

## BrokerCheck Report

**STEVEN CLAIRE FULLMER**

CRD# 1614906

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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).



## STEVEN C. FULLMER

CRD# 1614906

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

**IA OSAIC WEALTH, INC.**  
10610 SOUTH JORDAN GATEWAY  
SUITE 210  
SOUTH JORDAN, UT 84095  
CRD# 23131  
Registered with this firm since: 04/02/2013

**B OSAIC WEALTH, INC.**  
10610 SOUTH JORDAN GATEWAY  
SUITE 210  
SOUTH JORDAN, UT 84095  
CRD# 23131  
Registered with this firm since: 03/07/2013

## 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
- 1 U.S. state or territory

#### This broker has passed:

- 0 Principal/Supervisory Exams
- 3 General Industry/Product Exams
- 1 State Securities Law Exam

### Registration History

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

**IA LINCOLN FINANCIAL ADVISORS CORPORATION**  
CRD# 3978  
FORT WAYNE, IN  
04/1995 - 03/2013

**B LINCOLN FINANCIAL ADVISORS CORPORATION**  
CRD# 3978  
SALT LAKE CITY, UT  
02/1987 - 03/2013

**B THE LINCOLN NATIONAL LIFE INSURANCE COMPANY**  
CRD# 2580  
FORT WAYNE, IN  
02/1987 - 05/2006

### 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
Customer Dispute	3
Termination	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 1 U.S. state or territory through his or her employer.**

### Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**  
 Main Office Address: **18700 N. HAYDEN ROAD  
 SUITE 255  
 SCOTTSDALE, AZ 85255**  
 Firm CRD#: **23131**

SRO	Category	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	03/07/2013
<b>B</b> FINRA	Invest. Co and Variable Contracts	Approved	03/07/2013

U.S. State/ Territory	Category	Status	Date
<b>B</b> Utah	Agent	Approved	04/01/2013
<b>IA</b> Utah	Investment Adviser Representative	Approved	04/02/2013

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 10610 SOUTH JORDAN GATEWAY  
 SUITE 210  
 SOUTH JORDAN, UT 84095



## 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 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.**

### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	01/17/1987

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/21/1987

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>IA</b> 04/1995 - 03/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT
<b>B</b> 02/1987 - 03/2013	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	SALT LAKE CITY, UT
<b>B</b> 02/1987 - 05/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN
<b>B</b> 11/1989 - 03/1990	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SCOTTSDALE, AZ
<b>B</b> 01/1987 - 11/1989	INTEGRATED RESOURCES EQUITY CORPORATION	6403	
<b>B</b> 02/1987 - 01/1989	LINCOLN NATIONAL PENSION INSURANCE COMPANY	10293	

### 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
02/2013 - Present	ROYAL ALLIANCE	REGISTERED REP	Y	SALT LAKE CITY, UT, 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) ALISANDRA, LLC

POSITION: Other - Managing member NATURE: Limited Liability Company - INVESTMENT RELATED: Yes NUMBER OF HOURS: 10

SECURITIES TRADING HOURS: 2 START DATE: 12/15/2003

ADDRESS: 653 No. Lston Circle Kaysville , UT 84037, Kaysville UT 84037, United States



## Registration and Employment History

### Other Business Activities, continued

DESCRIPTION: I manage my personal investments only including securities and real estate. The real estate are rental properties of which we derive rental income for our management.

2) NAME AND ADDRESS: INTEGRATED FINANCIAL GROUP, LLC, 3115 EAST LION LANE #310, SALT LAKE CITY, UTAH 84121

CATEGORY: LEGAL ENTITY/LLC

INVESTMENT-RELATED: NO

TITLE: OWNER

DUTIES: OWNER/PARTNER FOR LFA BUSINESS USE.

START DATE: 07/1/2010

HOURS PER MONTH: 180

HOURS PER MONTH DURING TRADING HOURS: 140

3) INTEGRATED FINANCIAL GROUP

POSITION: Partner - NATURE: Limited Liability Company - INVESTMENT RELATED: No NUMBER OF HOURS: 160 SECURITIES TRADING

HOURS: 160 START DATE: 11/05/2007

ADDRESS: 10610 So Jordan Gateway #210, South Jordan UT 84095, United States

DESCRIPTION: Sale of life insurance through various brokerage groups

4) CORPORATE RIA, INTEGRATED FINANCIAL GROUP, INVESTMENT RELATED, 3115 EAST LION LN #310 SALT LAKE CITY UT. 84121, 1/1/2007, 180/MONTH, 140/TRADING HOURS, COMPREHENSIVE FINANCIAL PLANNING PRACTICE

5) FULLARK LLC

POSITION: owner /manager NATURE: Limited Liability Company created to hold common investments with Samuel C. Clark, our intent is to invest money together. INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 02/05/2014

