

## BrokerCheck Report

# EDWARD ANTHONY HUNTON

CRD# 1478492

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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.

## 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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](http://www.finra.org).

**EDWARD A. HUNTON**

CRD# 1478492

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**SPOKANE, WA  
CRD# 6413

Registered with this firm since: 11/27/2023

**B LPL FINANCIAL LLC**SPOKANE, WA  
CRD# 6413

Registered with this firm since: 11/22/2023

**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
- 10 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****B B. RILEY WEALTH MANAGEMENT**CRD# 2543  
Seattle, WA  
07/2022 - 11/2023**IA B. RILEY WEALTH ADVISORS, INC.**CRD# 115927  
MEMPHIS, TN  
06/2021 - 11/2023**B NATIONAL SECURITIES CORPORATION**CRD# 7569  
SEATTLE, WA  
09/2015 - 07/2022**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	4

## 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 10 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
<span style="color: blue;">B</span> FINRA	General Securities Representative	Approved	11/22/2023
U.S. State/ Territory	Category	Status	Date
<span style="color: blue;">B</span> Alaska	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Arizona	Agent	Approved	05/28/2024
<span style="color: blue;">B</span> California	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Hawaii	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Idaho	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Iowa	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> New York	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Oregon	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Utah	Agent	Approved	11/22/2023
<span style="color: blue;">B</span> Washington	Agent	Approved	11/22/2023
<span style="color: blue;">IA</span> Washington	Investment Adviser Representative	Approved	11/27/2023

### Branch Office Locations

## Broker Qualifications



### Employment 1 of 1, continued

**LPL FINANCIAL LLC**  
SPOKANE, WA

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## 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, 2 general industry/product exams, and 3 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Municipal Securities Principal Examination	Series 53	06/24/2009

#### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	01/07/2009

#### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	09/11/2020
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	07/26/2012
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/13/2009

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/](http://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 07/2022 - 11/2023	B. RILEY WEALTH MANAGEMENT	2543	Seattle, WA
IA 06/2021 - 11/2023	B. RILEY WEALTH ADVISORS, INC.	115927	SEATTLE, WA
B 09/2015 - 07/2022	NATIONAL SECURITIES CORPORATION	7569	SEATTLE, WA
B 07/2013 - 09/2015	COUNTRY CAPITAL MANAGEMENT COMPANY	12060	SPOKANE VALLEY, WA
IA 07/2012 - 07/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	3641	SPOKANE, WA
B 07/2012 - 07/2013	FIRST COMMAND FINANCIAL PLANNING, INC.	3641	SPOKANE, WA
B 01/2009 - 07/2012	FREEDOM INVESTORS CORP.	23714	BROOKFIELD, WI
B 01/2011 - 04/2011	KCD FINANCIAL, INC.	127473	GREEN BAY, WI
B 08/2004 - 09/2004	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
IA 05/1999 - 06/2002	UBS PAINEWBBER INC.	8174	SPOKANE, WA
B 05/1999 - 06/2002	UBS PAINEWBBER INC.	8174	WEEHAWKEN, NJ
B 07/1996 - 04/1999	EVEREN SECURITIES, INC.	19616	ST. LOUIS, MO
B 07/1994 - 07/1996	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
B 10/1988 - 07/1994	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
B 07/1988 - 10/1988	DAROZA ANDERSON, INC.	16022	
B 01/1988 - 05/1988	DILLON SECURITIES, INC.	10660	
B 06/1986 - 09/1986	DILLON SECURITIES, INC.	10660	

## Employment History

# Registration and Employment History



## Employment History, continued

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
11/2023 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Spokane, WA, United States
07/2022 - 11/2023	B. RILEY WEALTH MANAGEMENT	Mass Transfer	Y	SEATTLE, WA, United States
06/2021 - 11/2023	B. RILEY WEALTH ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	SEATTLE, WA, United States
09/2015 - 07/2022	NATIONAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SEATTLE, WA, 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) 10/27/2023 - BREAKSTONE SALON, LLC - Business Owner - Hair Salon - WA 99204 - Non investment related - 1% time spent - Start date: 8/15/2013.

