

BrokerCheck Report
Heather Lee Hersey
 CRD# 2821781

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 9
Disclosure Events	10



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.



Heather L. Hersey

CRD# 2821781

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

- IA

LPL FINANCIAL LLC
117 WINNACUNNET ROAD
HAMPTON, NH 03842
CRD# 6413
Registered with this firm since: 12/06/2023
- B

LPL FINANCIAL LLC
9 JACKSON ST
METHUEN, MA 01844
CRD# 6413
Registered with this firm since: 11/29/2023

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
- 8 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA

CITIZENS SECURITIES, INC.
CRD# 39550
JOHNSTON, RI
03/2020 - 11/2023
- B

CITIZENS SECURITIES, INC.
CRD# 39550
GLOUCESTER, MA
03/2020 - 11/2023
- IA

MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED
CRD# 7691
NEW YORK, NY
10/2019 - 03/2020

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
Financial	1



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 8 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	General Securities Representative	Approved	11/29/2023

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	01/18/2024
B	Florida	Agent	Approved	11/29/2023
B	Maine	Agent	Approved	12/01/2023
B	Massachusetts	Agent	Approved	11/29/2023
IA	Massachusetts	Investment Adviser Representative	Approved	12/06/2023
B	New Hampshire	Agent	Approved	11/29/2023
IA	New Hampshire	Investment Adviser Representative	Approved	12/22/2023
B	North Carolina	Agent	Approved	02/15/2024
B	Vermont	Agent	Approved	11/29/2023
B	Virginia	Agent	Approved	09/30/2025

Branch Office Locations

LPL FINANCIAL LLC



Broker Qualifications

Employment 1 of 1, continued

9 JACKSON ST
METHUEN, MA 01844

LPL FINANCIAL LLC
10 GEORGE STREET
LOWELL, MA 01852

LPL FINANCIAL LLC
1070 LEXINGTON STREET
WALTHAM, MA 02452

LPL FINANCIAL LLC
16 NORTH MAIN STREET
ANDOVER, MA 01810

LPL FINANCIAL LLC
46 BEDFORD STREET
LEXINGTON, MA 02420

LPL FINANCIAL LLC
775 MAIN STREET
WALTHAM, MA 02451

LPL FINANCIAL LLC
148 LOWELL ST
METHUEN, MA 01844

LPL FINANCIAL LLC
117 WINNACUNNET ROAD
HAMPTON, NH 03842

LPL FINANCIAL LLC
325 STATE STREET
PORTSMOUTH, NH 03801

LPL FINANCIAL LLC
401 MAIN ST
SALEM, NH 03079

LPL FINANCIAL LLC
110 SOUTH MAIN STREET
ROCHESTER, NH 03867

LPL FINANCIAL LLC
76 MAIN STREET
PLAISTOW, NH 03865

Broker Qualifications



Employment 1 of 1, continued

LPL FINANCIAL LLC

70 MAIN STREET
DURHAM, NH 03824

LPL FINANCIAL LLC

537 CENTRAL AVENUE
DOVER, NH 03820

LPL FINANCIAL LLC

1 CENTER STREET
EXETER, NH 03833

LPL FINANCIAL LLC

456 ROUTE 111 - VILLAGE SQUARE
HAMPSTEAD, NH 03841

LPL FINANCIAL LLC

1555 LAFAYETTE ROAD
PORTSMOUTH, NH 03801

LPL FINANCIAL LLC

160 PORTSMOUTH AVENUE
STRATHAM, NH 03885

LPL FINANCIAL LLC

55 MAIN STREET
RAYMOND, NH 03077

LPL FINANCIAL LLC

BEVERLY, MA



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, 2 general industry/product exams, and 3 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	12/06/2017
B General Securities Representative Examination	Series 7	05/24/2007

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/17/2007
B Uniform Securities Agent State Law Examination	Series 63	06/11/2007
IA Uniform Investment Adviser Law Examination	Series 65	09/03/1997