ADDRESS: 10610 So. Jordan #210, South Jordan UT 84095, United States

DESCRIPTION: Managing member

6) INTEGRATED 106, LLC

POSITION: manager NATURE: This is an LLC that has been created to own a building to be built in 2018-19 to move office to. INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 10/27/2017

ADDRESS: 10610 S Jordan Gateway #210, South Jordan UT 84095, United States

DESCRIPTION: yearly tax return

7) STEVEN FULLMER

POSITION: consultant to their development department NATURE: I would be consulting as a financial planner for a group that does research on Alzheimer's to help in recognizing the disease and cognitive decline from a financial advisor prospective. it is help in developing a customized education platform related to dementia caregivers that focuses on addressing financial management and planning. INVESTMENT RELATED: No NUMBER OF HOURS: 3 SECURITIES TRADING HOURS: 3 START DATE: 06/15/2022

ADDRESS: 653 NO LISTON CIRCLE, KAYSVILLE UT 84037, United States

DESCRIPTION: As a financial advisor with over 30 years experience helping clients plan for their financial future, I have skills and practical experience to provide expert advice about how this software would help our clients and also be valuable to financial advisors. I will help to develop relevant content, recommend revision of software, and test optimized versions to assess its value to stakeholders and commercial potential. I also will help identify financial advisors to participate in semi-structured interviews and surveys to better understand how this product



## Registration and Employment History



### Other Business Activities, continued

meets their perceived needs.

8) HYDROGEN INVESTMENT GROUP LLC

POSITION: Managing member NATURE: LLC INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 09/16/2024

ADDRESS: 150 W. Auto Mall Dr, St George UT 84770, United States

DESCRIPTION: Manage information on the investment. Annual renewal of LLC, This LLC is set up to hold one private equity, Q Hydrogen Commercialization

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## 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.
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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
Customer Dispute	0	3	N/A
Termination	N/A	1	N/A



## Disclosure Event Details

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

### Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

#### Disclosure 1 of 2

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS
<b>Allegations:</b>	CLAIMANTS ALLEGE THE REPRESENTATIVE IN EARLY 2007 SOLICITED AND RECOMMENDED THE PURCHASE OF A LIFE INSURANCE POLICY AS AN INVESTMENT WITH THE INTENT TO LATER SELL THE POLICY TO INVESTORS IN A SECONDARY MARKET FOR SUBSTANTIAL RETURNS. CLAIMANTS FURTHER ALLEGE THEY WERE NOT TOLD OF THE RISKS ASSOCIATED WITH THIS TYPE OF INVESTMENT.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00 AND WILL BE DETERMINED AT THE HEARING.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	11-00565



**Filing date of arbitration/CFTC reparation or civil litigation:** 02/09/2011

### Customer Complaint Information

**Date Complaint Received:** 03/07/2011

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 07/10/2012

**Settlement Amount:** \$1,300,000.00

**Individual Contribution Amount:** \$0.00

### Broker Statement

THE LINCOLN REPRESENTATIVES REFERRED THE INSURANCE TO THIRD PARTY CONSULTANTS TO EVALUATE AND DETERMINE THE NEED, OPTIONS, AND RISKS OF THE ACQUIRING LIFE INSURANCE AND ITS EVENTUAL DISPOSITION. IT WAS NOT DETERMINED THAT THE LIFE INSURANCE WOULD EVENTUALLY BE SOLD FOR INVESTMENT OR THAT IT WOULD BE USED FOR ESTATE LIQUIDITY AT THE INSURED'S DEATH WHEN THE INSURANCE WAS ACQUIRED. EITHER OPTION WAS A LEGITIMATE OPTION OF THE INSURANCE CONTRACT. THE LINCOLN REPRESENTATIVES WERE NOT INVOLVED IN THE INSURANCE COMPANY SELECTION; THEY WERE NOT LISTED ON THE APPLICATION AS SOLICITORS OR INVOLVED IN THE PROCESSING AND PLACEMENT OF THE INSURANCE CONTRACTS.

THE LINCOLN REPRESENTATIVES WERE NOT RESPONDENTS TO THE ARBITRATION AND DID NOT CONTRIBUTE IN ANY WAY TO THIS SETTLEMENT EITHER PERSONALLY OR THROUGH THEIR E&O COVERAGE.

### Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** THE CLIENTS ALLEGE THAT BEGINNING IN NOVEMBER 2005, THE REPRESENTATIVE SOLICITED AND INDUCED THEM TO INVESTING IN LIMITED PARTNERSHIPS BY MISREPRESENTING THAT THE INVESTMENTS



WERE SECURE AND WOULD PROVIDE HIGH RETURNS AND FAILED TO DISCLOSE MATERIAL FACTS.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00.

