BrokerCheck Report

LEO ALAN GOTLEIB

CRD# 1162753

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

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.

LEO A. GOTLEIB

CRD# 1162753

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

IA **LPL FINANCIAL LLC**
MOUNT LAUREL, NJ
CRD# 6413
Registered with this firm since: 03/17/2023

B **LPL FINANCIAL LLC**
MOUNT LAUREL, NJ
CRD# 6413
Registered with this firm since: 03/15/2023

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
- 13 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 **KESTRA ADVISORY SERVICES, LLC**
CRD# 283330
AUSTIN, TX
04/2016 - 03/2023

B **KESTRA INVESTMENT SERVICES, LLC**
CRD# 42046
Mt. Laurel, NJ
02/2016 - 03/2023

IA **BRIDGE WEALTH ADVISORS**
CRD# 164465
MOUNT LAUREL, NJ
08/2012 - 11/2017

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
Regulatory Event	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 13 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	Invest. Co and Variable Contracts	Approved	03/15/2023

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	03/16/2023
B	Arizona	Agent	Approved	03/15/2023
B	Connecticut	Agent	Approved	03/15/2023
B	Delaware	Agent	Approved	03/15/2023
B	Florida	Agent	Approved	03/15/2023
IA	Florida	Investment Adviser Representative	Approved	10/09/2023
B	Georgia	Agent	Approved	03/20/2023
B	Maryland	Agent	Approved	03/15/2023
B	New Jersey	Agent	Approved	03/15/2023
IA	New Jersey	Investment Adviser Representative	Approved	03/17/2023
B	New York	Agent	Approved	03/15/2023
B	North Carolina	Agent	Approved	03/16/2023

Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	03/15/2023
B	South Carolina	Agent	Approved	03/15/2023
B	Virginia	Agent	Approved	03/15/2023

Branch Office Locations

LPL FINANCIAL LLC
MOUNT LAUREL, NJ

LPL FINANCIAL LLC
DELRAY BEACH, FL

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	Investment Company Products/Variable Contracts Principal Examination	Series 26	03/01/1993

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination	Series 6	11/01/1985

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	02/13/1986

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	04/2016 - 03/2023	KESTRA ADVISORY SERVICES, LLC	283330	MOUNT LAUREL, NJ
B	02/2016 - 03/2023	KESTRA INVESTMENT SERVICES, LLC	42046	Mt. Laurel, NJ
IA	08/2012 - 11/2017	BRIDGE WEALTH ADVISORS	164465	MOUNT LAUREL, NJ
IA	02/2016 - 09/2016	NFP ADVISOR SERVICES, LLC	42046	Mt. Laurel, NJ
B	01/2011 - 02/2016	LPL FINANCIAL LLC	6413	MOUNT LAUREL, NJ
IA	01/2011 - 10/2015	LPL FINANCIAL LLC	6413	MOUNT LAUREL, NJ
IA	01/2005 - 01/2011	SECURITIES AMERICA ADVISORS, INC.	110518	CHERRY HILL, NJ
B	12/1992 - 01/2011	SECURITIES AMERICA, INC.	10205	CHERRY HILL, NJ
IA	08/2002 - 12/2004	GOTLEIB SALINE RETIREMENT PLANNING, LLC	116996	CHERRY HILL, NJ
B	11/1989 - 12/1992	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
B	04/1986 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
B	11/1985 - 05/1986	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	5774	

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
03/2023 - Present	LPL Financial	Registered Representative	Y	Delray Beach, FL, United States

Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
10/1989 - Present	Gotleib and Associates, LLC	Managing Member	Y	Mount Laurel, NJ, United States
04/2016 - 03/2023	KESTRA ADVISORY SERVICES, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	MT LAUREL, NJ, United States
02/2016 - 03/2023	KESTRA INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	MT LAUREL, NJ, United States
12/2004 - 10/2017	BRIDGE WEALTH ADVISORS	MANAGING MEMBER	Y	Mt. Laurel, NJ, United States
02/2016 - 04/2016	NFP Advisor Services, LLC	Registered Rep	Y	Mt. Lauel, NJ, 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) 02/2023 - Gotleib & Associates, LLC - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s)
2) 02/2023 - Saxby Gotleib, LLC - Fitness Facitlities - Non-inv. Related - Northfiled, NJ - Co-owner - Start Date 11/01/2021 - 0hrs/month
3) 06/28/2023 - Leo A. Gotleib - Not Investment Related - At Reported Business Location(s) - Business Entity For Tax/Investment Purposes Only - Start Date 11/01/1989 - 0 Hours Per Month/ During Securities Trading
4) 02/04/2025-WOLF Fitness Northfield-Business Owner- Not INV Related- At Northfiled, NJ - Start date 11/01/2024- 10 Hours Per Month
5) 02/04/2025- Wolf Fitness Gyms- Business Owner- Not INV Related- At Fort Lauderdale, FL- Start date 11/01/2024
6) 02/04/2025- Got Gym llc- Business Entity For Tax/Investment Purposes Only- Not INV Related- At Brigantine, NJ- Start date 05/01/2024- 2 Hours Per Month
7) 02/04/2025- NeoNugenix- Business Owner- Not INV Related- At Brigantine, NJ- Start date 10/01/2024
8) 02/04/2025- Live Fierce Supplements- Business Owner- Not INV Related- At Fort Lauderdale, FL- Start date 11/01/2024-

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
Regulatory Event	0	1	0

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/09/2023
Docket/Case Number:	116041-SR
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	KESTRA ADVISORY SERVICES, LLC
Product Type:	No Product
Allegations:	Rendered investment advice, from a location within Florida, without being registered by the Office.
Current Status:	Final
Resolution:	Order

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	10/09/2023
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$22,000.00
Portion Levied against individual:	$22,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/09/2023
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	On October 9, 2023, the Office of Financial Regulation (Office) entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Leo Alan Gotleib (Gotleib). Gotleib neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Gotleib violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Gotleib agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of $22,000. The Office agreed to approve Gotleib's application as an associated person (RA) with LPL Financial LLC effective October 9, 2023.

Reporting Source:	Broker
Regulatory Action Initiated By:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist

	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	10/09/2023
Docket/Case Number:	116041-SR
Employing firm when activity occurred which led to the regulatory action:	KESTRA ADVISORY SERVICES, LLC
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Resolution Date:	10/09/2023
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$22,000.00
Portion Levied against individual:	$22,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	10/09/2023
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	On October 9, 2023, the Office of Financial Regulation (Office) entered a Final

Order adopting the Stipulation and Consent Agreement in the matter of Leo Alan Gotleib (Gotleib). Gotleib neither admitted nor denied the allegations but consented to the entry of findings by the Office. The Office found that Gotleib violated section 517.12(4), Florida Statutes, by rendering investment advice, from a location within Florida, without being registered by the Office. Gotleib agreed to Cease and Desist from violations of Chapter 517, Florida Statutes, and the Administrative Rules adopted thereto, and to pay an administrative fine in the amount of $22,000. The Office agreed to approve Gotleib's application as an associated person (RA) with LPL Financial LLC effective October 9, 2023.

End of Report

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