BrokerCheck Report

SHAWN ROBERT BLANKENSHIP

CRD# 3153322

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 R. BLANKENSHIP

CRD# 3153322

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
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B **GENWORTH FINANCIAL SECURITIES CORPORATION**
CRD# 10358
INDIAN TRAIL, NC
08/2005 - 03/2006

B **RAYMOND JAMES FINANCIAL SERVICES, INC.**
CRD# 6694
ST. PETERSBURG, FL
05/2002 - 08/2005

B **LEGG MASON WOOD WALKER, INCORPORATED**
CRD# 6555
BALTIMORE, MD
06/2001 - 04/2002

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	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), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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, 2 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	Futures Managed Funds Examination	Series 31	07/14/1999
B	General Securities Representative Examination	Series 7	06/21/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination	Series 65	02/17/2006
B	Uniform Securities Agent State Law Examination	Series 63	01/19/1999

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2005 - 03/2006	GENWORTH FINANCIAL SECURITIES CORPORATION	10358	INDIAN TRAIL, NC
B 05/2002 - 08/2005	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	ST. PETERSBURG, FL
B 06/2001 - 04/2002	LEGG MASON WOOD WALKER, INCORPORATED	6555	BALTIMORE, MD
B 06/1999 - 06/2001	MORGAN STANLEY DW INC.	7556	PURCHASE, 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
08/2005 - Present	GENWORTH FINANCIAL SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
09/2004 - Present	GREAT AMERICAN LIFE	FINANCIAL ADVISOR	Y	CHARLOTTE, NC, United States
09/2004 - Present	ING - (ILIAC)	FINANCIAL ADVISOR	Y	CHARLOTTE, NC, United States
09/2004 - Present	LIFE INSURANCE COMPANY OF SW	FINANCIAL ADVISOR	Y	CHARLOTTE, NC, United States
01/2004 - Present	UNION COUNTY NC CHAMBER OF COMM.	BOARD OF DIRECTORS	N	MONROE, NC, United States

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0

Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	05/21/2007
Docket/Case Number:	2006004848101
Employing firm when activity occurred which led to the regulatory action:	GENWORTH FINANCIAL SECURITIES CORPORATION
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 2110, 2330, 8210: RESPONDENT MISAPPROPRIATED $144,400 FROM CUSTOMERS BY EFFECTING UNAUTHORIZED WITHDRAWALS FROM THE CUSTOMERS' VARIABLE ANNUITIES AND WIRING THE FUNDS TO A BANK ACCOUNT HE CONTROLLED; HE FORGED THE SIGNATURES OF A CUSTOMER TO A VARIABLE ANNUITY FUNDS WITHDRAWAL FORM; HE FAILED TO PROVIDED INFORMATION REQUESTED BY NASD STAFF.
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:	05/21/2007
Sanctions Ordered:	Bar
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTION AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/22/2004
Docket/Case Number:	HPD# 04-35
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	
Allegations:	**01/22/2004** CONSENT TO FINDINGS THAT BLANKENSHIP: 1. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ATTEMPTING TO ALLOCATE IPO SHARES TO HIS FAMILY MEMBER'S ACCOUNT. 2. CAUSED A VIOLATION OF EXCHANGE RULE 440 AND SECURITIES EXCHANGE ACT RULES 17A-3 AND 17A-4 BY CAUSING HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE. 3. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY MAKING A MISSTATEMENT TO HIS MEMBER FIRM EMPLOYER CONCERNING AN OUTSIDE E-MAIL ACCOUNT. "STIPULATION AND CONSENT TO PENALTY EXECUTED BY BLANKENSHIP DATED JANUARY 22, 2003 INCLUDES HIS CONSENT TO THE IMPOSITION OF A PENALTY OF A CENSURE AND A $10,000 FINE BY THE NYSE HEARING BOARD. CURRENTLY AWAITING HEARING ON THIS STIPULATION."

