BrokerCheck Report

PLANNED INVESTMENT CO., INC.

CRD# 3050

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.

PLANNED INVESTMENT CO., INC.

CRD# 3050

SEC# 8-15266

Main Office Location

9265 COUNSELORS ROW
SUITE 150
INDIANAPOLIS, IN 46240

Mailing Address

9265 COUNSELORS ROW
SUITE 150
INDIANAPOLIS, IN 46240

Business Telephone Number

317 575-8804

This firm is a brokerage firm and an investment adviser firm. For more information about investment adviser firms, visit the SEC's Investment Adviser Public Disclosure website at:

https://www.adviserinfo.sec.gov

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Indiana on 09/22/1969.

Its fiscal year ends in June.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This brokerage firm is no longer registered with FINRA or a national securities exchange.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1

Registration Withdrawal Information

This section provides information relating to the date the brokerage firm ceased doing business and the firm's financial obligations to customers or other brokerage firms.

Date firm ceased business:	12/17/2018
Does this brokerage firm owe any money or securities to any customer or brokerage firm?	No

Firm Profile

This firm is classified as a corporation.

This firm was formed in Indiana on 09/22/1969.

Its fiscal year ends in June.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

PLANNED INVESTMENT CO., INC.

Doing business as PLANNED INVESTMENT CO., INC.

CRD# 3050

SEC# 8-15266

Main Office Location

9265 COUNSELORS ROW
SUITE 150
INDIANAPOLIS, IN 46240

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Business Telephone Number

317 575-8804

Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any):	STEEL, GEORGE DONALD 716992
Is this a domestic or foreign entity or an individual?	Individual
Position	CEO/PRESIDENT/CO-CCO/DIRECTOR/TREASURER
Position Start Date	03/2003
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ROHN, THOMAS ADAM 1306805
Is this a domestic or foreign entity or an individual?	Individual
Position	EXECUTIVE VICE PRESIDENT/CHIEF FINANCIAL OFFICER/DIRECTOR
Position Start Date	03/2003
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Legal Name & CRD# (if any):	ROHN, THOMAS ADAM II 2746445
Is this a domestic or foreign entity or an individual?	Individual
Position	SECRETARY

Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	09/2015
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No

Legal Name & CRD# (if any):	STEEL, ERIC RICHARD 5798472
Is this a domestic or foreign entity or an individual?	Individual
Position	VICE PRESIDENT/ASSISTANT COMPLIANCE OFFICER
Position Start Date	10/2012
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.

Indirect Owners

No information reported.

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.

Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is no longer registered.

The firm's registration was from 12/11/1958 to 02/19/2019.

Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 8 types of businesses.

Types of Business

Broker or dealer retailing corporate equity securities over-the-counter
Broker or dealer selling corporate debt securities
Mutual fund retailer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Put and call broker or dealer or option writer
Investment advisory services
Other - G. DONALD STEEL, THE FIRM'S OWNER, PRESIDENT AND CHIEF EXECUTIVE OFFICER, IS ALSO A STOCKHOLDER AND DIRECTOR IN HOOSIER TRUST COMPANY, AN INDIANA TRUST COMPANY.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does engage in other non-securities business.

Non-Securities Business Description: 11B PLANNED INVESTMENT COMPANY, INC. IS INSURANCE LICENSED IN THE STATES OF INDIANA, KENTUCKY AND ILLINOIS TO FACILITATE THE SERVICE AND SALES OF LIFE INSURANCE, ANNUITY PRODUCTS AND VARIABLE ANNUITY/VARIABLE LIFE.

Firm Operations

Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does refer or introduce customers to other brokers and dealers.

Name:	RBC CAPITAL MARKETS, LLC
CRD #:	31194
Business Address:	60 SOUTH SIXTH STREET MINNEAPOLIS, MN 55402
Effective Date:	03/05/2012
Description:	PLANNED INVESTMENT CO., INC. AND RBC CAPITAL MARKETS, LLC HAVE A CLEARING ARRANGEMENT WHEREBY PLANNED INVESTMENT CO., INC. INTRODUCES SECURITIES TRANSACTIONS UNDER A FULL AND FAIRLY DISCLOSED BASIS

Firm Operations

Industry Arrangements

This firm does have books or records maintained by a third party.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 60 SOUTH SIXTH STREET
MINNEAPOLIS, MN 55402

Effective Date: 03/05/2012

Description: PLANNED INVESTMENT CO., INC. HAS A FULL AND FAIRLY DISCLOSED INTRODUCING AGREEMENT TRADING SECURITIES. RBC CAPITAL MARKETS, LLC IS A CLEARING FIRM.

This firm does have accounts, funds, or securities maintained by a third party.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 60 SOUTH SIXTH STREET
MINNEAPOLIS, MN 55402

Effective Date: 03/05/2012

Description: RBC CAPITAL MARKETS, LLC HOLDS A CLEARING DEPOSIT BY PLANNED INVESTMENT CO., INC., AND COLLECTS AND DELIVERS ALL CHECKS AND SECURITIES.

