

BrokerCheck Report
BRUCE BRUNDIGE
 CRD# 1835321

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8



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.



BRUCE BRUNDIGE

CRD# 1835321

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

IA LPL FINANCIAL LLC
 701 FIFTH AVENUE #4200
 SEATTLE, WA 98104
 CRD# 6413
 Registered with this firm since: 10/16/2000

B LPL FINANCIAL LLC
 701 FIFTH AVENUE #4200
 SEATTLE, WA 98104
 CRD# 6413
 Registered with this firm since: 09/06/2000

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
- 23 U.S. states and territories

This broker has passed:

- 0 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 FINANCIAL ADVOCATES ADVISORY SERVICES

CRD# 147786
 OLYMPIA, WA
 04/2009 - 06/2022

B PRIMEVEST FINANCIAL SERVICES, INC.

CRD# 15340
 ST. CLOUD, MN
 05/1999 - 09/2000

B FINANCIAL NETWORK INVESTMENT CORPORATION

CRD# 13572
 EL SEGUNDO, CA
 03/1995 - 05/1999

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 23 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	General Securities Representative	Approved	09/06/2000
B	FINRA	Invest. Co and Variable Contracts	Approved	09/06/2000

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/15/2023
B	Arizona	Agent	Approved	09/06/2000
B	California	Agent	Approved	09/06/2000
B	Colorado	Agent	Approved	04/15/2015
B	Florida	Agent	Approved	01/03/2017
B	Georgia	Agent	Approved	04/03/2018
B	Hawaii	Agent	Approved	03/27/2012
B	Idaho	Agent	Approved	06/28/2006
B	Maryland	Agent	Approved	04/03/2018
B	Massachusetts	Agent	Approved	11/02/2023
B	Michigan	Agent	Approved	06/30/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Montana	Agent	Approved	07/25/2003
B	Nevada	Agent	Approved	01/02/2004
B	New Mexico	Agent	Approved	04/05/2013
B	North Carolina	Agent	Approved	04/02/2018
B	Ohio	Agent	Approved	11/17/2009
B	Oregon	Agent	Approved	09/06/2000
B	Pennsylvania	Agent	Approved	08/14/2024
B	Texas	Agent	Approved	05/16/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	05/16/2017
B	Utah	Agent	Approved	04/03/2018
B	Virginia	Agent	Approved	04/03/2018
B	Washington	Agent	Approved	09/06/2000
IA	Washington	Investment Adviser Representative	Approved	10/16/2000
B	Wisconsin	Agent	Approved	12/01/2023

Branch Office Locations

LPL FINANCIAL LLC
701 FIFTH AVENUE #4200
SEATTLE, WA 98104

LPL FINANCIAL LLC
365 KIRKLAND AVE
KIRKLAND, WA 98033

LPL FINANCIAL LLC
3925 196TH SOUTHWEST

Broker Qualifications



Employment 1 of 1, continued

LYNNWOOD, WA 98036

LPL FINANCIAL LLC

303 NE THORNTON PLACE
SEATTLE, WA 98125

LPL FINANCIAL LLC

3621 33RD AVE SOUTH SUITE C-1
SEATTLE, WA 98144

LPL FINANCIAL LLC

120 ANDOVER PARK EAST
TUKWILA, WA 98184

LPL FINANCIAL LLC

500 SOUTH MICHIGAN STREET
SEATTLE, WA 98108

LPL FINANCIAL LLC

NEWCASTLE, WA



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 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	03/23/1993
B Investment Company Products/Variable Contracts Representative Examination	Series 6	06/24/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	02/26/1997
B Uniform Securities Agent State Law Examination	Series 63	06/24/1988

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 **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 04/2009 - 06/2022	FINANCIAL ADVOCATES ADVISORY SERVICES	147786	Seattle, WA
B 05/1999 - 09/2000	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN
B 03/1995 - 05/1999	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA
B 03/1993 - 03/1995	KEY BROKERAGE COMPANY, INC.	15873	CLEVELAND, OH
B 05/1991 - 03/1993	GNA SECURITIES, INC.	10465	GLEN ALLEN, VA
B 07/1990 - 05/1991	EQUICO SECURITIES, INC.	6627	NEW YORK, NY
B 07/1990 - 05/1991	EQUITABLE VARIABLE LIFE INSURANCE COMPANY	6907	NEW YORK, NY
B 07/1990 - 05/1991	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	4039	NEW YORK, NY
B 06/1988 - 06/1990	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ
B 06/1988 - 06/1990	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	680	NEWARK, 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
04/2009 - Present	Financial Advocates Advisory Services, LLC	Investment Adviser Representative	Y	Seattle, WA, United States
09/2000 - Present	LPL Financial, LLC (Formerly: LINSICO/PRIVATE LEDGER CORP.)	Registered Representative	Y	Seattle, WA, United States



Registration and Employment History

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. 7/8/2009 - Financial Advocates Advisory Services - Investment Related - At Reported Business Location(s) - Registered Investment Advisor - Time Spent 5% - I provide financial planning and consulting services through Financial Advocates Advisory Svcs, an independent investment advisor firm. I started this business activity in 4/2009. I expect to spend approximately 8 hours per month on this activity. 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 advisory firm is separate from and independent of LPL Financial.

2. 7/28/2009 - FINANCIAL ADVOCATES - Investment Related - At Reported Business Location(s) - NON-VARIABLE INSURANCE - Time Spent 100% - FIXED INSURANCE SALES THROUGH FINANCIAL ADVOCATES AGENCY, AND THEY ARE MY EMPLOYER. THIS IS A CORRECTION TO THE SYSTEM DETAILS, OF THE ORIGINALLY APPROVED OBA FROM 2000.

3. 10/3/2017 - Brundige Wealth Management, LLC - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 10/01/2017 - 128 Hours Per Month During Securities Trading.

4. 5/26/2020 - Truluma - Investment Related - At Reported Business Location(s) - Insurance Agency - Agent - Started 04/24/2020 - 1 Hour Per Month During Securities Trading - Offer fixed insurance including long-term care, disability and term life insurance.

End of Report



This page is intentionally left blank.