

## BrokerCheck Report

**LYNN HUI**

CRD# 2721717

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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).

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CRD# 2721717

This broker is not currently registered.

## 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 not currently registered.**

#### **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):**

- B OSAIC WEALTH, INC.**  
CRD# 23131  
LAWRENCE, KS  
11/2018 - 02/2025
- B SIGNATOR INVESTORS, INC.**  
CRD# 468  
LAWRENCE, KS  
05/2016 - 11/2018
- B TRANSAMERICA FINANCIAL ADVISORS, INC**  
CRD# 16164  
LAWRENCE, KS  
10/1998 - 05/2016

### 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**

### Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

## 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 broker is not currently registered.



## 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> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	07/08/1999
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	04/02/1996

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/02/1996

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 **2** professional designation(s).

Certified Financial Planner
Chartered Financial Consultant

This representative holds or did hold **2** 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
<b>B</b> 11/2018 - 02/2025	OSAIC WEALTH, INC.	23131	LAWRENCE, KS
<b>B</b> 05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	468	LAWRENCE, KS
<b>B</b> 10/1998 - 05/2016	TRANSAMERICA FINANCIAL ADVISORS, INC	16164	LAWRENCE, KS
<b>B</b> 04/1996 - 10/1998	FRANKLIN FINANCIAL SERVICES CORPORATION	5435	HOUSTON, TX

### 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
11/2018 - Present	Osaic Wealth, Inc.	Registered Rep.	Y	LAWRENCE, KS, United States
08/2006 - Present	AT HOME PROPERTY, LLC	PARTNER	N	LAWRENCE, KS, United States
08/2006 - Present	PRIME PROPERTY, LLC	PARTNER	N	LAWRENCE, KS, United States
05/1994 - Present	INDEPENDENT INSURANCE AGENT	INSURANCE AGENT	Y	LAWRENCE, KS, United States
05/2016 - 11/2018	SIGNATOR INVESTORS, INC.	REGISTERED REPRESENTATIVE	Y	LAWRENCE, KS, 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) WARREN CAPITAL, LLC

POSITION: Managing member NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 2



## Registration and Employment History

### Other Business Activities, continued

START DATE: 07/22/2019

ADDRESS: 2027 E 26th St, Lawrence KS 66046, United States

DESCRIPTION: Divide land into lots for future sales

#### 2) HUI FINANCIAL GROUP, LLC

POSITION: President NATURE: This is my DBA, Financial planning, insurance sales, investment advisory, etc. INVESTMENT RELATED: Yes

NUMBER OF HOURS: 140 SECURITIES TRADING HOURS: 100 START DATE: 08/01/2002

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Meeting with clients, research and handle account related activities

#### 3) NOTARY PUBLIC

POSITION: Notary Public NATURE: Notary Public INVESTMENT RELATED: No NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0

START DATE: 01/01/2002

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Apply Notary Public stamp, sign and date

#### 4) CAMPUS PROPERTY, LLC

POSITION: Member NATURE: Owns rental real estate. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING

HOURS: 1 START DATE: 06/03/2009

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Select renters, prepare lease, collect rent and pay bills, hire maintenance people when necessary.

#### 5) AT HOME PROPERTY, LLC

POSITION: Member NATURE: Owns rental real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS:

0 START DATE: 08/01/2006

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Select renters, prepare lease, collect rents and pay bills, hire maintenance people when necessary

#### 6) BUILDING CAPITAL, LLC

POSITION: Member NATURE: Owns rental real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS:

1 START DATE: 06/23/2003

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Select renters, prepare lease, collect rents and pay bills, hire maintenance people when necessary

#### 7) DOWNTOWN PROPERTY, LLC

POSITION: Member NATURE: Owns rental real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS:

1 START DATE: 07/01/2004

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Owns rental real estate

#### 8) HUI ENTERPRISES, LLC

POSITION: Member NATURE: Owns rental real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS:

1 START DATE: 07/01/2004

## Registration and Employment History



### Other Business Activities, continued

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Select renters, prepare lease, collect rents and pay bills, hire maintenance people when necessary

9) PRIME PROPERTY, LLC

POSITION: Member NATURE: Owns rental real estate INVESTMENT RELATED: Yes NUMBER OF HOURS: 4 SECURITIES TRADING HOURS:

1 START DATE: 08/01/2006

ADDRESS: 2027 E 26TH ST, LAWRENCE KS 66046-5625, United States

DESCRIPTION: Select renters, prepare lease, collect rents and pay bills, hire maintenance people when necessary

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## End of Report



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