**BrokerCheck Report**

# WILLIAM ROBERT WIGGINS II

CRD# 4261961

**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.
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**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.

# WILLIAM R. WIGGINS II

CRD# 4261961

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

IA **LPL FINANCIAL LLC**
804 EAST WILLIAMS ST
APEX, NC 27502
CRD# 6413
Registered with this firm since: 08/02/2019

B **LPL FINANCIAL LLC**
804 EAST WILLIAMS ST
APEX, NC 27502
CRD# 6413
Registered with this firm since: 08/02/2019

## 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
- 9 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 **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
RALEIGH, NC
06/2014 - 08/2019

IA **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
ST. LOUIS, MO
06/2014 - 08/2019

B **FIRST CITIZENS INVESTOR SERVICES, INC.**
CRD# 44430
GARNER, NC
01/2011 - 07/2014

### 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 | 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 9 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<br>FORT MILL, SC 29715** |
| Firm CRD#: | **6413** |

| | SRO | Category | Status | Date |
|---|---|---|---|---|
| B | FINRA | General Securities Representative | Approved | 08/02/2019 |

| | U.S. State/ Territory | Category | Status | Date |
|---|---|---|---|---|
| B | Florida | Agent | Approved | 10/29/2020 |
| B | Georgia | Agent | Approved | 05/26/2021 |
| B | Maryland | Agent | Approved | 08/02/2019 |
| B | New York | Agent | Approved | 08/02/2019 |
| B | North Carolina | Agent | Approved | 08/02/2019 |
| IA | North Carolina | Investment Adviser Representative | Approved | 08/02/2019 |
| B | Ohio | Agent | Approved | 02/07/2022 |
| B | Oregon | Agent | Approved | 10/28/2021 |
| B | South Carolina | Agent | Approved | 06/24/2020 |
| B | Virginia | Agent | Approved | 08/02/2019 |

## Branch Office Locations

**LPL FINANCIAL LLC**

# Broker Qualifications

## Employment 1 of 1, continued

5700 CREEDMOOR RD
RALEIGH, NC 27612

**LPL FINANCIAL LLC**
600 OBERLIN RD
RALEIGH, NC 27605

**LPL FINANCIAL LLC**
919 HWY 70 WEST
GARNER, NC 27529

**LPL FINANCIAL LLC**
1426 E 11TH ST
SILER CITY, NC 27344

**LPL FINANCIAL LLC**
7000 GB ALFORD HWY
HOLLY SPRINGS, NC 27540

**LPL FINANCIAL LLC**
32 INDUSTRIAL PARK DR STE 140
PITTSBORO, NC 27312

**LPL FINANCIAL LLC**
804 EAST WILLIAMS ST
APEX, NC 27502

**LPL FINANCIAL LLC**
RALEIGH, NC

**LPL FINANCIAL LLC**
2245 GTWY ACC PT SUITE 200
RALEIGH, NC 27607

**LPL FINANCIAL LLC**
611 N HOWE ST
SOUTHPORT, NC 28461

# 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 | 05/22/2003 |
| B | Investment Company Products/Variable Contracts Representative Examination | Series 6 | 09/21/2000 |

### State Securities Law Exams

| | Exam | Category | Date |
|---|---|---|---|
| IA | Uniform Investment Adviser Law Examination | Series 65 | 01/17/2002 |
| B | Uniform Securities Agent State Law Examination | Series 63 | 11/21/2000 |

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 | 06/2014 - 08/2019 | WELLS FARGO CLEARING SERVICES, LLC | 19616 | RALEIGH, NC |
| IA | 06/2014 - 08/2019 | WELLS FARGO CLEARING SERVICES, LLC | 19616 | RALEIGH, NC |
| B | 01/2011 - 07/2014 | FIRST CITIZENS INVESTOR SERVICES, INC. | 44430 | GARNER, NC |
| IA | 01/2011 - 07/2014 | FIRST CITIZENS INVESTOR SERVICES, INC. | 44430 | GARNER, NC |
| IA | 08/2004 - 01/2011 | CIC ADVISERS, LLC | 130735 | RALEIGH, NC |
| B | 07/2004 - 01/2011 | CAPITAL INVESTMENT GROUP, INC. | 14752 | RALEIGH, NC |
| IA | 06/2003 - 07/2004 | AXA ADVISORS, LLC | 6627 | RALEIGH, NC |
| B | 06/2003 - 07/2004 | AXA ADVISORS, LLC | 6627 | NEW YORK, NY |
| B | 09/2000 - 06/2003 | JEFFERSON PILOT SECURITIES CORPORATION | 3870 | FORT WAYNE, IN |

## 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 |
|---|---|---|---|---|
| 08/2019 - Present | LPL Financial LLC | Registered Representative | Y | Raleigh, NC, United States |
| 11/2016 - 07/2019 | WELLS FARGO CLEARING SERVICES, LLC | REGISTERED REP | Y | RALEIGH, NC, United States |
| 06/2014 - 11/2016 | WELLS FARGO ADVISORS, LLC | REGISTERED REP | Y | RALEIGH, NC, 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. 04/16/2024 - Fidelity Bank - Non-Inv Related - Financial Institution Duty - Relationship Manager - Started: 1/1/2024 - 2 Hrs/Mo.

2. 04/17/2024 - Non-Variable Insurance - Investment Related - At Reported Business Location(s) - Start Date 03/20/2024 - 5 Hours Per Month/ 1 Hour During Trading

3) 03/26/2025 - Blueprint Investment Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:03/04/2025 - 200 Hrs/Mth - 6 Hrs During Trading.

