

BrokerCheck Report

STACEY M CROSBY

CRD# 4445599

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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



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.

STACEY M. CROSBY

CRD# 4445599

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

IA LPL FINANCIAL LLC
 6170 W. MAIN ST.
 KALAMAZOO, MI 49009
 CRD# 6413
 Registered with this firm since: 04/05/2022

B LPL FINANCIAL LLC
 6170 W. MAIN ST.
 KALAMAZOO, MI 49009
 CRD# 6413
 Registered with this firm since: 04/05/2022

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
- 2 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 FIFTH THIRD SECURITIES, INC.**
 CRD# 628
 CINCINNATI, OH
 07/2016 - 03/2022
- B FIFTH THIRD SECURITIES, INC.**
 CRD# 628
 RICHLAND, MI
 03/2014 - 03/2022
- B PFS INVESTMENTS INC.**
 CRD# 10111
 WYOMING, MI
 10/2001 - 05/2011

**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 2 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	Invest. Co and Variable Contracts	Approved	04/05/2022
B	FINRA	General Securities Representative	Approved	05/18/2022

	U.S. State/ Territory	Category	Status	Date
B	Michigan	Agent	Approved	04/05/2022
IA	Michigan	Investment Adviser Representative	Approved	04/05/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	10/17/2025

Branch Office Locations

LPL FINANCIAL LLC
4084 W CENTRE AVE
PORTAGE, MI 49024

LPL FINANCIAL LLC
106 GRAND ST
SCHOOLCRAFT, MI 49087

LPL FINANCIAL LLC
12409 STAFFORD ST
RAVENNA, MI 49451

LPL FINANCIAL LLC



Broker Qualifications

Employment 1 of 1, continued

1619 E MT GARFIELD RD
MUSKEGON, MI 49444

LPL FINANCIAL LLC

16916 ROBBINS RD
GRANDHAVEN, MI 49417

LPL FINANCIAL LLC

1820 LEONARD NE
GRAND RAPIDS, MI 49505

LPL FINANCIAL LLC

310 LAFAYETTE AVE SE STE 230
GRAND RAPIDS, MI 49503

LPL FINANCIAL LLC

2209 PLAINFIELD AVE NE
GRAND RAPIDS, MI 49505

LPL FINANCIAL LLC

2335 10 MILE ROAD
ROCKFORD, MI 49341

LPL FINANCIAL LLC

2636 44TH ST SW
WYOMING, MI 49519

LPL FINANCIAL LLC

2720 LAKE MICHIGAN DR NW
GRAND RAPIDS, MI 49504

LPL FINANCIAL LLC

310 W TIENKEN RD
ROCHESTER HILLS, MI 48306

LPL FINANCIAL LLC

310 WEST FRONT ST
TRAVERSE CITY, MI 49684

LPL FINANCIAL LLC

3201 S STATE ST
ANN ARBOR, MI 48108

LPL FINANCIAL LLC

326 GULL RD
KALAMAZOO, MI 49048



Broker Qualifications

Employment 1 of 1, continued

LPL FINANCIAL LLC

342 MICHIGAN ST NE
GRAND RAPIDS, MI 49503

LPL FINANCIAL LLC

34391 12 MILE ROAD
FARMINGTON HILLS, MI 48331

LPL FINANCIAL LLC

3493 WEST SHORE DR
HOLLAND, MI 49424

LPL FINANCIAL LLC

3810 SPARKS DR SE
GRAND RAPIDS, MI 49546

LPL FINANCIAL LLC

3870 SOUTH DIVISION AVE
WYOMING, MI 49548

LPL FINANCIAL LLC

4100 32ND AVE
HUDSONVILLE, MI 49426

LPL FINANCIAL LLC

435 S WESTNEDGE AVE
KALAMAZOO, MI 49007

LPL FINANCIAL LLC

4560 ALPINE AVE NW
GRAND RAPIDS, MI 49321

LPL FINANCIAL LLC

496 ADA DR SE STE 103
ADA, MI 49301

LPL FINANCIAL LLC

5023 MICHIGAN DR
ALLENDALE, MI 49401

LPL FINANCIAL LLC

5430 STATE ST
SAGINAW, MI 48603

LPL FINANCIAL LLC



Broker Qualifications

Employment 1 of 1, continued

5453 NORTHLAND DR NE
GRAND RAPIDS, MI 49525

LPL FINANCIAL LLC

5701 28TH ST SE
GRAND RAPIDS, MI 49546

LPL FINANCIAL LLC

5986 METO-WAY
WYOMING, MI 49519

LPL FINANCIAL LLC

6170 W MAIN ST
KALAMAZOO, MI 49009

LPL FINANCIAL LLC

6206 KALAMAZOO AVE SE
KENTWOOD, MI 49508

LPL FINANCIAL LLC

6615 HIGHLAND RD
WHITE LAKE, MI 48313

LPL FINANCIAL LLC

675 68TH ST SW
BYRON CENTER, MI 49315

LPL FINANCIAL LLC

7175 BROADMOOR SE
CALEDONIA, MI 49316

LPL FINANCIAL LLC

734 W LONG LAKE ROAD
TROY, MI 48098

LPL FINANCIAL LLC

7409 COTTON WOOD DR
JENISON, MI 49428

LPL FINANCIAL LLC

8630 E MAIN AVE
ZEELAND, MI 49464

LPL FINANCIAL LLC

925 W SHERMAN BLVD
MUSKEGON, MI 49441

Broker Qualifications



Employment 1 of 1, continued

LPL FINANCIAL LLC

951 JACKSON ST
GRAND HAVEN, MI 49417

LPL FINANCIAL LLC

6170 W. MAIN ST.
KALAMAZOO, MI 49009

LPL FINANCIAL LLC

35653 DODGE PARK DR
STERLING HEIGHTS, MI 48312



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 General Securities Representative Examination	Series 7TO	05/18/2022
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	03/13/2014

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	06/30/2016
B Uniform Securities Agent State Law Examination	Series 63	04/15/2014

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 07/2016 - 03/2022	FIFTH THIRD SECURITIES, INC.	628	RICHLAND, MI
B 03/2014 - 03/2022	FIFTH THIRD SECURITIES, INC.	628	RICHLAND, MI
B 10/2001 - 05/2011	PFS INVESTMENTS INC.	10111	WYOMING, MI

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
04/2022 - Present	LPL Financial LLC	REGISTERED REPRESENTATIVE	Y	Kalamazoo, MI, United States
04/2022 - Present	Lake Michigan Credit Union	Financial Consultant	Y	Kalamazoo, MI, United States
01/2014 - 04/2022	FIFTH THIRD SECURITIES	REGISTERED REPRESENTATIVE	Y	PLAINWELL, MI, United States
04/2011 - 04/2022	FIFTH THIRD BANK	PERSONAL BANKER	N	PLAINWELL, MI, 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) 4/2022- Crosbv HOMES AND RENTALS LLC- Real Estate Rental- property co-owner - inv. related-1219 Helen Ave Otsego, MI- start date 5/2016 - 2 hrs/mth
- 2) 04/12/2022 - Lake Michigan Credit Union - DBA: MaxWealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 04/04/2022 - 160 Hours Per Month/ 160 Hours During Securities.
- 3) 05/15/2023 - Oceanview, Aspida - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Financial Advisor - Start Date - 05/24/2022 - 5 Hours Per Month/ 5 Hours During Securities Trading.

End of Report



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