## 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:**
  - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - o 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.
  - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
  - o 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.
  - o
4. **There are different statuses and dispositions for disclosure events:**
  - o 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.
  - o 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	4	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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	EVEREN SECURITIES, INC.
<b>Allegations:</b>	THE CUSTOMER CLAIMS THAT THE INVESTMENT CONSULTANT FAILED TO FOLLOW HIS INSTRUCTIONS IN THAT 10,000 SHARES OF CASCADE COMMUNICATIONS, INC WERE PURCHASED, WHEN IN FACT, ONLY 2,000 SHARES WERE ORDERED TO BE PURCHASED. IN THE STATEMENT OF CLAIM FILED IN THE ARBITRATION, THE CLAIMANTS ALLEGED UNAUTHORIZED TRADING AND MISREPRESENTATIONS IN CONNECTION WITH THEIR PURCHASE OF CASCADE COMMUNICATIONS CORP (CSCC) COMMON STOCK.

<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$148,061.41

### Customer Complaint Information

<b>Date Complaint Received:</b>	03/12/1997
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<b>Complaint Pending?</b>	No
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<b>Status:</b>	Arbitration/Reparation
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<b>Status Date:</b>	02/03/1998
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<b>Settlement Amount:</b>	
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<b>Individual Contribution Amount:</b>	
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## Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD ARBITRATION CASE #99-02526](#)

**Date Notice/Process Served:** 05/17/1999

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 07/17/2001

**Monetary Compensation Amount:** \$21,000.00

**Individual Contribution Amount:**

## Civil Litigation Information

**Court Details:** SUPERIOR COURT OF WASHINGTON FOR KING COUNTY; CASE #98-2-02978-1

**Date Notice/Process Served:** 02/06/1998

**Litigation Pending?** No

**Disposition:** Other

**Disposition Date:** 09/15/1998

**Firm Statement** THE NASD ARBITRATION PANEL AWARDED THE CLAIMANT THE AMOUNT OF \$21,000. RESPONDENTS ARE JOINT AND SEVERALLY LIABLE FOR FOR PAYING THE AWARD.

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** PAINWEBBER INCORPORATED

**Allegations:** UNAUTHORIZED TRADING; MISREPRESENTATION; APPROX 20M DAMAGES

**Product Type:** Equity - OTC

**Alleged Damages:** \$20,000.00

## Customer Complaint Information



**Date Complaint Received:** 03/12/1997

**Complaint Pending?** No

**Status:** Arbitration/Reparation  
Litigation

**Status Date:** 09/17/1998

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** [NASD ARB CASE NO: 99-02526](#)

**Date Notice/Process Served:** 03/12/1997

**Arbitration Pending?** No

**Disposition:** Award to Customer

**Disposition Date:** 07/17/2001

**Monetary Compensation Amount:** \$21,000.00

**Individual Contribution Amount:** \$0.00

### Civil Litigation Information

**Court Details:** SUPERIOR; KING COUNTY, WA; 98-2-02978-ISPA

**Date Notice/Process Served:** 09/17/1998

**Litigation Pending?** No

**Disposition:** Other

**Disposition Date:** 03/01/1997

**Broker Statement** THE CIVIL LITIGATION WAS THROWN OUT OF COURT DUE TO ARBITRATION CLAUSE ON NEW ACCOUNT FORM. ARBITRATION SETTLED.



## 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:** Firm  
**Employing firm when activities occurred which led to the complaint:** UBS PAINEWBBER INC.  
**Allegations:** CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, NEGLIGENCE, UNAUTHORIZED TRADING, FRAUD AND CHURNING IN CONNECTION WITH STOCKS PURCHASED IN HER UBS PW ACCOUNTS.  
**Product Type:** Equity - OTC  
**Alleged Damages:** \$204,160.00

### Customer Complaint Information

**Date Complaint Received:** 04/15/2002

**Complaint Pending?** No

**Status:** Arbitration/Reparation

**Status Date:** 06/05/2002

**Settlement Amount:**

**Individual Contribution Amount:**

### Arbitration Information

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD: DOCKET # 02-03007

**Date Notice/Process Served:** 06/05/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/08/2003

**Monetary Compensation Amount:** \$155,000.00

**Individual Contribution Amount:** \$0.00



**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** UBS PAINEWBBER INC.  
**Allegations:** CLIENT MAKES AN ADDITIONAL CLAIM OF CHURNING. DAMAGES ESTIMATED TO EXCEED \$5000.  
**Product Type:** Equity - OTC

