

## BrokerCheck Report

**STEVEN P MCTAGGART**

CRD# 4748857

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).

**STEVEN P. MCTAGGART**

CRD# 4748857

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

**IA LPL FINANCIAL LLC**  
 1401 SOUTH FLORIDA AVENUE  
 LAKELAND, FL 33803  
 CRD# 6413  
 Registered with this firm since: 01/03/2022

**B LPL FINANCIAL LLC**  
 1401 SOUTH FLORIDA AVENUE  
 LAKELAND, FL 33803  
 CRD# 6413  
 Registered with this firm since: 08/29/2019

**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
- 33 U.S. states and territories

**This broker has passed:**

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

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

- IA ALLEN & COMPANY OF FLORIDA, LLC**  
 CRD# 25  
 LAKELAND, FL  
 11/2019 - 03/2022
- B ALLEN & COMPANY OF FLORIDA, LLC**  
 CRD# 25  
 LAKELAND, FL  
 11/2019 - 12/2019
- IA ALLEN & COMPANY OF FLORIDA, LLC**  
 CRD# 25  
 LAKELAND, FL  
 09/2006 - 11/2019

**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
Termination	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 33 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 Principal	Approved	08/29/2019
B	FINRA	General Securities Representative	Approved	08/29/2019

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	08/30/2019
B	Alaska	Agent	Approved	05/19/2021
B	Arizona	Agent	Approved	09/12/2019
B	California	Agent	Approved	08/29/2019
B	Colorado	Agent	Approved	09/06/2019
B	Florida	Agent	Approved	08/30/2019
IA	Florida	Investment Adviser Representative	Approved	01/04/2022
B	Georgia	Agent	Approved	09/03/2019
B	Illinois	Agent	Approved	09/11/2019
B	Indiana	Agent	Approved	09/19/2019
B	Iowa	Agent	Approved	09/20/2019

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Kentucky	Agent	Approved	07/28/2022
B	Maine	Agent	Approved	04/30/2021
B	Maryland	Agent	Approved	09/03/2019
B	Massachusetts	Agent	Approved	09/06/2019
B	Michigan	Agent	Approved	09/03/2019
B	Minnesota	Agent	Approved	09/04/2019
B	Mississippi	Agent	Approved	06/26/2025
B	Missouri	Agent	Approved	08/29/2019
B	Nebraska	Agent	Approved	08/29/2019
B	New Jersey	Agent	Approved	04/26/2024
B	New York	Agent	Approved	08/30/2019
B	North Carolina	Agent	Approved	11/04/2019
B	Ohio	Agent	Approved	09/09/2019
B	Oklahoma	Agent	Approved	09/03/2019
B	Pennsylvania	Agent	Approved	09/04/2019
B	South Carolina	Agent	Approved	04/29/2025
B	Tennessee	Agent	Approved	08/29/2019
B	Texas	Agent	Approved	09/05/2019
IA	Texas	Investment Adviser Representative	Restricted Approval	01/03/2022
B	Virginia	Agent	Approved	09/06/2019
B	Washington	Agent	Approved	09/16/2019



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	West Virginia	Agent	Approved	02/05/2020
B	Wisconsin	Agent	Approved	09/17/2019
B	Wyoming	Agent	Approved	09/03/2019

Branch Office Locations

LPL FINANCIAL LLC  
1401 SOUTH FLORIDA AVENUE  
LAKELAND, FL 33803

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## 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	07/19/2015

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	03/05/2004

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	03/24/2004

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/](http://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>IA</b> 11/2019 - 03/2022	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL
<b>B</b> 11/2019 - 12/2019	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL
<b>IA</b> 09/2006 - 11/2019	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL
<b>B</b> 08/2005 - 11/2019	ALLEN & COMPANY OF FLORIDA, LLC	25	LAKELAND, FL
<b>IA</b> 04/2004 - 09/2005	MERRILL LYNCH PIERCE FENNER & SMITH INC.	7691	TAMPA, FL
<b>B</b> 03/2004 - 09/2005	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, 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
08/2019 - Present	LPL FINANCIAL, LLC	REGISTERED REPRESENTATIVE	Y	LAKELAND, FL, United States
08/2005 - Present	ALLEN & COMPANY OF FLORIDA, INC.	FINANCIAL ADVISOR	Y	LAKELAND, FL, 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. 9/10/2019 - 4H4 Investment, LLC - Investment Related - Las Vegas, NV 89113 - Real Estate Rental - Owner - Started 01/01/2011 - 1 Hours Per Month/0 Hours During Securities Trading - Time Spent 1%.
2. 9/10/2019 - DSZ Group, Inc - Not Investment Related - 2910 Maine Lakeland, FL 33801 - Other-Business Owner - Started 04/01/2008 - Moving



## Registration and Employment History

### Other Business Activities, continued

and storage business, part-owner.

