

## BrokerCheck Report

# DONNA IRENE CROCKER

CRD# 1496443

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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).

**DONNA I. CROCKER**

CRD# 1496443

**Currently employed by and registered with the following Firm(s):****IA LPL FINANCIAL LLC**

1 BLACKBURN DRIVE  
2ND FLOOR  
GLOUCESTER, MA 01930  
CRD# 6413

Registered with this firm since: 07/28/2025

**IA GOOD HARBOR ADVISORS, INC.**

1 BLACKBURN DRIVE  
GLOUCESTER, MA 01930  
CRD# 143492

Registered with this firm since: 04/23/2007

**B LPL FINANCIAL LLC**

1 BLACKBURN DRIVE  
2ND FLOOR  
GLOUCESTER, MA 01930  
CRD# 6413

Registered with this firm since: 03/06/2025

**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
- 17 U.S. states and territories

**This broker has passed:**

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

**Registration History****This broker was previously registered with the following securities firm(s):****IA IC ADVISORY SERVICES, INC.**

CRD# 140190  
BEDMINSTER, NJ  
03/2018 - 03/2025

**B THE INVESTMENT CENTER, INC.**

CRD# 17839  
GLOUCESTER, MA  
09/2016 - 03/2025

**B INVESTORS CAPITAL CORP.**

CRD# 30613  
GLOUCESTER, MA  
06/2014 - 09/2016

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

### Employment 1 of 2

Firm Name: **GOOD HARBOR ADVISORS, INC.**

Main Office Address: **1 BLACKBURN DRIVE  
GLOUCESTER, MA 01930**

Firm CRD#: **143492**

U.S. State/ Territory	Category	Status	Date
IA California	Investment Adviser Representative	Approved	09/11/2015
IA Massachusetts	Investment Adviser Representative	Approved	04/23/2007

### Branch Office Locations

**1 BLACKBURN DRIVE  
GLOUCESTER, MA 01930**

### Employment 2 of 2

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	03/06/2025
B FINRA	General Securities Representative	Approved	03/06/2025
B FINRA	Invest. Co and Variable Contracts	Approved	03/06/2025
B FINRA	Investment Co./Variable Contracts Prin	Approved	03/06/2025

## Broker Qualifications



### Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	Municipal Fund	Approved	03/06/2025
U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	03/06/2025
B California	Agent	Approved	03/06/2025
B Florida	Agent	Approved	03/06/2025
B Georgia	Agent	Approved	03/06/2025
B Idaho	Agent	Approved	03/06/2025
B Illinois	Agent	Approved	03/06/2025
B Maine	Agent	Approved	03/06/2025
B Massachusetts	Agent	Approved	03/06/2025
IA Massachusetts	Investment Adviser Representative	Approved	07/28/2025
B Michigan	Agent	Approved	10/27/2025
B Minnesota	Agent	Approved	03/06/2025
B New Hampshire	Agent	Approved	03/06/2025
B New York	Agent	Approved	03/06/2025
B North Carolina	Agent	Approved	07/09/2025
B Ohio	Agent	Approved	07/10/2025
B South Carolina	Agent	Approved	03/06/2025
B Virginia	Agent	Approved	03/06/2025
B Washington	Agent	Approved	03/06/2025

## Broker Qualifications



### Employment 2 of 2, continued

#### Branch Office Locations

**LPL FINANCIAL LLC**  
1 BLACKBURN DRIVE  
2ND FLOOR  
GLOUCESTER, MA 01930

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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 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
Municipal Fund Securities Principal Examination	Series 51	12/28/2009
General Securities Principal Examination	Series 24	03/10/2009
Investment Company Products/Variable Contracts Principal Examination	Series 26	02/11/1988

#### General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination	SIE	10/01/2018
General Securities Representative Examination	Series 7	03/04/1994
Investment Company Products/Variable Contracts Representative Examination	Series 6	05/08/1986

#### State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	12/04/2003
Uniform Securities Agent State Law Examination	Series 63	05/21/1986

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/](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
IA 03/2018 - 03/2025	IC ADVISORY SERVICES, INC.	140190	GLOUCESTER, MA
B 09/2016 - 03/2025	THE INVESTMENT CENTER, INC.	17839	GLOUCESTER, MA
B 06/2014 - 09/2016	INVESTORS CAPITAL CORP.	30613	GLOUCESTER, MA
B 03/2007 - 07/2014	NEXT FINANCIAL GROUP, INC.	46214	GLOUCESTER, MA
IA 04/2007 - 12/2008	NEXT FINANCIAL GROUP, INC.	46214	GLOUCESTER, MA
IA 04/2004 - 05/2007	ROYAL ALLIANCE ASSOCIATES, INC.	23131	WESTBOROUGH, MA
B 11/1990 - 05/2007	ROYAL ALLIANCE ASSOCIATES, INC.	23131	WESTBOROUGH, MA
B 03/2007 - 03/2007	NEXT FINANCIAL GROUP, INC.	46214	HOUSTON, TX
B 04/1995 - 07/1996	FORTIS INVESTORS, INC.	421	OAKDALE, MN
B 05/1986 - 11/1990	FIRST INVESTORS CORPORATION	305	EDISON, NJ

## 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
03/2025 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	GLOUCESTER, MA, United States
02/2007 - Present	GOOD HARBOR ADVISORS, INC.	President/Treasurer/Director/CCO	Y	GLOUCESTER, MA, United States
03/2018 - 03/2025	IC ADVISORY SERVICES INC	REGISTERED REP	Y	GLOUCESTER, MA, United States
09/2016 - 03/2025	THE INVESTMENT CENTER INC	REGISTERED REPRESENTATIVE	Y	GLOUCESTER, MA, United States

# Registration and Employment History



## Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
06/2014 - 09/2016	Investors Capital Corp.	Registered Rep.	Y	Gloucester, MA, 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) 544 Milton RD- Real Estate Rental- INV Related- At Napa, CA- Start date 06/30/2016- 6 Hours Per Month

~2) Licensed Independent Insurance Agent; Investment-related; Gloucester, MA; Position: Insurance Agent; Start Date 09/1996; Approximately 40 hours/month with approximately 40 hours/month during securities trading hours.

~3) LPL FINANCIAL LLC; Investment-related; Principal office: Fort Mill, SC; Broker dealer; Registered Representative; Start date: 03/06/2025; Time spent: Approximately 50 hours/month with approximately all hours/month during securities trading hours.

~4) Good Harbor Advisors, Inc.; Investment-related; Gloucester, MA; Registered Investment Advisor; IAR start Date: 04/23/2007; Time spent: Approximately 80 hours/month with all hours/month during securities trading hours. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

## End of Report



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