BrokerCheck Report

FORVIS MAZARS CAPITAL ADVISORS, LLC

CRD# 43427

Section Title	Page(s)
Report Summary	1
Firm Profile	2 - 5
Firm History	6
Firm Operations	7 - 12
Disclosure Events	13

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.
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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.

FORVIS MAZARS CAPITAL ADVISORS, LLC

CRD# 43427

SEC# 8-50322

Main Office Location

910 EAST ST. LOUIS STREET, SUITE 200
SPRINGFIELD, MO 65806
Regulated by FINRA Kansas City Office

Mailing Address

P.O. BOX 1190
SPRINGFIELD, MO 65806-2523

Business Telephone Number

417-865-8701

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 limited liability company.

This firm was formed in Missouri on 07/20/1994.

Its fiscal year ends in May.

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 firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 31 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 1 type of business.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

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? **No**

The number of disclosures from non-registered control affiliates is 1

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Firm Profile

This firm is classified as a limited liability company.

This firm was formed in Missouri on 07/20/1994.

Its fiscal year ends in May.

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.

FORVIS MAZARS CAPITAL ADVISORS, LLC

Doing business as FORVIS MAZARS CAPITAL ADVISORS, LLC

CRD# 43427

SEC# 8-50322

Main Office Location

910 EAST ST. LOUIS STREET, SUITE 200
SPRINGFIELD, MO 65806

Regulated by FINRA Kansas City Office

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P.O. BOX 1190
SPRINGFIELD, MO 65806-2523

Business Telephone Number

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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):	FORVIS MAZARS, LLP
Is this a domestic or foreign entity or an individual?	Domestic Entity
Position	MEMBER
Position Start Date	07/1994
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):	CORSON, JASON ANDREW 4831976
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	11/2013
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):	DAVIS, ADAM MICHAEL 7744026
Is this a domestic or foreign entity or an individual?	Individual
Position	FINOP, CFO, PFO
Position Start Date	10/2023

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Firm Profile

Direct Owners and Executive Officers (continued)

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):	LINCH, SCOTT EDWARD 7940156
Is this a domestic or foreign entity or an individual?	Individual
Position	PRESIDENT
Position Start Date	06/2025
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

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Firm Profile

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

Indirect Owners

No information reported.

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Firm History

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

No information reported.

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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 currently registered with the SEC, 1 SRO and 31 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/30/1998

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	03/30/1998

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	07/28/2025
Arizona	Approved	05/22/2025
Arkansas	Approved	07/29/1999
California	Approved	04/11/2025
Colorado	Approved	02/05/1999
Florida	Approved	09/29/2023
Georgia	Approved	08/16/2023
Illinois	Approved	07/08/2002
Indiana	Approved	09/12/2002
Iowa	Approved	05/05/2025
Kansas	Approved	04/28/1999
Kentucky	Approved	04/27/1998
Louisiana	Approved	02/26/2026
Massachusetts	Approved	07/11/2025
Michigan	Approved	05/02/2025
Minnesota	Approved	06/12/2025
Mississippi	Approved	11/02/2009
Missouri	Approved	01/07/1998
Montana	Approved	03/17/2026
Nebraska	Approved	07/30/1999
New York	Approved	04/14/2025
North Carolina	Approved	10/05/2022
Ohio	Approved	09/03/2002
Oklahoma	Approved	09/02/1999
South Carolina	Approved	12/08/2022
Tennessee	Approved	08/15/2023
Texas	Approved	03/06/2001
Utah	Approved	04/09/2025
Virginia	Approved	03/15/2023
West Virginia	Approved	02/20/2026
Wisconsin	Approved	04/27/2026

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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 1 type of business.

Types of Business

Other - THE FIRM PROVIDES M&A ADVISORY SERVICES. WHEN WE ARE SELLING A COMPANY OR ASSISTING A COMPANY WITH RAISING EQUITY CAPITAL, WE ARE CONTACTING EITHER STRATEGIC BUYERS (COMPANIES IN INDUSTRIES SIMILAR OR RELATED TO OUR CLIENT) OR FINANCIAL INSTITUTIONS (VENTURE CAPITAL FUNDS OR EQUITY INVESTMENT FUNDS). WE DO NOT SOLICIT RETAIL INVESTORS FOR PURCHASE OR INVESTMENT IN OUR CLIENTS.

