

## BrokerCheck Report

**ERIK MATTHEW SHEELER**

CRD# 6830251

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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).

**ERIK M. SHEELER**

CRD# 6830251

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

- B** **NATIONAL FINANCIAL SERVICES LLC**  
900 SALEM STREET  
SMITHFIELD, RI 02917  
CRD# 13041  
Registered with this firm since: 11/04/2024

## 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
- 0 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- B** **FIDELITY BROKERAGE SERVICES LLC**  
CRD# 7784  
SMITHFIELD, RI  
05/2022 - 10/2024
- B** **PRUCO SECURITIES, LLC.**  
CRD# 5685  
WARWICK, RI  
06/2018 - 07/2019

### 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? **No**



## 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 0 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **NATIONAL FINANCIAL SERVICES LLC**  
Main Office Address: **245 SUMMER STREET  
BOSTON, MA 02210**  
Firm CRD#: **13041**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/04/2024
B	FINRA	General Securities Sales Supervisor	Approved	11/04/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	11/04/2024
B	FINRA	Operations Professional	Approved	01/10/2025

### Branch Office Locations

**NATIONAL FINANCIAL SERVICES LLC**  
900 SALEM STREET  
SMITHFIELD, RI 02917

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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 2 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Sales Supervisor - Options Module Examination	Series 9	07/24/2023
<b>B</b> General Securities Sales Supervisor - General Module Examination	Series 10	07/03/2023

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Operations Professional Examination	Series 99TO	01/10/2025
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	11/04/2024
<b>B</b> General Securities Representative Examination	Series 7TO	05/27/2022
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	06/23/2018

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	06/10/2022

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>B</b> 05/2022 - 10/2024	FIDELITY BROKERAGE SERVICES LLC	7784	SMITHFIELD, RI
<b>B</b> 06/2018 - 07/2019	PRUCO SECURITIES, LLC.	5685	WARWICK, RI

### 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
02/2022 - Present	FIDELITY INVESTMENTS	RISK ANALYST OPERATIONS	Y	SMITHFIELD, RI, United States
07/2021 - 02/2022	Excel Tire Gauge	Repair Technician	N	Warwick, RI, United States
04/2021 - 07/2021	Manpower LLC	Repair Technician	N	Cranston, RI, United States
01/2021 - 04/2021	Toray Plastics	Production Technician	N	North Kingston, RI, United States
11/2020 - 01/2021	Unemployed	Unemployed	N	Providence, RI, United States
10/2020 - 11/2020	Silverman McGovern	Compliance Associate Contractor	N	Providence, RI, United States
08/2020 - 10/2020	Honeywell Safety Products	Mask Assembler I	N	North Smithfield, RI, United States
06/2020 - 08/2020	Manpower LLC	Mask Assembler I	N	Cranston, RI, United States
12/2019 - 06/2020	Unemployed	Unemployed	N	Providence, RI, United States
06/2019 - 12/2019	Bank of America	Relationship Manager	N	Wakefield, RI, United States
01/2018 - 06/2019	Pruco Securities, LLC	Registered Representative	Y	Warwick, RI, United States
01/2018 - 06/2019	The Prudential Insurance Company of America	Financial Professional Associate	Y	Warwick, RI, United States
01/2018 - 06/2019	The Prudential Insurance Company of	Financial Professional	Y	Warwick, RI, United States



## Registration and Employment History

### Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
	America	Associate		
09/2016 - 05/2018	Johnson & Wales University	Full-Time Student	N	Providence, RI, United States
05/2016 - 02/2017	Home Depot	Cashier	N	Providence, RI, United States
06/2015 - 05/2016	Susquehanna University	Full-Time Student	N	Selinsgrove, PA, United States
10/2015 - 04/2016	Susquehanna University	Groundskeeping	N	Selinsgrove, PA, 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.

OBA-103449|OrgNm:Unregistered Business (eBay Online Sales) |Org Addr:Coventry ,Rhode Isla,US|OBA Nature:Self Owned eCommerce retail sa|Invst Rel:N|Title:eBay Account Operator |Duties:Owner / Operator of Online Profile |StrtDt:10-18-23|TotHrs/mon:40|TrdHrs/mon:0|



## End of Report



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