

BrokerCheck Report

SHAWN MATTHEW MCINTYRE

CRD# 2515495

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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.

**SHAWN M. MCINTYRE**

CRD# 2515495

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

IA EFS ADVISORS
 613 Roosevelt RD SE
 Bemidji, MN 56601
 CRD# 115211
 Registered with this firm since: 11/21/2018

B ADVANCED ADVISOR GROUP, LLC
 613 Roosevelt RD SE
 BEMIDJI, MN 56601
 CRD# 140393
 Registered with this firm since: 10/15/2018

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
- 6 U.S. states and territories

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 FELTL & COMPANY**
 CRD# 6905
 PLYMOUTH, MN
 12/2003 - 11/2016
- B MILLER JOHNSON STEICHEN KINNARD, INC.**
 CRD# 694
 MINNEAPOLIS, MN
 03/2001 - 01/2004
- B DAIN RAUSCHER INCORPORATED**
 CRD# 31194
 NEW YORK, NY
 05/1998 - 11/1999

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	3
Judgment/Lien	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 6 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **ADVANCED ADVISOR GROUP, LLC**

Main Office Address: **1995 EAST RUM RIVER DRIVE S.
CAMBRIDGE, MN 55008**

Firm CRD#: **140393**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	10/15/2018

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	02/26/2025
B	Georgia	Agent	Approved	03/28/2024
B	Minnesota	Agent	Approved	10/22/2018
B	North Dakota	Agent	Approved	04/01/2024

Branch Office Locations

ADVANCED ADVISOR GROUP, LLC

613 Roosevelt RD SE
BEMIDJI, MN 56601

Employment 2 of 2

Firm Name: **EFS ADVISORS**

Main Office Address: **1995 EAST RUM RIVER DRIVE S
CAMBRIDGE, MN 55008**

Firm CRD#: **115211**

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	Minnesota	Investment Adviser Representative	Approved	11/21/2018
IA	North Dakota	Investment Adviser Representative	Approved	02/04/2025
IA	South Carolina	Investment Adviser Representative	Approved	05/06/2025
IA	Wisconsin	Investment Adviser Representative	Approved	02/27/2025

Branch Office Locations

1995 EAST RUM RIVER DRIVE S
CAMBRIDGE, MN 55008

613 Roosevelt RD SE
Bemidji, MN 56601



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	11/07/2016
B Futures Managed Funds Examination	Series 31	05/07/2008
B General Securities Representative Examination	Series 7	07/22/1994

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	11/20/2018
B Uniform Securities Agent State Law Examination	Series 63	07/25/1994

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 12/2003 - 11/2016	FELTL & COMPANY	6905	PLYMOUTH, MN
B 03/2001 - 01/2004	MILLER JOHNSON STEICHEN KINNARD, INC.	694	MINNEAPOLIS, MN
B 05/1998 - 11/1999	DAIN RAUSCHER INCORPORATED	31194	NEW YORK, NY
B 11/1995 - 05/1998	R.J. STEICHEN & COMPANY	694	MINNEAPOLIS, MN
B 01/1995 - 11/1995	SCHNEIDER SECURITIES, INC.	16434	DENVER, CO
B 08/1994 - 01/1995	PAULSON INVESTMENT COMPANY, INC.	5670	PORTLAND, OR
B 07/1994 - 08/1994	MATHEWS, HOLMQUIST & ASSOCIATES, INC.	22171	

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
10/2018 - Present	Advanced Advisor Group LLC	Registered Representative	Y	Cambridge, MN, United States
10/2018 - Present	EFS Advisors	Investment Advisor Representative	Y	Cambridge, MN, United States
08/2018 - 09/2018	Legacy	Representative	N	Vadnais Heights, MN, United States
05/2017 - 08/2018	White Bear Productions	Manager	N	Mahtomedi, MN, United States
11/2015 - 05/2017	Basis	Business Development	N	Forest City, IA, United States

Registration and Employment History



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.

No information reported.

