/1999
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/17/1981

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	05/02/2016 - 04/27/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	BRIDGEPORT, OH
IA	05/02/2016 - 04/27/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	BRIDGEPORT, OH
IA	04/21/2016 - 04/29/2016	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	WHEELING, WV
IA	03/27/2006 - 04/29/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	WHEELING, WV
B	03/15/2006 - 04/29/2016	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	WHEELING, WV
B	10/20/2000 - 03/03/2006	HAZLETT, BURT & WATSON, INC.	CRD# 396	WHEELING, WV
B	06/26/1980 - 11/17/2000	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY

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
04/2023 - Present	LPL Financial LLC	Registered Representative	Y	Bridgeport, CT, United States
05/2016 - 04/2023	CETERA ADVISOR NETWORKS LLC	REGISTERED REP/IAR	Y	EL SEGUNDO, CA, 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) 04/2023 - Pathway Growth Partners, LLC - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) - Start: 04/2016 - 120 Hr/Mth



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	1
Customer Dispute	3
Termination	1
Financial	1

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

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: COUNTY COURT OF ORANGE COUNTY, FLORIDA
CASE # MW97-2207

Charge Date: 06/02/1997

Charge Details:
1. ONE
2. MISDEMEANOR
3. NOT GUILTY
4. NOT INVESTMENT RELATED

Felony? No

Current Status: Final

Status Date: 08/14/1997

Disposition Details:
A. NOLLE PROSEQUI
B. AUGUST 14, 1997
C. DISMISSED
D. N/A
E. N/A
F. N/A
G. N/A

Broker Statement UPON EXITING THE WORLD OF DISNEY STORE IN ORLANDO, FL, ON JUNE



2, 1997, MR. GALLAGHER WAS DETAINED BY THE SECURITY PERSONNEL AT THE STORE. MR. GALLAGHER WAS ACCUSED OF TAKING MERCHANDISE FROM THE STORE THAT HE HAD NOT PAID FOR. MR. GALLAGHER COULD NOT ACCOUNT FOR ALL HIS RECEIPTS AT THAT PARTICULAR MOMENT, SO HE WAS FORMALLY CHARGED WITH PETIT RETAIL THEFT. THE NEXT DAY, MR. GALLAGHER FOUND THE RECEIPTS FOR ALL OF THE MERCHANDISE IN QUESTION AND DELIVERED THEM TO HIS LEGAL COUNSEL. UPON RECEIPT OF THESE DOCUMENTS, A FINAL DISPOSITION OF "NOLLE PROSEQUI" (DECLINATION OF PROSECUTION) WAS FILED BY THE OFFICE OF THE (FL) STATE ATTORNEY ON AUGUST 14, 1997. HENCE, THE CASE WAS DISMISSED



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 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: CETERA ADVISOR NETWORKS LLC

Allegations: Clients allege financial professional recommended stock that did not pay dividend as the clients' believed, and the value of the stock has declined resulting in losses to the clients.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$29,000.00

Alleged Damages Amount Explanation (if amount not exact): With good faith the amount will be \$5,000 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: 08/07/2023

Complaint Pending? No

Status: Denied

Status Date: 08/31/2023

Settlement Amount:

Individual Contribution Amount:

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CETERA ADVISOR NETWORKS LLC

Allegations: Clients allege financial professional recommended stock that did not pay dividend as the clients' believed, and the value of the stock has declined resulting in losses to the clients.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$29,000.00

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: 08/07/2023

Complaint Pending? No

Status: Denied

Status Date: 08/31/2023

Settlement Amount:

Individual Contribution
Amount:

Disclosure 2 of 3

Reporting Source: Firm

Employing firm when
activities occurred which led
to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT REQUESTS THAT SOMEONE SHOULD REVIEW HIS ACCOUNT. HE
EXPRESSED CONCERN REGARDING THE DECLINE IN VALUE FROM
\$210000.00 TO \$150000.00. DAMAGES ARE EXPECTED TO BE IN EXCESS OF
\$5000.00.

