

## BrokerCheck Report

# DONALD RICHARD VAUGHT

CRD# 1737945

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 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](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).

**DONALD R. VAUGHT**

CRD# 1737945

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**

5309 COMMONWEALTH CENTRE PKWY.  
SUITE 407  
MIDLOTHIAN, VA 23112  
CRD# 6413  
Registered with this firm since: 04/30/2018

**B LPL FINANCIAL LLC**

5309 COMMONWEALTH CENTRE PKWY.  
SUITE 407  
MIDLOTHIAN, VA 23112  
CRD# 6413  
Registered with this firm since: 09/29/2009

**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
- 27 U.S. states and territories

**This broker has passed:**

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

**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? **No**

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

CRD# 250  
MIDLOTHIAN, VA  
01/2006 - 10/2009

**B SYMETRA INVESTMENT SERVICES, INC.**

CRD# 19061  
BOSTON, MA  
03/2005 - 11/2005

**B LINCOLN FINANCIAL DISTRIBUTORS, INC.**

CRD# 145  
RADNOR, PA  
12/2000 - 12/2004

## 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 27 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: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> FINRA	General Securities Representative	Approved	09/29/2009
U.S. State/ Territory	Category	Status	Date
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Alabama	Agent	Approved	08/20/2019
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Alaska	Agent	Approved	11/14/2019
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> California	Agent	Approved	10/16/2015
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Colorado	Agent	Approved	03/03/2015
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Delaware	Agent	Approved	08/23/2022
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Florida	Agent	Approved	04/30/2020
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Georgia	Agent	Approved	09/03/2015
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Illinois	Agent	Approved	05/09/2016
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Indiana	Agent	Approved	02/18/2019
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Louisiana	Agent	Approved	01/22/2021
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Maryland	Agent	Approved	08/08/2017
<span style="color: #0070C0; border: 1px solid #0070C0; border-radius: 50%; padding: 2px 5px;">B</span> Michigan	Agent	Approved	03/10/2023

## Broker Qualifications



### Employment 1 of 1, continued

U.S. State/ Territory	Category	Status	Date
B Minnesota	Agent	Approved	03/02/2011
B Missouri	Agent	Approved	01/09/2026
B Montana	Agent	Approved	06/12/2025
B Nebraska	Agent	Approved	09/25/2020
B New Jersey	Agent	Approved	11/28/2012
B New Mexico	Agent	Approved	08/25/2016
B New York	Agent	Approved	10/26/2016
B North Carolina	Agent	Approved	10/08/2009
B Ohio	Agent	Approved	04/17/2018
B Pennsylvania	Agent	Approved	02/03/2014
B South Carolina	Agent	Approved	09/05/2013
B Texas	Agent	Approved	01/06/2014
B Vermont	Agent	Approved	09/16/2022
B Virginia	Agent	Approved	10/08/2009
IA Virginia	Investment Adviser Representative	Approved	04/30/2018
B Wyoming	Agent	Approved	12/03/2024

### Branch Office Locations

**LPL FINANCIAL LLC**  
 5309 COMMONWEALTH CENTRE PKWY.  
 SUITE 407  
 MIDLOTHIAN, VA 23112

**LPL FINANCIAL LLC**

## Broker Qualifications



### Employment 1 of 1, continued

215-A S MAIN ST  
BLACKSTONE, VA 23824

---

## 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>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	11/03/1992

#### 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	03/27/2006
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	07/06/1988

#### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/05/1987

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
IA 03/2014 - 04/2018	LPL FINANCIAL LLC	6413	MIDLOTHIAN, VA
B 01/2006 - 10/2009	EDWARD JONES	250	MIDLOTHIAN, VA
B 03/2005 - 11/2005	SYMETRA INVESTMENT SERVICES, INC.	19061	BOSTON, MA
B 12/2000 - 12/2004	LINCOLN FINANCIAL DISTRIBUTORS, INC.	145	RADNOR, PA
B 05/2000 - 12/2000	FIRST PENN-PACIFIC SECURITIES, INC.	47865	SCHAUMBURG, IL
B 01/1997 - 01/2000	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN
B 01/1997 - 01/2000	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN
B 07/1992 - 12/1996	COMPULIFE INVESTOR SERVICES, INC.	21543	ST. CLOUD, MN
B 07/1988 - 08/1992	JEFFERSON-PILOT INVESTOR SERVICES, INC.	5178	FORT WAYNE, IN

## 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
09/2009 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	MIDLOTHIAN, VA, 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) 12/14/2011: Vaught Financial Services, LLC - DBA for LPL Business (entity for LPL business) - Investment Related - At Reported Business

## Registration and Employment History



### Other Business Activities, continued

#### Location(s)

(2) 08/28/2015: Vaught Financial Services - Notary - Investment Related - 5309 Commonwealth Centre Parkway, Suite 401, Midlothian, VA 23112 - Start 07/31/2015 - 1 Hr/Mo; 0 Hour(s) During Securities Trading - Notary, State of Virginia

(3) 09/28/2016: No Business Name - Non-Variable Insurance - Investment Related - 5309 Commonwealth Centre Parkway, Suite 401, Midlothian, VA 23112 - Start 09/06/2016 - 2 Hr/Mo; 2 Hour(s) During Securities Trading - INS Types: Life, LTC

(4) 07/05/2017-Vaught & Associates Financial Services, LLC-investment related- At reported business location(s)- DBA for LPL Business (entity for LPL business)- Will change name of company doing business as from Vaught Financial Services, LLC to Vaught & Associates, LLC-start 07/07/2017-Hours per month 250/40 hours during trading

(5) 1/21/2021 - Vaught, Spangler & Associates Financial Services, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 1/15/2021 - 260 Hours Per Month/168 Hour During Securities Trading.

---

## End of Report



**This page is intentionally left blank.**