

BrokerCheck Report

JOSEPH SHAWN MCGUIRE

CRD# 4500913

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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.](http://www.finra.org)

JOSEPH S. MCGUIRE

CRD# 4500913

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

- B AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.**
10892 Crabapple Rd
Suite 100
Roswell, GA 30075
CRD# 18487
Registered with this firm since: 01/04/2016
- IA AMERICAN PORTFOLIOS ADVISORS, INC**
4250 VETERAN'S MEMORIAL HIGHWAY
4TH. FLOOR, SUITE 420E
HOLBROOK, NY 11741
CRD# 112697
Registered with this firm since: 01/11/2016

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:

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

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

- IA FSC SECURITIES CORPORATION**
CRD# 7461
ATLANTA, GA
05/2008 - 12/2015
- B FSC SECURITIES CORPORATION**
CRD# 7461
ROSWELL, GA
04/2007 - 12/2015
- B WM FINANCIAL SERVICES, INC.**
CRD# 599
DECATUR, GA
09/2005 - 03/2007

**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
Criminal	1
Customer Dispute	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 9 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **AMERICAN PORTFOLIOS ADVISORS, INC**

Main Office Address: **4250 VETERAN'S MEMORIAL HIGHWAY
4TH. FLOOR, SUITE 420E
HOLBROOK, NY 11741**

Firm CRD#: **112697**

	U.S. State/ Territory	Category	Status	Date
IA	Georgia	Investment Adviser Representative	Approved	01/20/2016
IA	North Carolina	Investment Adviser Representative	Approved	07/13/2018
IA	Pennsylvania	Investment Adviser Representative	Approved	01/11/2016
IA	South Carolina	Investment Adviser Representative	Approved	01/27/2016

Branch Office Locations

This individual does not have any registered Branch Office where the individual is located.

Employment 2 of 2

Firm Name: **AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.**

Main Office Address: **4250 VETERANS MEMORIAL HIGHWAY
4TH FLOOR EAST
HOLBROOK, NY 11741**

Firm CRD#: **18487**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	01/04/2016
B	FINRA	General Securities Representative	Approved	01/04/2016



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	01/04/2016

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	01/04/2016
B Florida	Agent	Approved	01/11/2016
B Georgia	Agent	Approved	01/04/2016
B Massachusetts	Agent	Approved	01/04/2016
B North Carolina	Agent	Approved	01/04/2016
B Pennsylvania	Agent	Approved	01/04/2016
B South Carolina	Agent	Approved	01/04/2016
B Texas	Agent	Approved	08/30/2019
B Virginia	Agent	Approved	01/04/2016

Branch Office Locations

AMERICAN PORTFOLIOS FINANCIAL SERVICES, INC.
 10892 Crabapple Rd
 Suite 100
 Roswell, GA 30075



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.

This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	12/12/2012

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	12/11/2003
B Investment Company Products/Variable Contracts Representative Examination	Series 6	04/16/2002

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	05/19/2008
B Uniform Securities Agent State Law Examination	Series 63	03/01/2002

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 05/2008 - 12/2015	FSC SECURITIES CORPORATION	7461	ROSWELL, GA
B 04/2007 - 12/2015	FSC SECURITIES CORPORATION	7461	ROSWELL, GA
B 09/2005 - 03/2007	WM FINANCIAL SERVICES, INC.	599	DECATUR, GA
B 09/2003 - 10/2004	INVESTMENT PROFESSIONALS, INC.	30184	SAN ANTONIO, TX
B 11/2002 - 08/2003	ONEAMERICA SECURITIES, INC.	4173	INDIANAPOLIS, 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
01/2016 - Present	American Portfolios Financial Services Inc.	Registered Representative	Y	Holbrook, NY, United States
04/2007 - Present	FSC SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	ROSWELL, GA, 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) Live Oak Wealth Management, LLC ; INVESTMENT RELATED; 11115 HOUZE ROAD SUITE 100 ROSWELL, GA 30076; INDEPENDENT AGENT; 01-01-2008; 100 HRS/MONTH; 100 HRS/MONTH DURING SECURITIES TRADING HOURS; ACTIVELY ENGAGED IN SELLING FIXED ANNUITIES AND FIXED LIFE

