

BrokerCheck Report

JUDITH WATKINS BLAISING

CRD# 2332242

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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:
 - o 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
 - o 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.

**JUDITH W. BLAISING**

CRD# 2332242

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

IA LPL FINANCIAL LLC
 8080 N. CENTRAL EXPY, STE 1700
 DALLAS, TX 75206
 CRD# 6413
 Registered with this firm since: 11/09/2012

B LPL FINANCIAL LLC
 8080 N. CENTRAL EXPY, STE 1700
 DALLAS, TX 75206
 CRD# 6413
 Registered with this firm since: 11/09/2012

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
- 7 U.S. states and territories

This broker has passed:

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

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

- IA INDEPENDENT ADVISERS GROUP CORP**
 CRD# 106684
 BOSTON, MA
 09/1993 - 01/2014
- IA LINCOLN FINANCIAL SECURITIES CORPORATION**
 CRD# 3870
 FORT WAYNE, IN
 09/1993 - 12/2012
- B LINCOLN FINANCIAL SECURITIES CORPORATION**
 CRD# 3870
 DALLAS, TX
 09/1993 - 12/2012

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	1
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 7 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	Invest. Co and Variable Contracts	Approved	11/09/2012
B	FINRA	Investment Co./Variable Contracts Prin	Approved	11/09/2012

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	03/28/2019
B	Florida	Agent	Approved	11/09/2012
B	Georgia	Agent	Approved	11/09/2012
B	Louisiana	Agent	Approved	11/09/2012
B	South Carolina	Agent	Approved	10/30/2014
B	Texas	Agent	Approved	11/09/2012
IA	Texas	Investment Adviser Representative	Approved	11/09/2012
B	Virginia	Agent	Approved	11/09/2012
IA	Virginia	Investment Adviser Representative	Approved	09/16/2020

Branch Office Locations

LPL FINANCIAL LLC

Broker Qualifications



Employment 1 of 1, continued

8080 N. CENTRAL EXPY, STE 1700
DALLAS, TX 75206



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 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	01/24/1997

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	09/28/1993

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	09/10/1993

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
IA 09/1993 - 01/2014	INDEPENDENT ADVISERS GROUP CORP	106684	DALLAS, TX
B 09/1993 - 12/2012	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	DALLAS, TX
IA 09/1993 - 12/2012	LINCOLN FINANCIAL SECURITIES CORPORATION	3870	DALLAS, TX

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
11/2012 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	DALLAS, TX, 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) 10/17/2012: ARMOR FINANCIAL GROUP INC - Business Entity For Tax/Investment Purposes Only - INV REL - AT REPORTED BUSINESS LOCATION - President and Owner-company set up for pay business expenses - 4% TIME SPENT.

(2) 10/17/2012: NO BUSINESS NAME - NON-VARIABLE INSURANCE - INV REL - AT REPORTED BUSINESS LOCATION - Agent-offers indexed, UL, term & LTC - 1% TIME SPENT.

(3) 10/17/2012: WMSON CO LLC - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - NOT INV REL - AT REPORTED BUSINESS LOCATION - PARTNER IN FAMILY ESTATE PLANNING/LEGAL ENTITY.

(4) 09/14/2016: No Business Name - Business Owner - Not Investment Related - Located at various art galleries - Start 09/16/2016 - 10 Hr/Mo; 0 Hour(s) During Securities Trading - No title. Displaying paintings in art galleries and sell these paintings when requested.

Registration and Employment History



Other Business Activities, continued

(5) 01/09/2024 - Chinoiserie Books LLC - Travel Book - Author - Not Investment Related - Home Based - Start Date 11/05/2021 - 40 Hours Per Month/ 0 Hours During Trading

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
Regulatory Event	0	1	0
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.

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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	TEXAS STATE SECURITIES BOARD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/27/1997
Docket/Case Number:	97-020
Employing firm when activity occurred which led to the regulatory action:	THE ARMOR FINANCIAL GROUP, INC.
Product Type:	
Other Product Type(s):	
Allegations:	Not Provided
Current Status:	Final
Resolution:	Consent
Resolution Date:	05/27/1997
Sanctions Ordered:	

