

BrokerCheck Report

VIVIENNE KARIN SCHLEU

CRD# 2670443

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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.

**VIVIENNE K. SCHLEU**

CRD# 2670443

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

IA NATIONAL WEALTH MANAGEMENT GROUP, LLC
 4171 W. Hillsboro BLVD
 Suite 4
 Coconut Creek, FL 33073
 CRD# 174883
 Registered with this firm since: 06/29/2015

B LPL FINANCIAL LLC
 11260 CHESTER RD STE 250
 CINCINNATI, OH 45246-4094
 CRD# 6413
 Registered with this firm since: 05/23/2008

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
- 29 U.S. states and territories

This broker has passed:

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

Registration History

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

IA NATIONAL WEALTH MANAGEMENT GROUP, LLC
 CRD# 174883
 CINCINNATI, OH
 05/2015 - 12/2021

IA LPL FINANCIAL LLC
 CRD# 6413
 FORT MILL, SC
 05/2008 - 09/2016

IA INVESTMENT ADVISORS INTERNATIONAL, INC.
 CRD# 139233
 JOHNS CREEK, GA
 01/2007 - 05/2008

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	2
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 29 U.S. states and territories through his or her employer.

Employment 1 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	Invest. Co and Variable Contracts	Approved	05/27/2008
B	FINRA	General Securities Representative	Approved	07/27/2010

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	02/10/2010
B	Arizona	Agent	Approved	01/13/2012
B	California	Agent	Approved	05/27/2008
B	Colorado	Agent	Approved	01/18/2012
B	Connecticut	Agent	Approved	01/20/2012
B	Delaware	Agent	Approved	01/10/2012
B	Florida	Agent	Approved	05/27/2008
B	Georgia	Agent	Approved	11/23/2010
B	Illinois	Agent	Approved	01/09/2012
B	Indiana	Agent	Approved	01/18/2012
B	Kentucky	Agent	Approved	01/09/2012

Broker Qualifications



Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	01/09/2012
B	Massachusetts	Agent	Approved	01/13/2012
B	Michigan	Agent	Approved	01/13/2012
B	Minnesota	Agent	Approved	01/09/2012
B	Mississippi	Agent	Approved	02/01/2012
B	Missouri	Agent	Approved	01/09/2012
B	Nevada	Agent	Approved	01/25/2012
B	New Jersey	Agent	Approved	05/27/2008
B	New York	Agent	Approved	05/27/2008
B	North Carolina	Agent	Approved	05/27/2008
B	Ohio	Agent	Approved	04/15/2010
B	Oklahoma	Agent	Approved	03/21/2012
B	Oregon	Agent	Approved	01/09/2012
B	Pennsylvania	Agent	Approved	01/09/2012
B	South Carolina	Agent	Approved	01/11/2012
B	Texas	Agent	Approved	08/12/2008
B	Virginia	Agent	Approved	01/09/2012
B	Wisconsin	Agent	Approved	01/09/2012

Branch Office Locations

LPL FINANCIAL LLC
11260 CHESTER RD STE 250



Broker Qualifications

Employment 1 of 2, continued

CINCINNATI, OH 45246-4094

LPL FINANCIAL LLC

4171 W HILLSBORO BLVD SUITE 4
COCONUT CREEK, FL 33073

Employment 2 of 2

Firm Name: **NATIONAL WEALTH MANAGEMENT GROUP, LLC**

Main Office Address: **11260 CHESTER ROAD
SUITE 250
CINCINNATI, OH 45246-0002**

Firm CRD#: **174883**

	U.S. State/ Territory	Category	Status	Date
IA	Florida	Investment Adviser Representative	Approved	06/29/2015
IA	Ohio	Investment Adviser Representative	Approved	01/07/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/2022

Branch Office Locations

11260 CHESTER ROAD
SUITE 250
CINCINNATI, OH 45246-0002

4171 W. Hillsboro BLVD
Suite 4
Coconut Creek, FL 33073



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

Principal/Supervisory Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Principal Examination	Series 26	05/08/1996

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	07/26/2010
B Investment Company Products/Variable Contracts Representative Examination	Series 6	11/02/1995

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	10/03/2006
B Uniform Securities Agent State Law Examination	Series 63	11/02/1995

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 05/2015 - 12/2021	NATIONAL WEALTH MANAGEMENT GROUP, LLC	174883	CINCINNATI, OH
IA 05/2008 - 09/2016	LPL FINANCIAL LLC	6413	BOCA RATON, FL
IA 01/2007 - 05/2008	INVESTMENT ADVISORS INTERNATIONAL, INC.	139233	COCONUT CREEK, FL
B 04/2002 - 05/2008	WORLD GROUP SECURITIES, INC.	114473	BOCA RATON, FL
B 12/1995 - 04/2002	WMA SECURITIES, INC.	32625	DULUTH, GA
B 11/1995 - 12/1995	UNITED SECURITIES ALLIANCE, INC.	36487	GREENWOOD VILLAGE, CO

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
05/2015 - Present	NATIONAL WEALTH MANAGEMENT GROUP, LLC	Managing Director, CFO, Investment Adviser Representative	Y	Coconut Creek, FL, United States
05/2008 - Present	LPL Financial, LLC	Registered Representative and Manager in Charge	Y	Coconut Creek, FL, 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) 05/23/2008: Galleon Bay - family business - INV REL - At Reported Business Location(s) - President/part owner of Florida land development company - 2% Time Spent