**Alleged Damages:****Customer Complaint Information**

**Date Complaint Received:** 04/15/2002  
**Complaint Pending?** No  
**Status:** Arbitration/Reparation  
**Status Date:** 01/08/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Arbitration Information**

**Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD DOCKET # 02-03007

**Date Notice/Process Served:** 06/05/2002

**Arbitration Pending?** No

**Disposition:** Settled

**Disposition Date:** 01/08/2003

**Monetary Compensation Amount:** \$155,000.00

**Individual Contribution Amount:** \$0.00



## 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 2

**Reporting Source:** Broker  
**Employing firm when activities occurred which led to the complaint:** UBS PAINEWBBER INC.  
**Allegations:** CLIENT ALLEGES THAT FA ENGAGED IN UNAUTHORIZED TRADING BY EXCEEDING THE AGREEMENT THAT SHE MADE WITH THE FA WITH RESPECT TO THE EXERCISE OF DISCRETION IN THE ACCOUNT. IN ADDITION CLIENT ALLEGES THAT THE VERTEL POSITION MAINTAINED IN THE ACCOUNT WAS NOT SUITABLE. THE CLIENT ALLEGES THAT SHE WANTED TO PLACE \$258,000 IN A "RISK FREE" SAFE INTEREST ACCOUNT AND THAT FA INSTEAD PLACED THESE FUNDS IN VERTEL. IN ADDITION, CLIENT ALLEGES THE FA "GOT TOO AGGRESSIVE WITH MY ACCOUNT AND OVERSTEPPED OUR AGREEMENT". THE TIME PERIOD IS APRIL 1999 TO MAY 2000.

**Product Type:** Equity - OTC

**Alleged Damages:** \$300,000.00

### Customer Complaint Information

**Date Complaint Received:** 11/27/2000

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 05/24/2001

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

CLIENT GAVE VERBAL TIME AND PRICE DISCRETION REGARDING SPECIFIC SECURITIES WHICH WAS ADHERED TO WHILE SHE WAS TRAVELING. CLIENT TRADED AGGRESSIVELY IN AN EFFORT TO REGAIN LOSS FROM IMPAC MORTGAGE AFTER AGREEING TO THIS STRATEGY. CLIENT CHOSE TO CONTINUE USING AN AGGRESSIVE STRATEGY AFTER THE IMPAC LOSS WAS RECOUPED. CLIENT DID WELL IN VERTEL AND ACCEPTED THE RISK



WHILE IT WAS GOING UP AND AGREED TO ADD TO THE POSITION. ON THE WAY DOWN THE CLIENT CHOSE TO ADD TO THE POSITION AGAINST MY ADVICE. CLIENT SPECIFIED A LIQUID NET WORTH OF \$1,000,000 + AS PROOF OF SUITABILITY WHEN ADDING TO VERTEL POSITION.

## Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** EVEREN SECURITIES, INC.

**Allegations:**

**Product Type:**

**Alleged Damages:** \$13,000.00

## Customer Complaint Information

**Date Complaint Received:** 12/17/1998

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/05/1999

**Settlement Amount:**

**Individual Contribution Amount:**

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** EVEREN SECURITIES, INC.

**Allegations:** CUSTOMER COMPLAINED THAT INVESTMENT CONSULTANT FAILED TO FOLLOW HER INSTRUCTIONS IN THAT HE ENTERED A PURCHASE ORDER OF 20 AMERICA ONLINE PUT OPTIONS WHEN IN FACT HER ORDER WAS ALLEGEDLY FOR 10 CALLS OF THAT SECURITY. THE CUSTOMER FURTHER CLAIMED THAT THE INVESTMENT CONSULTANT INITIALLY ADMITTED TO HER THAT THIS "ERROR" HAD BEEN MADE WHEN CONFRONTED BY HER BUT LATER DENIED ANY WRONGDOING. CUSTOMER



SEEKS IN EXCESS OF \$13,000.00.

**Product Type:**

**Alleged Damages:** \$13,000.00

**Customer Complaint Information**

**Date Complaint Received:** 12/17/1998

**Complaint Pending?** No

**Status:** Denied

**Status Date:** 01/05/1999

**Settlement Amount:**

**Individual Contribution**

**Amount:**

**Broker Statement** AFTER THE FIRM INVESTIGATED THE ABOVE ALLEGATIONS THE CLAIM WAS DENIED IN FULL  
Not Provided

## End of Report



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