### Civil Litigation Information

**Type of Court:** Federal Court

**Name of Court:** US DISTRICT COURT, DISTRICT OF UTAH, CENTRAL DIVISION

**Location of Court:** SALT LAKE CITY, UTAH

**Docket/Case #:** 2:11-CV-00582-DN

**Date Notice/Process Served:** 07/14/2011

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 08/26/2013

**Monetary Compensation Amount:** \$300,000.00

**Individual Contribution Amount:** \$0.00

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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Allegations:** THE CLIENTS ALLEGE THAT BEGINNING IN NOVEMBER 2005, THE REPRESENTATIVE SOLICITED THEM TO INVEST IN LIMITED PARTNERSHIPS BY REPRESENTING THAT THE INVESTMENTS WERE SECURE AND WOULD PROVIDE HIGH RETURNS, AND ALLEGEDLY FAILED TO PRESENT ALL INFORMATION.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$0.00

**Alleged Damages Amount** DAMAGES ARE BELIEVED TO BE GREATER THAN \$5000.00



**Explanation (if amount not exact):**

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

**Customer Complaint Information**

**Date Complaint Received:** 02/04/2011

**Complaint Pending?** No

**Status:** Evolved into Civil litigation (the individual is a named party)

**Status Date:** 02/18/2011

**Settlement Amount:**

**Individual Contribution Amount:**

**Civil Litigation Information**

**Type of Court:** Federal Court

**Name of Court:** US DISTRICT COURT, DISTRICT OF UTAH, CENTRAL DIVISION

**Location of Court:** SALT LAKE CITY, UTAH

**Docket/Case #:** 2:11-CV00582-DN

**Date Notice/Process Served:** 07/14/2011

**Litigation Pending?** No

**Disposition:** Settled

**Disposition Date:** 04/10/2013

**Monetary Compensation Amount:** \$300,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** LINCOLN FINANCIAL CHOSE TO SETTLE THIS MATTER FOR A FRACTION OF THE AMOUNT ORIGINALLY SOUGHT BY THE PLAINTIFFS, SOLELY TO AVOID THE COST AND UNCERTAINTY OF PROLONGED LITIGATION. THERE WAS NEVER ANY FINDING OF WRONGDOING ON MY PART, AND I DID NOT



CONTRIBUTE TO THE SETTLEMENT IN ANYWAY.



## Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	LINCOLN FINANCIAL ADVISORS
<b>Allegations:</b>	THE CLIENT ALLEGES THE INVESTMENT RECOMMENDED BY THE RR IN APRIL 2010 WAS UNSUITABLE.
<b>Product Type:</b>	Other: REAL ESTATE INVESTMENT TRUST
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	DAMAGES ARE BELIEVED TO BE GREATER THAN \$5,000.00.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	No

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/16/2013
<b>Complaint Pending?</b>	No
<b>Status:</b>	Denied
<b>Status Date:</b>	01/25/2013
<b>Settlement Amount:</b>	
<b>Individual Contribution Amount:</b>	
<b>Broker Statement</b>	THE FIRM'S INVESTIGATION FOUND NO EVIDENCE TO SUPPORT THE CLIENT'S ALLEGATION AND CONFIRMED THE CLIENT RECEIVED THE APPROPRIATE INFORMATION TO MAKE AN INFORMED DECISION.







## Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

### Disclosure 1 of 1

**Reporting Source:** Firm

**Employer Name:** LINCOLN FINANCIAL ADVISORS CORPORATION

**Termination Type:** Discharged

**Termination Date:** 02/21/2013

**Allegations:** REGISTERED REPRESENTATIVE WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INCLUDING A VIOLATION OF FIRM POLICY RELATED TO CLIENT COMMUNICATIONS INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.

**Product Type:** Other: PRIVATE PLACEMENT

**Reporting Source:** Broker

**Employer Name:** LINCOLN FINANCIAL ADVISORS

**Termination Type:** Discharged

**Termination Date:** 02/21/2013

**Allegations:** LINCOLN FINANCIAL REPORTED THAT I WAS TERMINATED FOR VIOLATIONS OF FIRM POLICY REGARDING COMMUNICATIONS WITH THE PUBLIC INVOLVING THE SOLICITATION OF PRIVATE PLACEMENTS.

**Product Type:** Other: PRIVATE PLACEMENT

**Broker Statement** I DID NOT ENGAGE IN THE ACTIVITIES THAT LINCOLN FINANCIAL HAS ALLEGED AGAINST ME. I BELIEVE I WAS TERMINATED UNFAIRLY, BASED ONLY ON THE ACTIONS THAT OTHER INDIVIDUALS MAY HAVE TAKEN, AND I WAS NOT INVOLVED IN THE ALLEGED COMMUNICATIONS AT ISSUE.

## End of Report



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