Registration and Employment History



Other Business Activities, continued

(2) 05/23/2008: No Business Name - Tax Prep/Accounting/CPA - INV REL - At Reported Business Location(s) - Preparation of taxes & business advice. - 5% Time Spent

(3) 11/14/2011: No Business Name - DBA for LPL Business (entity for LPL business) - Alpina Financial Consultants, LLC - INV REL - At Reported Business Location(s)

(4) 05/19/2015: National Wealth Management Group, LLC - Registered Investment Advisor Hybrid - (HYBRID) National Wealth Management Group, LLC - INV REL - At Reported Business Location(s) - Start 02/15/2015 - Managing Director, Chief Financial Officer (CFO) and Investment Adviser Representative (IAR) - 200 Hr/Mo; 140 Hours During Securities Trading

(5) 05/23/2016: ALPINA TAX & ACCOUNTING SERVICES, LLC - Tax Prep/Accounting/CPA - INV REL - 4171 W. Hillsboro Blvd., Suite 4, Coconut Creek, Florida 33073 - Start 05/23/2016 - Co-Owner/CPA - 25 Hr/Mo; 10 Hours During Securities Trading

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	2	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 - 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 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	NATIONAL WEALTH MGMT GROUP, LLC
Allegations:	CUSTOMER ALLEGES FAILURE TO FOLLOW INSTRUCTIONS TO "CASH OUT" NEARLY ALL SECURITIES IN HER ACCOUNT, RESULTING IN ALLEGED LOST GAINS.
Product Type:	Other: EXCHANGE TRADED FUNDS
Alleged Damages:	\$49,000.00
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:	02/15/2018
Complaint Pending?	No
Status:	Denied
Status Date:	04/06/2018

**Settlement Amount:****Individual Contribution Amount:****Broker Statement**

THE CLIENT WAS PROVIDED WITH A WELL-ALLOCATED AND DIVERSIFIED INVESTMENT PORTFOLIO, DESIGNED TO MEET CLIENT'S LONG-TERM OBJECTIVE OF GROWTH, WHICH RESULTED IN THE ACCOUNTS BEING PROFITABLE DURING THE TIME FRAME CLIENT WAS INVESTED WITH OUR FIRM. CLIENT WAS PROVIDED WITH DETAILED AND ACCURATE INFORMATION, AND THE INVESTMENTS IN THE PORTFOLIO WERE APPROPRIATE FOR CLIENT'S STATED INVESTMENT OBJECTIVES. CLIENT MADE FULLY INFORMED DECISIONS.

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL LLC

Allegations: CUSTOMER ALLEGES MISREPRESENTATION AND UNSUITABLE RECOMMENDATIONS.

Product Type: No Product

Alleged Damages: \$5,000.00

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: 02/07/2018

Complaint Pending? No

Status: Denied

Status Date: 03/09/2018

Settlement Amount:**Individual Contribution Amount:**





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:	Broker
Employer Name:	UNITED SECURITIES ALLIANCE, INC.
Termination Type:	Voluntary Resignation
Termination Date:	12/08/1995
Allegations:	1 CORRESPONDENCE TO CUSTOMER WITHOUT PROPER PRINCIPAL APPROVAL 2 COMMISSIONS TO UNLICENSED INDIVIDUALS
Product Type:	Other
Other Product Types:	VARIABLE UNIVERSAL LIFE
Broker Statement	<p>1) THE CORRESPONDENCE I SENT WAS TO MY CLIENT AS HER CPA. IN GOOD FAITH, I INTRODUCED HER TO MY TRAINER. HE LATER SOLD HER AN UNSUITABLE INVESTMENT WHICH SHE ASKED ME ABOUT. AS HER CPA I ADVISED HER WHAT WAS BEST FOR HER TO DO. ADVICE TO A TAX CLIENT DOES NOT FALL UNDER THE PURVIEW OF OBTAINING A PRINCIPAL'S APPROVAL.</p> <p>2) NO COMMISSIONS WERE EVER RECEIVED OR EXPECTED. I MERELY INQUIRED AS TO HOW COMMISSIONS WERE PAID, WHICH HAD NOTHING TO DO WITH THIS CASE. MY PRIOR BROKER DEALER HAD NOBODY TO SUPERVISE ME PROPERLY, SO I CALLED THE HOME OFFICE AND MADE INQUIRIES. THEY WERE CLEARLY NOT INTERESTED IN HELPING MY CLIENT.</p> <p>I RESIGNED AS SOON AS I REALIZED WHAT THE TRAINER AND THE HOME OFFICE HAD DONE TO HER. THESE ALLEGATIONS WERE MADE AGAINST ME BECAUSE THE HOME OFFICE WAS ATTEMPTING TO PROTECT THE BROKER WHO SOLD THIS UNSUITABLE INVESTMENT TO MY CLIENT, BY PUSHING BLAME ELSEWHERE. THE INVESTMENT/INSURANCE COMPANY RETURNED ALL MONIES TO MY CLIENT AFTER SHE FILED HER COMPLAINT AGAINST THE REPRESENTATIVE AND DIRECTLY WITH THE INSURANCE COMPANY THAT HELD THE UNSUITABLE INVESTMENT.</p>

End of Report



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