Other Types of Business

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

Non-Securities Business Description:

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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 not refer or introduce customers to other brokers and dealers.

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Firm Operations

Industry Arrangements

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

Name:	GLOBAL RELAY
Business Address:	220 CAMBIE STREET SECOND FLOOR VANCOUVER, BRITTISH COLUMBIA V6B 2M9
Effective Date:	12/03/2024
Description:	GLOBAL RELAY IS A THIRD PARTY SERVICE PROVIDER ENGAGED FOR RETENTION OF ELECTRONIC COMMUNICATIONS.

Name:	FORVIS MAZARS, LLP
Business Address:	910 EAST ST. LOUIS ST, SUITE 200 SPRINGFIELD, MO 65806
Effective Date:	07/01/1994
Description:	PERFORMS MONTHLY BOOKKEEPING SERVICES AND PREPARES MONTHLY FINANCIAL STATEMENTS.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

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.

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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, 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.

FORVIS MAZARS WEALTH ADVISORS, LLC is under common control with the firm.

CRD #:	110905
Business Address:	910 EAST ST. LOUIS ST, SUITE 200 SPRINGFIELD, MO 65806
Effective Date:	06/01/2002
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes
Description:	BOTH FIRM AND AFFILIATE ARE WHOLLY-OWNED SUBSIDIARIES OF FORVIS MAZARS, LLP.

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**

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Disclosure Events for Non-Registered Control Affiliates

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

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Disclosure Event Details

Regulatory - Final

Disclosure 1 of 1

Reporting Source:	Firm
Affiliate:	FORVIS MAZARS, LLP (F.K.A. BKD, LLP)
Current Status:	Final
Allegations:	THIS MATTER CONCERNS VIOLATIONS OF THE COMMISSION'S AUDITOR INDEPENDENCE RULES BY FORVIS MAZARS, LLP (F.K.A., "BKD, LLP"). BKD, LLP AUDITED THE ANNUAL FINANCIAL STATEMENTS THAT WERE FILED WITH THE COMMISSION FOR 21 BROKER-DEALER AUDIT CLIENTS FOR THE FISCAL YEARS 2010, 2011, AND/OR 2012. FOR AT LEAST ONE AUDIT OF NINE OF THESE BROKER-DEALER AUDIT CLIENTS, BKD, LLP WAS NOT INDEPENDENT UNDER AUDITOR INDEPENDENCE CRITERIA ESTABLISHED BY THE COMMISSION AND MADE APPLICABLE BY EXCHANGE ACT RULE 17A-5(F)(3) TO AUDITS OF BROKERS AND DEALERS. AS A RESULT OF THIS CONDUCT, BKD, LLP ENGAGED IN IMPROPER PROFESSIONAL CONDUCT, VIOLATED THE AUDITOR INDEPENDENCE RULES, AND CAUSED EACH OF THE BROKER-DEALERS' FAILURE TO FILE AN ANNUAL REPORT AUDITED BY AN INDEPENDENT ACCOUNTANT.
Initiated By:	THE SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	12/08/2014
Docket/Case Number:	ADMINISTRATIVE PROCEEDING FILE NO. 3-16299
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CENSURE
Resolution:	Order
Resolution Date:	12/15/2014
Sanctions Ordered:	Censure Monetary/Fine $15,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	

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Sanction Details:	THE FULL AMOUNT OF $15,000.00 WAS PAID BY BKD, LLP IN DECEMBER OF 2014. THE BROKER/DEALER DID NOT PAY ANY PORTION OF THE PENALTY.
Firm Statement	BKD, LLP COMPLIED WITH ALL REQUIREMENTS OF THE ORDER WITHIN THE SET TIME FRAME.

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End of Report

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