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.
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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
Customer Dispute	0	3	N/A
Judgment/Lien	4	N/A	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 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FELTL AND COMPANY
Allegations:	THE CLIENTS STATE NUMEROUS TRANSACTIONS WERE MADE FROM 2004-2014 INVOLVING LOW PRICED "PENNY STOCKS". THEY ALLEGE VIOLATIONS INCLUDING MISREPRESENTATION, NEGLIGENCE, EXCESSIVE TRADING AND FAILURE TO ADEQUATELY DISCLOSE RISKS OF PENNY STOCK INVESTMENTS.
Product Type:	Equity-OTC Penny Stock
Alleged Damages:	\$800,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	15-00349
Date Notice/Process Served:	02/20/2015
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/20/2016



Monetary Compensation Amount:	\$300,000.00
Individual Contribution Amount:	\$300,000.00

Disclosure 2 of 3

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	FELTL & COMPANY
Allegations:	SUITABILITY AND UNAUTHORIZED TRADES FROM JANUARY 2004 THROUGH DECEMBER 2004.
Product Type:	Equity - OTC
Alleged Damages:	\$35,374.00

Customer Complaint Information

Date Complaint Received:	08/17/2006
Complaint Pending?	No
Status:	Settled
Status Date:	03/12/2007
Settlement Amount:	\$37,500.00
Individual Contribution Amount:	\$37,500.00

Disclosure 3 of 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	MILLER JOHNSON STEICHEN KINNARD
Allegations:	CUSTOMER UPSET WITH COMMISSIONS CHARGED AND LOSSES IN ACCOUNT. WANTED TO KNOW WHY FEE-BASED ACCOUNT WAS NEVER OFFERED.
Product Type:	Equity - OTC
Alleged Damages:	\$20,000.00



Customer Complaint Information

Date Complaint Received: 03/13/2003
Complaint Pending? No
Status: Settled
Status Date: 04/29/2003
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$10,000.00

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: MILLER JOHNSON STEICHEN KINNARD, INC.
Allegations: CUSTOMER UPSET WITH COMMISSIONS CHARGED AND LOSSES IN ACCOUNT. WANTED TO KNOW WHY FEE-BASED ACCOUNT WAS NEVER OFFERED.
Product Type: Equity - OTC
Alleged Damages: \$20,000.00

Customer Complaint Information

Date Complaint Received: 03/13/2003
Complaint Pending? No
Status: Settled
Status Date: 04/29/2003
Settlement Amount: \$20,000.00
Individual Contribution Amount: \$10,000.00



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$15,883.00
Judgment/Lien Type:	Tax
Date Filed with Court:	07/25/2014
Date Individual Learned:	07/25/2014
Type of Court:	State Court
Name of Court:	Washington County, MN
Location of Court:	Stillwater, MN
Docket/Case #:	3995192
Judgment/Lien Outstanding?	Yes
Broker Statement	Firm learned of the facts and circumstances of this lien from representative on 2/9/19.

Disclosure 2 of 4

Reporting Source:	Broker
Judgment/Lien Holder:	Internal Revenue Service
Judgment/Lien Amount:	\$39,343.00
Judgment/Lien Type:	Tax
Date Filed with Court:	10/19/2012
Date Individual Learned:	10/19/2012
Type of Court:	State Court
Name of Court:	Washington County, MN
Location of Court:	Stillwater, MN
Docket/Case #:	A3912573
Judgment/Lien Outstanding?	Yes



Broker Statement Firm learned of all the facts and circumstance of this lien from representative on 2/9/19

Disclosure 3 of 4

Reporting Source: Broker
Judgment/Lien Holder: Internal Revenue Service
Judgment/Lien Amount: \$2,049.00
Judgment/Lien Type: Tax
Date Filed with Court: 10/19/2012
Date Individual Learned: 10/19/2012
Type of Court: State Court
Name of Court: Washington County, MN
Location of Court: Stillwater, MN
Docket/Case #: A3912569
Judgment/Lien Outstanding? Yes
Broker Statement Firm learned of all the facts of circumstances of this lien from representative on 2/9/19

Disclosure 4 of 4

Reporting Source: Broker
Judgment/Lien Holder: Unspecified Creditor
Judgment/Lien Amount: \$3,056.00
Judgment/Lien Type: Civil
Date Filed with Court: 03/09/1995
Date Individual Learned: 05/01/2015
Type of Court: unspecified
Name of Court: Unspecified
Location of Court: Polk, WI
Docket/Case #: 95SC000082
Judgment/Lien Outstanding? Yes



Broker Statement

This is being filed based in data from a Disclosure Letter - the rep does not recall being notified of any judgments as such it is possible that this outstanding.

End of Report



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