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 03/2020 - 11/2023	CITIZENS SECURITIES, INC.	39550	GLOUCESTER, MA
B 03/2020 - 11/2023	CITIZENS SECURITIES, INC.	39550	GLOUCESTER, MA
IA 10/2019 - 03/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BOSTON, MA
B 10/2019 - 03/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	BOSTON, MA
IA 06/2016 - 12/2017	STRATEGIC ADVISERS, INC.	104555	SEATTLE, WA
B 06/2016 - 12/2017	FIDELITY BROKERAGE SERVICES LLC	7784	SEATTLE, WA
IA 12/2015 - 04/2016	SANTANDER SECURITIES	41791	BEVERLY, MA
B 12/2015 - 04/2016	SANTANDER SECURITIES LLC	41791	BEVERLY, MA
IA 07/2015 - 11/2015	CITIZENS SECURITIES, INC.	39550	MALDEN, MA
B 06/2015 - 11/2015	CITIZENS SECURITIES, INC.	39550	MALDEN, MA
IA 10/2014 - 01/2015	AMERIVEST INVESTMENT MANAGEMENT, LLC	111514	BURLINGTON, MA
IA 10/2014 - 01/2015	TD AMERITRADE, INC.	7870	BURLINGTON, MA
B 10/2014 - 01/2015	TD AMERITRADE, INC.	7870	BURLINGTON, MA
IA 08/2007 - 08/2013	STRATEGIC ADVISERS, INC.	104555	DANVERS, MA
B 05/2007 - 08/2013	FIDELITY BROKERAGE SERVICES LLC	7784	DANVERS, MA
IA 11/1998 - 10/2002	STRATEGIC ADVISERS INC.	104555	BURLINGTON, MA
B 11/1998 - 10/2002	FIDELITY BROKERAGE SERVICES LLC	7784	SMITHFIELD, RI
B 08/1997 - 11/1998	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY

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	NORTH ANDOVER, MA, United States
11/2023 - Present	M&T BANK	Financial Consultant	Y	NORTH ANDOVER, MA, United States
03/2020 - 11/2023	CITIZENS SECURITIES, INC.	FINANCIAL ADVISOR	Y	GLOUCESTER, MA, United States
11/2019 - 03/2020	BANK OF AMERICA, N.A.	Financial Advisor - FADP	Y	Boston, MA, United States
09/2019 - 03/2020	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	Financial Advisor Trainee	Y	Boston, MA, United States
06/2019 - 08/2019	Unemployed	Unemployed	N	Beverly, MA, United States
05/2019 - 05/2019	Integrated Retirement Solutions	Personal Assistant	Y	Wakefield, MA, United States
01/2019 - 05/2019	Freedom Wellness/Elements Massage	Massage Therapist and Wellness Consultant	N	Beverly, MA, United States
10/2018 - 01/2019	Yankee Leisure Group	Vacation Consultant	N	Beverly, MA, United States
06/2018 - 12/2018	Topaz Wellness/Elements Massage	Massage Therapist and Wellness Consultant	N	Middleton, MA, United States
12/2017 - 06/2018	Heather L Hersey DBA A Moving Healing Center	Massage Therapist and wellness consultant	N	Beverly, MA, United States
06/2016 - 12/2017	Fidelity Investments	Financial Consultant	Y	Seattle, WA, United States
07/2013 - 06/2016	Heather L Hersey DBA A Moving Healing Center	Massage Therapist and WELLNESS Consultant	N	BEVERLY, MA, United States
11/2015 - 04/2016	SANTANDER BANK NA	Financial Consultant	Y	Topsfield, MA, United States
11/2015 - 04/2016	SANTANDER SECURITIES LLC	Financial Consultant	Y	SAN JUAN, PR, 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.

- 1) 11/24/2023 - Investment products and services are offered through LPL Financial LLC using the DBA/trade name Wilmington Advisors @ M&T - Investment related - At reported business location(s).
 - 2) 12/12/2025 - Real Estate Rental - Investment Related - Raymond, NH - Start Date 12/13/2025 - 5 hours per month/ 0 hours during trading
 - 3) 12/12/2025 - Heather L Hersey DBA A Moving Healing Center - Other - Wellbeing coach, mindfulness, yoga and pol - Not Investment Related - Beverly, MA - Start Date 12/13/2025 - 5 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:**
 - 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.
 -
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
Financial	0	1	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.

Financial - Final

This type of disclosure event involves a bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation involving the broker or an organization/brokerage firm the broker controlled that occurred within the last 10 years.

Disclosure 1 of 1

Reporting Source:	Broker
Action Type:	Bankruptcy
Bankruptcy:	Chapter 7
Action Date:	11/30/2018
Organization Investment-Related?	
Type of Court:	Federal Court
Name of Court:	US Bankruptcy Court, District of MA, Boston Division
Location of Court:	Boston, MA
Docket/Case #:	18-14457
Action Pending?	No
Disposition:	Discharged
Disposition Date:	03/12/2019

End of Report



This page is intentionally left blank.