

BrokerCheck Report

GEORGE MARSHALL WARNER

CRD# 2300570

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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



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.

GEORGE M. WARNER

CRD# 2300570

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

- B CHELSEA FINANCIAL SERVICES**
CRD# 47770
STATEN ISLAND, NY
09/2017 - 10/2019
- B DOMINION INVESTOR SERVICES, INC.**
CRD# 21548
ROCKWALL, TX
06/2017 - 07/2017
- B DOMINION INVESTOR SERVICES, INC.**
CRD# 21548
MARBLE FALLS, TX
03/2017 - 04/2017



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
Regulatory Event	2
Customer Dispute	2
Termination	2

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <https://www.adviserinfo.sec.gov>

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 broker is not currently registered.



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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/20/2001
B Investment Company Products/Variable Contracts Representative Examination	Series 6	12/07/1992

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/05/2002
B Uniform Securities Agent State Law Examination	Series 63	12/31/1992

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 09/2017 - 10/2019	CHELSEA FINANCIAL SERVICES	47770	STATEN ISLAND, NY
B 06/2017 - 07/2017	DOMINION INVESTOR SERVICES, INC.	21548	ROCKWALL, TX
B 03/2017 - 04/2017	DOMINION INVESTOR SERVICES, INC.	21548	MARBLE FALLS, TX
B 12/2014 - 03/2017	IFS SECURITIES	40375	Rockwall, TX
B 07/2013 - 12/2014	NFP ADVISOR SERVICES, LLC	42046	ROCKWALL, TX
B 04/2003 - 06/2013	LPL FINANCIAL LLC	6413	ROCKWALL, TX
B 01/2001 - 04/2003	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
B 06/2000 - 01/2001	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ
B 07/1996 - 05/2000	1717 CAPITAL MANAGEMENT COMPANY	4082	NEWARK, DE
B 12/1992 - 09/1994	METLIFE SECURITIES INC.	14251	SPRINGFIELD, MA
B 12/1992 - 09/1994	METROPOLITAN LIFE INSURANCE COMPANY	4095	NEW YORK, NY

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
09/2017 - Present	Chelsea Financial Services	REGISTERED REPRESENTATIVE	Y	Staten Island, NY, United States
06/2017 - 07/2017	DOMINION PORTFOLIO MANAGEMENT, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
05/2017 - 07/2017	DOMINION INVESTOR SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States
04/2017 - 05/2017	UNEMPLOYED	UNEMPLOYED	N	ROCKWALL, TX, United States
03/2017 - 04/2017	DOMINION INVESTOR SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	HORSESHOE BAY, TX, United States
12/2014 - 03/2017	IFS ADVISORY	INVESTMENT ADVISOR REPRESENTATIVE	Y	ATLANTA, GA, United States
12/2014 - 03/2017	IFS SECURITIES	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, 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.

SUMMIT ROCKWALL WEALTH MANAGERS, LLC, INVESTMENT RELATED, 15 HRS DURING TRADING, DBA FOR SECURITIES BUSINESS & NONSECURITIES INSURANCE SALES & TAX PREPARATION; IDEA IMPACT -NOT INVESTMENT RELATED. NON SECURITIES PRESENTATIONS TO CHURCH AND SCHOOL DISTRICTS

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.
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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.
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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
Regulatory Event	0	2	0
Customer Dispute	0	2	N/A
Termination	N/A	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	03/09/2021
Docket/Case Number:	2020067463101
Employing firm when activity occurred which led to the regulatory action:	Chelsea Financial Services
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Warner consented to the sanction and to the entry of findings that he failed to produce information or documents requested by FINRA in connection with an investigation into his potential participation in undisclosed private securities transactions.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date:

03/09/2021

Sanctions Ordered:

Bar (Permanent)

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Bar (Permanent)

Capacities Affected: All Capacities

Duration: Indefinite

Start Date: 03/09/2021

End Date:



Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	04/05/2017
Docket/Case Number:	2014043727001
Employing firm when activity occurred which led to the regulatory action:	Kestra Investment Services, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Warner consented to the sanctions and to the entry of findings that he altered various customer documents on at least five occasions after the documents had already been signed by the customers. The findings stated that Warner corrected or included the customer's anticipated liquidity needs, net worth, liquid net worth, and/or annual income on new account forms, alternative investment disclosure forms, and an IRA application. Warner made these changes as an accommodation, to avoid requiring the customers to re-execute the documents. The findings also stated that by changing new account documentation of the customers, Warner caused his member firm to preserve and maintain altered books and records.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	04/05/2017
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Any capacity
Duration:	30 days
Start Date:	05/01/2017
End Date:	05/30/2017

Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	06/26/2018
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement	Fines paid in full on June 26, 2018.
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Reporting Source: Broker

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Monetary Penalty other than Fines
Suspension

Date Initiated: 04/05/2017

Docket/Case Number: [2014043727001](#)

Employing firm when activity occurred which led to the regulatory action: NFP, LLC

Product Type: No Product

Allegations: MR. WARNER CORRECTED FIVE APPLICATIONS AFTER BEING SIGNED.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 04/05/2017

Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All CAPACITIES

Duration: 30 CALENDAR DAYS

Start Date: 05/01/2017

End Date: 05/30/2017

Monetary Sanction 1 of 1



Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: Installment Payment Plan

Is Payment Plan Current: Yes

Date Paid by individual: 05/26/2017

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITH CLIENTS PERMISSION, I ADJUSTED SIGNED APPLICATIONS WITHOUT GETTING NEW SIGNATURES. I REALIZE THIS WAS A MISTAKE. IF IN THE FUTURE ADJUSTMENTS ARE TO BE MADE I WILL INSIST THE CLIENT MAKE THE ADJUSTMENTS.



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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Chelsea Financial Services
Allegations:	Selling Away
Product Type:	Promissory Note
Alleged Damages:	\$100,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	20-01906
Filing date of arbitration/CFTC reparation or civil litigation:	06/17/2020

Customer Complaint Information

Date Complaint Received:	06/30/2020
Complaint Pending?	No
Status:	Settled
Status Date:	08/01/2022
Settlement Amount:	\$104,297.13
Individual Contribution Amount:	\$104,297.13

Disclosure 2 of 2

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint: LPL FINANCIAL

Allegations: CUSTOMER ALLEGES THAT FINANCIAL ADVISOR MADE AN ERROR IN CONNECTION WITH THE PURCHASE OF CIT BONDS VERSUS CITI CORP. BONDS. CUSTOMER RETAINED THE INVESTMENT AND NOW SEEKS REIMBURSEMENT FOR HIS ALLEGED WRONGFUL LOSS. THE ALLEGED ACTIVITY PERIOD IS JANUARY 2008 THROUGH AUGUST 2009.

Product Type: Other: BONDS

Alleged Damages: \$329,426.00

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: 08/14/2009

Complaint Pending? No

Status: Settled

Status Date: 02/17/2010

Settlement Amount: \$225,000.00

Individual Contribution Amount: \$30,000.00



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Employer Name: NFP ADVISOR SERVICES
Termination Type: Permitted to Resign
Termination Date: 11/26/2014
Allegations: REP CORRECTED CLIENT DOCUMENTS AFTER CLIENT SIGNATURE
Product Type: Other: NEW ACCOUNT FORM

Reporting Source: Broker
Employer Name: NFP, LLP
Termination Type: Permitted to Resign
Termination Date: 11/26/2014
Allegations: THAT I CORRECTED CLIENT DOCUMENTS AFTER THEY WERE SIGNED BY THE CLIENT.
Product Type: Mutual Fund
 Real Estate Security

Disclosure 2 of 2

Reporting Source: Firm
Employer Name: LPL FINANCIAL LLC
Termination Type: Discharged
Termination Date: 06/04/2013
Allegations: EMPLOYMENT TERMINATED BY RELATED BANK PROGRAM FOR OBTAINING CLIENT SIGNATURES ON BLANK ACCOUNT TRANSFER FORMS.
Product Type: No Product

Reporting Source: Broker



Employer Name: LPL FINANCIAL LLC

Termination Type: Discharged

Termination Date: 06/04/2013

Allegations: EMPLOYMENT TERMINATED BY RELATED BANK PROGRAM FOR OBTAINING
CLIENT SIGNATURES ON BLANK ACCOUNT TRANSFER FORMS.

Product Type: No Product

End of Report



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