

BrokerCheck Report

ANNE MARIE PERRY

CRD# 1209456

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.

**ANNE M. PERRY**

CRD# 1209456

Currently employed by and registered with the following Firm(s):

IA LPL FINANCIAL LLC
 5299 DTC BLVD, STE 1170
 GREENWOOD VILLAGE, CO 80111
 CRD# 6413
 Registered with this firm since: 03/21/2022

B LPL FINANCIAL LLC
 5299 DTC BLVD, STE 1170
 GREENWOOD VILLAGE, CO 80111
 CRD# 6413
 Registered with this firm since: 03/21/2022

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 8 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History**This broker was previously registered with the following securities firm(s):**

- B FIRST FINANCIAL EQUITY CORPORATION**
 CRD# 16507
 GREENWOOD VILLAGE, CO
 12/2014 - 04/2022
- IA FIRST FINANCIAL EQUITY CORPORATION**
 CRD# 16507
 SCOTTSDALE, AZ
 12/2014 - 04/2022
- B WELLS FARGO ADVISORS, LLC**
 CRD# 19616
 GREENWOOD VILLAGE, CO
 01/2011 - 12/2014

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Customer Dispute	2



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 8 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	03/21/2022
B	FINRA	Municipal Securities Principal	Approved	03/23/2022
B	FINRA	Municipal Securities Representative	Approved	03/23/2022

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	03/22/2022
B	Colorado	Agent	Approved	03/21/2022
IA	Colorado	Investment Adviser Representative	Approved	03/21/2022
B	Indiana	Agent	Approved	08/04/2023
B	Maine	Agent	Approved	03/21/2022
B	New Jersey	Agent	Approved	03/21/2022
B	Oregon	Agent	Approved	03/21/2022
B	South Carolina	Agent	Approved	04/06/2022
B	Texas	Agent	Approved	03/21/2022
IA	Texas	Investment Adviser Representative	Approved	03/21/2022

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

LPL FINANCIAL LLC

5299 DTC BLVD, STE 1170
GREENWOOD VILLAGE, CO 80111

LPL FINANCIAL LLC

CENTENNIAL, CO



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Municipal Securities Principal Examination	Series 53	02/08/1993

General Industry/Product Exams

Exam	Category	Date
B Municipal Securities Representative Examination	Series 52TO	09/25/2025
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/15/1984

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/15/2000

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 12/2014 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	16507	GREENWOOD VILLAGE, CO
IA 12/2014 - 04/2022	FIRST FINANCIAL EQUITY CORPORATION	16507	GREENWOOD VILLAGE, CO
B 01/2011 - 12/2014	WELLS FARGO ADVISORS, LLC	19616	GREENWOOD VILLAGE, CO
IA 01/2011 - 12/2014	WELLS FARGO ADVISORS, LLC	19616	GREENWOOD VILLAGE, CO
B 11/2006 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	GREENWOOD VILLAGE, CO
IA 11/2006 - 01/2011	WELLS FARGO INVESTMENTS, LLC	10582	GREENWOOD VILLAGE, CO
B 06/2005 - 01/2006	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
IA 06/2005 - 01/2006	LINSCO/PRIVATE LEDGER CORP.	6413	GREENWOOD VILLAGE, CO
IA 02/2001 - 05/2005	BANC ONE SECURITIES CORPORATION	16999	DENVER, CO
B 11/2000 - 05/2005	BANC ONE SECURITIES CORPORATION	16999	CHICAGO, IL
B 05/1994 - 12/1998	HARVESTONS SECURITIES, INC.	34509	GREENWOOD VILLAGE, CO
B 09/1989 - 11/1991	COLORADO NATIONAL BROKERAGE, INC.	17493	
B 06/1985 - 08/1987	E. F. HUTTON & COMPANY INC	235	
B 12/1984 - 06/1985	SMITH BARNEY, HARRIS UPHAM & CO., INCORPORATED	7059	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
03/2022 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
12/2014 - 03/2022	FIRST FINANCIAL EQUITY CORPORATION	REGISTERED REPRESENTATIVE	Y	GREENWOOD VILLAGE, CO, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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) 3/2022- Real Estate Rental- owner- inv. related- Timberline Condominiums #21- 244 W Lodgepole, Dillon, CO 80145- start date 2018- 1hr/mth
- 2) 03/31/2025 - Perry Wealth Management LLC - Investment Related - DBA for LPL Business (entity for LPL business) - At Reported Business Location(s) - 30 Hrs/Mth - 30 Hrs During Trading - Start Date: 04/01/2022