Current Status:	Final
Resolution:	Decision
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:	04/16/2004
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
Sanction Details:	**03/15/2004** DECISION #04-35 ISSUED BY NYSE HEARING PANEL. DECISION: ATTEMPTED TO ALLOCATE IPO SHARES TO HIS FAMILY MEMBER'S ACCOUNT, CAUSED A VIOLATION OF EXCHANGE RULE 440 AND SEA RULES 17A-3 AND 17A-4 BY CAUSING HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE, AND MADE A MISSTATEMENT TO HIS MEMBER FIRM EMPLOYER CONCERNING AN OUTSIDE E-MAIL ACCOUNT. PENALTY: CENSURE AND $10,000 FINE.
Regulator Statement	**04/16/2004** THE DECISION IS NOW FINAL AND IS EFFECTIVE IMMEDIATELY. CONTACT: MICHELE VAN TASSEL (212) 656-5340.

Reporting Source:	Broker
Regulatory Action Initiated By:	NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	
Date Initiated:	01/22/2004
Docket/Case Number:	HDP#04-35
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	

Allegations:	**01/22/2004** CONSENT TO FINDINGS THAT BLANKENSHIP: 1. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY ATTEMPTING TO ALLOCATE IPO SHARES TO HIS FAMILY MEMBER'S ACCOUNT. 2. CAUSED A VIOLATION OF EXCHANGE RULE 440 AND SECURITIES EXCHANGE ACT RULES 17A-3 AND 17A-4 BY CAUSING HIS MEMBER FIRM'S BOOKS AND RECORDS TO BE INACCURATE. 3. ENGAGED IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE BY MAKING A MISSTATEMENT TO HIS MEMBER FIRM EMPLOYER CONCERNING AN OUTSIDE E-MAIL ACCOUNT. "STIPULATION AND CONSENT TO PENALTY EXECUTED BY BLANKENSHIP DATED JANUARY 22, 2003 INCLUDES HIS CONSENT TO THE IMPOSITION OF A PENALTY OF A CENSURE AND A $10,000 FINE BY THE NYSE HEARING BOARD. CURRENTLY AWAITING HEARING ON THIS STIPULATION."
Current Status:	Final
Resolution:	Decision
Resolution Date:	04/16/2004
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	
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Broker Statement	THE ALLEGED IPO TRADE WAS IN FACT AN ERRANT TRADE DURING AN INDICATION OF INTEREST PERIOD, IN THE SPRING OF 2001. THE TRADE WAS PLACE BY MY SALES ASSISTANT, AND WAS LATER CANCELLED BY MY BRANCH MANAGER WHO CAUGHT THE ERROR, THE SAME DAY. THE ALLEGED TRADE DID NOT BECOME AN ISSUE UNTIL 6 MONTHS AFTER THE INCIDENT AS MARGAN STANLEY BECAME AWARE OF MY INTENTIONS TO TRANSFER FIRMS AND TAKE MY BOOK OF BUSINESS AND RELATIONSHIPS WITH ME. AS JUSTIFICATION, THIS BECAME THEIR REASON TO ASK ME TO RESIGN. THE EMAIL ACCOUNT WAS ACTUALLY TWO PERSONAL EMAILS CARBON COPIED TO MY OUTSIDE EMAIL. AGAIN, TWO EMAILS CARBON COPIED BUT THAT WERE ACTUALLY SENT TO THE COMPANY EMAIL AND WERE FROM MY WIFE AND NEIGHBOR, NO ONE ELSE. NO BUSINESS WAS DISCUSSED, AT ALL. THIS EVEN TOOK PLACE IN SPRING OF 2002. I VENEHMENTLY DENY THE FINDINGS THE NYSE CONCLUDED ON ALL 3

CHARGES, AS SUBSTANTIAL RESOURCES AND TIME WOULD HAVE BEEN REQUIRED TO FIGHT THEM, OF WHICH THEY, THE NYSE, ACKNOWLEDGE. THE FINE AND CENSURE AGAIN STEM FROM EVENTS IN EARLY 2001 & 2002.

End of Report

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