3. 11/5/2020 - No Business Name - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Started 10/30/2020 - 2 Hours Per Month During Securities Trading.

4. 3/1/2021 - McTaggart & Associates - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Start Date: 1/26/2021 - 4 Hours Per Month/0 Hours During Securities Trading.

5. 8/30/2021 - Plutus 2 - Investment Related - Location: To Be Determined - Business Entity For Tax/Investment Purposes Only - Start Date: 08/10/2021 - 1 Hour Per Month/0 Hours During Securities Trading.

6. 2/4/2022 - Plutus Investments, LLC - Investment Related - Location/Address: to be determined - Real Estate Rental - Started 10/27/2020 - 1 Hour Per Month/0 Hours During Securities Trading - Looking at a couple of farms to purchase for renting.

7. 3/17/2022 - Allen & Company - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 09/03/2019 - 0 Hour Per Month/0 Hours During Securities Trading.

8. 3/17/2022 - Allen & Company of Florida, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 09/03/2019 - 0 Hour Per Month/0 Hours During Securities Trading

9. 08/14/2023 - Real Estate Rental - Investment Related - farm near Dublin Georgia - Start Date 06/01/2023 - 2 Hours Per Month/ 0 Hours During Trading

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## 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.
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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
Termination	N/A	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.

### Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employer Name:</b>	MERRILL LYNCH, PIERCE, FENNER & SMITH, INC.
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	08/16/2005
<b>Allegations:</b>	MR. MCTAGGART WAS TERMINATED FROM MERRILL LYNCH ON 8/15/2005 AFTER THEY CONCLUDED THAT THE HAD ALTERED A CLIENT DOCUMENT AND SUBMITTED IT TO THE FIRM IN ORDER TO CONDUCT A TRANSFER OF FUNDS ON THE CLIENT'S BEHALF TO THE CLIENT'S BANK ACCOUNT. THE FIRM ALSO CONCLUDED THAT MR. MCTAGGART SIGNED A CLIENT'S NAME TO A DOCUMENT WITHOUT THE CLIENT'S KNOWLEDGE. THE CLIENT WAS NOTIFIED AFTER THE FACT.
<b>Product Type:</b>	No Product
<b>Other Product Types:</b>	
<b>Broker Statement</b>	DURING THE SECOND WEEK OF AUGUST 2005, A CLIENT AND FRIEND OF MORE THAN 12 YEARS, REQUESTED A WIRE TRANSFER FROM HIS BROKERAGE ACCOUNT TO HIS BANK (SAME NAME). ON A NUMBER OF OCCASIONS THIS CLIENT HAD DONE THE SAME TRANSACTION, THEREFORE WE HAD SIGNED LETTER OF AUTHORIZATION ON FILE. WHEN I SUBMITTED THE REQUEST FOR TRANSFER, I REALIZED THE AMOUNT WAS NOT THE SAME AS THE CLIENT'S REQUEST. AT THAT TIME I CHANGED THE AMOUNT. ADDITIONALLY, THE CLIENT HAD SENT STOCK POWERS ALONG WITH CERTIFICATES FOR DEPOSIT INTO THE ACCOUNT. WHEN AN EXTRA STOCK POWER WAS NEEDED, I TRACED OVER A COPY



OF THE CLIENT'S SIGNATURE TO DEPOSIT  
THE STOCK TO HIS ACCOUNT. SINCE THE CLIENT HAS BEEN A FRIEND  
FOR MORE THAN 12 YEARS I WRONGLY ASSUMED I COULD MAKE THE  
NECESSARY CHANGES TO THE LOA AND STOCK POWER. AFTER THE FACT  
I NOTIFIED MY CLIENT OF MY ACTIONS OF WHICH HE APPROVED AND  
RATIFIED THE SAME.

## End of Report



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