Product Type: Mutual Fund(s)

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 03/07/2001

Complaint Pending? No

Status: Settled

Status Date: 03/27/2001

Settlement Amount: \$11,000.00

Individual Contribution
Amount: \$0.00

Reporting Source: Individual

Employing firm when
activities occurred which led
to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT REQUESTS THAT SOMEONE SHOULD REVIEW HIS ACCOUNT. HE
EXPRESSED CONCERN REGARDING THE DECLINE IN VALUE FROM
\$210000.00 TO \$150000.00. DAMAGES ARE EXPECTED TO BE IN EXCESS OF
\$5000.00.

Product Type: Mutual Fund(s)

Alleged Damages:



Customer Complaint Information

Date Complaint Received: 03/07/2001
Complaint Pending? No
Status: Settled
Status Date: 03/27/2001
Settlement Amount: \$11,000.00
Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: PRUDENTIAL SECURITIES INCORPORATED

Allegations: CLIENT ALLEGES "EXCESSIVE TRADING & INAPPROPRIATE INVESTMENT PURCHASES WITHIN (HER) IRA." CLIENT REQUESTS THAT HER ACCOUNT BE REDEEMED WITHOUT SALES CHARGES AND A REFUND OF COMMISSIONS GENERATED OVER THE LAST TWO YEARS.

Product Type:

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 04/23/1998
Complaint Pending? No
Status: Denied
Status Date:
Settlement Amount:
Individual Contribution Amount:

Broker Statement PSI DENIED THE CLAIM. I BELIEVE THAT ALL INVESTMENTS WERE SUITABLE FOR HER SITUATION. I DON'T FEEL THE TRADING WAS EXCESSIVE. THE ACCOUNT WAS PROFITABLE DURING THE TIME I WAS HER FINANCIAL ADVISOR. HER 3 YEAR AVERAGE RATE OF RETURN WAS 11.08%.



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: Firm

Firm Name: HAZLETT, BURT & WATSON, INC.

Termination Type: Discharged

Termination Date: 03/03/2006

Allegations: INFORMATION WAS POSTED TO THE CRD INDICATING THAT MR. GALLAGHER BECAME EMPLOYED BY NFP SECURITIES, INC. (CRD #42046) ON OR AROUND FEBRUARY 28, 2006. THIS OUTSIDE EMPLOYMENT WAS ENTERED INTO WITHOUT THE KNOWLEDGE OR CONSENT OF HAZLETT, BURT & WATSON, INC. IN VIOLATION OF NASD CONDUCT RULE 3030 AND NYSE RULE 346(B).

Product Type: No Product

Other Product Types:

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Reporting Source: Individual

Firm Name: HAZLETT, BURT & WATSON, INC.

Termination Type: Discharged

Termination Date: 03/03/2006

Allegations: INFORMATION WAS POSTED TO THE CRD INDICATING THAT MR. GALLAGHER BECAME EMPLOYED BY NFP SECURITIES, INC. (CRD #42046) ON OR AROUND FEBRUARY 28, 2006. THIS OUTSIDE EMPLOYMENT WAS ENTERED INTO WITHOUT THE KNOWLEDGE OR CONSENT OF HAZLETT, BURT & WATSON, INC. IN VIOLATION OF NASD CONDUCT RULE 3030 AND NYSE RULE 346(B).

Product Type: No Product

Other Product Types:

Broker Statement

I WAS NOT EMPLOYED BY NFP SECURITIES, INC. (NFP) WHILE A REGISTERED REPRESENTATIVE OF HAZLETT, BURT & WATSON (HBW). I INFORMED HBW ON 3/3/06 THAT I WAS RESIGNING AND ON 3/6/06 GAVE HBW A LETTER, DATED 3/3/06, SAYING THAT I HAD TENDERED MY RESIGNATION. DESPITE NOTICE, HBW MARKED MY FORM U5 "DISCHARGED." MATERIAL, SENT OUT BY FIRST FINANCIAL PARTNERS, WENT GENERALLY TO CUSTOMERS I HAD PRIOR TO HBW. I WAS NOT ASSIGNED TO THE NFP "BACK OFFICE." MY ROLE IS THAT OF A REGISTERED REPRESENTATIVE.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	11/11/2020
Organization Investment-Related?	
Action Pending?	No
Disposition:	Satisfied/Released
Disposition Date:	11/11/2020
If a compromise with creditor, provide:	
Name of Creditor:	SEARS/CBN
Original Amount Owed:	\$3,623.03
Terms Reached with Creditor:	Settled for 2175.00



End of Report

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