2) INVESTMENT ADVISORY SERVICES OFFERED THRU AMERICAN PORTFOLIOS ADVISORS, INC.; ; 11115 HOUZE ROAD SUITE 100 ROSWELL, GA 30076; IAR; MAY 2009; 20 HRS/MONTH; 20 HRS/MONTH DURING SECURITIES TRADING HOURS; PORTFOLIO MANAGEMENT AND PERCENTAGE BASED FEES FOR INVESTMENT ADVICE NOT ASSOCIATED WITH MANAGED MONEY

Registration and Employment History



Other Business Activities, continued

3) LIVE OAK WEALTH MANAGEMENT, LLC

POSITION: Managing Member NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 12/30/2014

ADDRESS: 11115 Houze Road, Suite 100, Roswell GA 30076

DESCRIPTION: Managing member of Live Oak Management

4. J. SHAWN MCGUIRE. FIXED INSURANCE. 50% OWNERSHIP. NOT SECURITIES RELATED. STARTD DATE 1/2018. 1 HOUR DEVOTED PER MONTH, 1 HOUR DURING MARKET HOURS.



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
Criminal	0	1	0
Customer Dispute	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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	SUPERIOR COURT OF TOWNS COUNTY, HIAWASSEE, GA, CASE # 94-CR-65
Charge Date:	04/19/1994
Charge Details:	ONE COUNT, FELONY, POSSESSION WITH INTENT TO DISTRIBUTE CONTROLLED SUBSTANCE - MARIJUANA, PLEA - GUILTY W/ FIRST OFFENDER TREATMENT
Felony?	Yes
Current Status:	Final
Status Date:	09/27/1995
Disposition Details:	DISCHARGED WITHOUT COURT ADJUDICATION OF GUILT 9/27/1995, FIRST OFFENDER TREATMENT, 5 YEARS PROBATION, 96 HOURS COMMUNITY SERVICE, \$3,363.00 FINE (PAID 04/1998)
Broker Statement	MY COLLEGE ROOMMATE WAS STOPPED IN A ROADBLOCK AND ARRESTED. UPON SEARCH OF DORMITORY ROOM, WHERE I WAS PRESENT, I WAS ALSO ARRESTED AND CHARGED.



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 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	FSC SECURITIES CORP
Allegations:	CLAIMANT ALLEGES THAT TWO ALTERNATIVE INVESTMENTS WERE UNSUITABLE.
Product Type:	Real Estate Security
Alleged Damages:	\$55,000.00
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 #:	20-03211
Filing date of arbitration/CFTC reparation or civil litigation:	09/11/2020

Customer Complaint Information

Date Complaint Received:	10/13/2020
Complaint Pending?	No
Status:	Settled
Status Date:	01/19/2022
Settlement Amount:	\$5,000.00
Individual Contribution Amount:	\$0.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: FSC Securities Corp.

Allegations: Claimant alleges that two alternative investments were unsuitable.

Product Type: Real Estate Security

Alleged Damages: \$55,000.00

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 #: 20-03211

Filing date of arbitration/CFTC reparation or civil litigation: 09/11/2020

Customer Complaint Information

Date Complaint Received: 11/16/2020

Complaint Pending? No

Status: Settled

Status Date: 01/19/2022

Settlement Amount: \$5,000.00

Individual Contribution Amount: \$0.00

Broker Statement Claimant's allegations regarding unsuitable investments are false. Investments were consistent with claimant's risk tolerance and investment objectives. The financial settlement agreed upon by the parties involved was for 9% of alleged damage amount with no monetary contribution from myself.

End of Report



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