This firm does have customer accounts, funds, or securities maintained by a third party.

Name: RBC CAPITAL MARKETS, LLC

CRD #: 31194

Business Address: 60 SOUTH SIXTH STREET
MINNEAPOLIS, MN 55402

Effective Date: 03/05/2012

Description: RBC CAPITAL MARKETS, LLC AND PLANNED INVESTMENT CO., INC. HAVE A CLEARING AGREEMENT WHEREBY PLANNED INVESTMENT CO., INC. INTRODUCES SECURITIES TRANSACTIONS UNDER A FULL AND FAIRLY DISCLOSED BASIS.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.

Firm Operations

Industry Arrangements (continued)

Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is not, directly or indirectly:

- **in control of**
- **controlled by**
- **or under common control with**

the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.

This firm is not directly or indirectly, controlled by the following:

- **bank holding company**
- **national bank**
- **state member bank of the Federal Reserve System**
- **state non-member bank**
- **savings bank or association**
- **credit union**
- **or foreign bank**

Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	1	0

Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Current Status:	Final

Allegations:	4.THE DIVISION ALLEGES THAT FROM APPROXIMATELY OCTOBER 1, 2009, TO FEBRUARY 8, 2010, PLANNED INVESTMENT CO., INC. ("PIC") EMPLOYED HUGHES WHO TRANSACTED BUSINESS IN INDIANA ON BEHALF OF PIC AS AN INVESTMENT ADVISER REPRESENTATIVE ALTHOUGH HUGHES WAS NOT REGISTERED AS AN AGENT WITH PIC IN THE STATE OF INDIANA DURING THAT PERIOD OF TIME, IN VIOLATION OF IND. CODE § 23-19-4-3(D).
Initiated By:	INDIANA
Date Initiated:	11/03/2010
Docket/Case Number:	10-0297 CA
URL for Regulatory Action:	
Principal Product Type:	Other
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	COSTS OF THE INVESTIGATION
Resolution:	Consent
Resolution Date:	11/03/2010
Sanctions Ordered:	Monetary/Fine $2,000.00
Other Sanctions Ordered:	COSTS OF THE INVESTIGATION IN THE AMOUNT OF $1,500.
Sanction Details:	ON OR ABOUT NOVEMBER 3, 2010, PIC PAID A CIVIL PENALTY OF $2,000 AND COSTS OF THE INVESTIGATION IN THE AMOUNT OF $1,500.

Reporting Source:	Firm
Current Status:	Final
Allegations:	THE DIVISION ALLEGES THAT FROM APPROXIMATELY OCTOBER 1, 2009 TO FEBRUARY 8, 2010, PIC EMPLOYED DARIN HUGHES WHO TRANSACTED BUSINESS IN INDIANA ON BEHALF OF PIC AS AN INVESTMENT ADVISER REPRESENTATIVE ALTHOUGH HUGHES WAS NOT REGISTERED AS AN AGENT WITH PIC IN THE STATE OF INDIANA DURING THAT TIME, IN VIOLATION OF IND. CODE 23-19-4-3(D).
Initiated By:	FIRM SELF REPORTED AN ADMINISTRATIVE ERROR TO THE STATE OF INDIANA SECURITIES DIVISION.
Date Initiated:	11/03/2010

Docket/Case Number:	10-0297 CA
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Civil and Administrative Penalt(ies) /Fine(s)
Other Sanction(s)/Relief Sought:	NO.
Resolution:	Consent
Resolution Date:	11/03/2010
Sanctions Ordered:	Monetary/Fine $2,000.00
Other Sanctions Ordered:	IN ADDITION TO THE PENALTY NOTED ABOVE, PIC AGREED TO PAY $1500.00 COST OF INVESTIGATION FOR THE FIRM AND ELECTED TO PAY THE $500.00 COST OF INVESTIGATION FOR DARIN HUGHES TO THE STATE OF INDIANA SECURITIES DIVISION.
Sanction Details:	$3500.00 ($2000.00 PENALTY PLUS $1500.00 COST OF INVESTIGATION) WAS ALLOCATED TO PLANNED INVESTMENT COMPANY AND THE FIRM ELECTED TO PAY THE $500 ALLOCATION TO DARIN HUGHES FOR THE COST OF INVESTIGATION. FULL PAYMENT MADE BY CHECK ON 11/3/2010 TO THE STATE OF INDIANA IN THE AMOUNT OF $4000.00.
Firm Statement	PER THE INDIANA SECURITIES DIVISION ENFORCEMENT ATTORNEY, WE SHOULD ANSWER "YES" TO THERE BEING A FINDING, BUT "NO" TO THERE BEING AN ORDER ENTERED AGAINST THE FIRM.

End of Report

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