4)06/30/2025 - Blueprint Wealth Management Group, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:06/06/2025 - 200 Hrs/Mth - 6 Hrs 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 |
|---|---|---|---|
| Customer Dispute | 0 | 2 | N/A |

## Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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 2**

| | |
|---|---|
| **Reporting Source:** | Firm |
| **Employing firm when activities occurred which led to the complaint:** | CAPITAL INVESTMENT GROUP, INC. |
| **Allegations:** | CLAIMANT ALLEGES VIOLATION OF FEDERAL AND NC SECURITIES LAW, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE AND GROSS NEGLIGENCE RELATED TO INVESTMENTS IN FOUR REIT PURCHASES AND ONE 1031 EXCHANGE. |
| **Product Type:** | Other: REIT AND 1031 EXCHANGE |
| **Alleged Damages:** | $645,883.77 |
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | Yes |
| **Arbitration/Reparation forum or court name and location:** | FINRA |
| **Docket/Case #:** | 12-02932 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 08/13/2012 |

### Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 08/20/2012 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 12/17/2013 |
| **Settlement Amount:** | $145,000.00 |
| **Individual Contribution Amount:** | $0.00 |

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | CAPITOL INVESTMENT GROUP |
| **Allegations:** | CLAIMANT ALLEGES VIOLATION OF FEDERAL & NC SECURITIES LAW, BREACH OF CONTRACT, COMMON LAW FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE AND GROSS NEGLIGENCE RELATED TO INVESTMENTS IN FOUR REIT PURCHASES AND ONE 1031 EXCHANGE. [CUSTOMER AND CUSTOMER]CAME INTO CAPITAL BANK IN HICKORY, NC IN THE FALL OF 2007 AND REQUESTED A MEETING WITH A FINANCIAL ADVISOR TO ASSIST THEM WITH INVESTING SOME OF THEIR $1,000,000 THEY HAD JUST RECEIVED FROM THE SALE OF A COMMERCIAL PROPERTY. AT THIS INITIAL MEETING WE DISCUSSED THEIR RISK TOLERANCE, EXPECTATIONS FOR THIS MONEY, AND THEIR FINANCIAL GOALS. THEIR GOALS INCLUDED A HIGH PRIORITY ON TAX SHELTERS AND/OR TAX-DEFERRED VEHICLES, AS WELL AS HIGH-INTEREST BEARING VEHICLES. THE RESULT OF OUR CONVERSATIONS LED TO A MUTUAL AGREEMENT THAT A TAX-DEFERRED VARIABLE ANNUITY ($600K) AND A PRIVATE REIT ($200K)WAS APPROPRIATE AND SUITABLE TO ACCOMPLISH THESE GOALS. ADDITIONALLY, I ASSISTED THEM WITH A 1031 EXCHANGE WITH THE PROCEEDS FROM A CONDO IN FLORIDA THEY SOLD. THE AMOUNT OF THE 1031 WAS $350K WHICH WAS REINVESTED INTO AN APARTMENT COMPLEX IN RALEIGH, NC AND ALLOWED THEM TO AVOID CAPITAL GAINS TAX ON THE SALE OF THE CONDO. BASED ON ALL OF THE FINANCIAL FACT FINDING AND DATA GATHERING, AS WELL AS EXTENSIVE CONVERSATIONS AND MULTIPLE METINGS (AT LEAST 8-10 MEETINGS FROM 2007-2010), TO MY KNOWLEDGE ALL OF THE INVESTMENT VEHICLES WERE APPROPRIATE AND SUITABLE FOR THE [CUSTOMERS]. |
| **Product Type:** | Other: PRIVATE REIT & 1031 EXCHANGE |
| **Alleged Damages:** | $645,883.77 |

| | |
|---|---|
| **Is this an oral complaint?** | No |
| **Is this a written complaint?** | Yes |
| **Is this an arbitration/CFTC reparation or civil litigation?** | Yes |
| **Arbitration/Reparation forum or court name and location:** | FINRA |
| **Docket/Case #:** | 12-02932 |
| **Filing date of arbitration/CFTC reparation or civil litigation:** | 08/13/2012 |

## Customer Complaint Information

| | |
|---|---|
| **Date Complaint Received:** | 08/20/2012 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 12/17/2013 |
| **Settlement Amount:** | $145,000.00 |
| **Individual Contribution Amount:** | $0.00 |

### Disclosure 2 of 2

| | |
|---|---|
| **Reporting Source:** | Broker |
| **Employing firm when activities occurred which led to the complaint:** | CAPITAL INVESTMENT GROUP, INC. |
| **Allegations:** | HUSBAND OF CUSTOMER WROTE FIRM CLAIMING HE HAD INSTRUCTED REP TO PLACE HIS WIFE'S RETIREMENT IN A FLEXIBLE EASY TO USE VEHICLE. REP PURCHASED VARIABLE ANNUITY FOR CUSTOMER. |
| **Product Type:** | Annuity-Variable |
| **Alleged Damages:** | $15,000.00 |
| **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:** | 04/22/2008 |
| **Complaint Pending?** | No |
| **Status:** | Settled |
| **Status Date:** | 05/27/2008 |
| **Settlement Amount:** | $14,897.86 |
| **Individual Contribution Amount:** | $4,965.95 |
| **Broker Statement** | REP BELIEVES THAT CUSTOMER FULLY UNDERSTOOD AND SIGNED OFF ON PRODUCT PURCHASED. HUSBAND OF CUSTOMER HAS TAKEN EXCEPTION TO THE PRODUCT AND SEVERAL CONVERSATIONS TOOK PLACE WITH THE REP, CCO, CUSTOMER AND CUSTOMER'S HUSBAND IN AN ATTEMPT TO SORT OUT FACTS AND SETTLE THE SITUATION. THESE OCCURRED PRIOR TO THE WRITTEN COMPLAINT FILED BY THE HUSBAND OF THE CUSTOMER. |

# End of Report

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