**Other Sanctions Ordered:****Sanction Details:**

ON MAY 27, 1997, THE SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST JUDITH WATKINS WILLIAMSON AND THE ARMOR FINANCIAL GROUP, INC. RESPONDENT AFGI, BY AND THROUGH RESPONDENT WILLIAMSON HAS ACTED AS AN INVESTMENT ADVISER WHEN IT WAS NOT PROPERLY REGISTERED WITH THE SECURITIES COMMISSIONER. . PURSUANT TO SECTION 23-1 OF THE SECURITIES ACT, IT IS ORDERED THAT AFGI PAY AN ADMINISTRATIVE FINE OF \$7,500.00 AND AN UNDERTAKING THAT WILLIAMSON WILL NOT ACT IN A SUPERVISORY CAPACITY AS IT RELATES TO THE SUPERVISION OF THE ACTIVITIES OF ANY AGENTS OF THE DEALER WITH WHOM SHE IS EMPLOYED, OTHER THAN HERSELF FOR 8 MONTHS FROM DATE OF THIS ORDER.

Regulator Statement

CONTACT: JOYCE MILLER (512) 305 8390

Reporting Source:

Broker

Regulatory Action Initiated By:

TEXAS SECURITIES BOARD

Sanction(s) Sought:**Other Sanction(s) Sought:****Date Initiated:**

05/27/1997

Docket/Case Number:

97-020

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

THE ARMOR FINANCIAL GROUP, INC.

Product Type:**Other Product Type(s):****Allegations:**

SEE ATTACHED

Current Status:

Final

Resolution:

Consent

Resolution Date:

05/27/1997

Sanctions Ordered:



Other Sanctions Ordered:

Sanction Details: \$7,500 ADMINISTRATIVE FINE TO INVESTMENT ADVISOR
AND UNDERTAKINGS (SEE ATTACHED)

Broker Statement SEE ATTACHED



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:	Broker
Employing firm when activities occurred which led to the complaint:	LINCOLN FINANCIAL SECURITIES CORPORATION
Allegations:	THE CLAIMANT ALLEGES ON OR AROUND FEBRUARY 2009 REPRESENTATIVE RECOMMENDED AND SOLD HIM AN UNSUITABLE VARIABLE ANNUITY, WHICH THE REPRESENTATIVE NEGLIGENTLY FAILED TO ADVISE WAS RISKY, EXPENSIVE AND ILLIQUID. ADDITIONALLY, AS THE BRANCH MANAGER, THE RR IS CHARGED WITH FAILURE TO SUPERVISE.
Product Type:	Annuity-Variable Other: INVESTMENT ADVISORY ACCOUNTS
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE BELIEVED TO BE IN EXCESS OF \$170,000 TO BE DETERMINED AT TRIAL
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	09/05401
Date Notice/Process Served:	09/28/2009
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	10/07/2011
Monetary Compensation Amount:	\$160,000.00
Individual Contribution Amount:	\$0.00
Broker Statement	REPRESENTATIVE DENIES ALL CLAIMS. CLAIMANT INVESTED \$255,000 IN ANNUITY ON 3/25/09 AND FOUR MONTHS LATER ACCOUNT VALUE GREW



TO \$291,624.98 ON 7/31/09. SUITABILITY EVIDENCED BY SIGNED VARIABLE ANNUITY DISCLOSURE FORM, PROSPECTUS RECEIPT, CONTRACT DELIVERY RECEIPT AND NEW ACCOUNT FORM AS WELL AS PRINCIPAL REVIEW AT HOME OFFICE.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: JEFFERSON PILOT SECURITIES

Allegations: FAILURE TO STOP DECLINE IN CLIENTS ACCOUNT VALUE FROM 3/31/2000-08/30/2001

Product Type: Annuity(ies) - Variable

Alleged Damages: \$580,000.00

Customer Complaint Information

Date Complaint Received: 08/04/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/03/2005

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD CASE # 05-06573

Date Notice/Process Served: 01/03/2006

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/17/2007

Monetary Compensation Amount: \$80,000.00

**Individual Contribution
Amount:**

\$0.00

Broker Statement

CLAIMANT DISMISSED ALL CLAIMS IN THIS ARBITRATION AGAINST JUDITH WILLIAMSON BLAISING. ALL CLAIMS AGAINST MS. BLAISING WERE DROPPED WITH PREJUDICE. NO MONETARY COMPENSATION, NO JUDGMENT, NO RESTITUTION AND NO SETTLEMENT AMOUNT WAS PAID OR REQUIRED TO BE PAID BY JUDITH WILLIAMSON BLAISING. CLAIMANT HAD A TOTAL COMBINED NET GAIN OF \$163,397.09 AND SUFFERED NO LOSS.

End of Report



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