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	0	2	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO INVESTMENTS, LLC
Allegations:	THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008. ACTIVITY DATE(S): 3/12/2007
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	GOOD FAITH DETERMINATION THAT COMPENSATORY DAMAGES WERE LESS THAN \$5,000
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:	01/15/2009
Complaint Pending?	No
Status:	Settled



Status Date: 02/25/2010

Settlement Amount: \$300,000.00

Individual Contribution Amount: \$0.00

Broker Statement

THE FIRM REPURCHASED THE ARS SECURITIES AT ISSUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A TRADITIONAL SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE. THE NAMED REPRESENTATIVE: WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND REGULATORS; THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT; AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE REPURCHASE AMOUNT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: WELLS FARGO INVESTMENTS, LLC.

Allegations: CLIENT ALLEGES THAT REP ASSURED HER THAT BONDS PURCHASED IN ACCOUNT IN DEC 2007 WERE BACKED BY U.S. GOVERNMENT. CLIENT HAS LOST OVER \$325,000.

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages: \$325,000.00

Customer Complaint Information

Date Complaint Received: 09/26/2008

Complaint Pending? No

Status: Denied

Status Date: 10/20/2008

Settlement Amount:

Individual Contribution Amount:

Broker Statement

IN DEC 2008, CLIENT AND I BOUGHT 160K OF PREFERRED STOCK. SHE WANTED INCOME AND THE "QUALIFIED DIVIDEND/15%" WE BOUGHT 40K EACH OF FNMA, FREDDIE MAC, ROYAL BANK OF SCOTTLAND AND BARCLAYS. ABOUT 3% OF HER ESTIMATED NET WORTH. WE DISCUSSED THE SHARE PRICE FLUCTUATING BUT THE DIVIDEND REMAINING CONSTANT AND PAYING QTRLY. WE HAD MANY LUNCHES AND PHONE CONVERSATIONS DISCUSSING THE DETERIORATION OF THE CREDIT MARKETS. WE OFTEN DISCUSSED SELLING HALF THE POSITIONS TO HARVEST A TAX LOSS. CLIENT DECIDED TO "STAY THE COURSE" ON 9/8/08, THE TREASURY SECRETARY ANNOUNCED THE GOVERNMENT WOULD TAKE OVER THE 2 GOVERNMENT SPONSORED ENTITIES BY INJECTING 200 BILLION. WALL STREET CHEERED; HOWEVER, THEY DECIDED TO SUSPEND THE DIVIDEND ON THE PREFERRED STOCK CLIENT



OWNED. ALONG WITH 38 BILLION OF OTHER STUNNED INVESTORS, INCLUDING BANKS AND OTHER INSTITUTIONAL INVESTORS. THIS DROVE THE SHARE PRICE DOWN DRAMATICALLY. THIS JOLTED THE ENTIRE PREFERRED MARKET AND FINANCIALS AROUND THE WORLD HAVE BEEN TUMBLING EVER SINCE. THIS WAS AA RATED BY THE AGENCIES. I'M NOT SURE WHERE CLIENT FEELS RESTITUTION OF 325K IS AN ACCURATE NUMBER WHEN SHE HAD ONLY AN 80K INVESTMENT IN THESE TWO UNFORTUNATE INVESTMENTS TO BEGIN WITH. ALL PERTINENT INFORMATION WAS PASSED ONTO CLIENT IN A TIMELY MANNER. I RECOMMEND INVESTMENTS BASED ON AN INDIVIDUALS RISK TOLERANCE, LIQUIDITY NEEDS, TIME HORIZON AND NET WORTH.

End of Report



This page is intentionally left blank.