

## BrokerCheck Report

**SALLY M LEVESQUE**

CRD# 6212854

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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).



## SALLY M. LEVESQUE

CRD# 6212854

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

- B** **BANKERS LIFE SECURITIES, INC.**  
 475 KILVERT STREET  
 SUITE 210  
 WARWICK, RI 02886  
 CRD# 173962  
 Registered with this firm since: 05/26/2016

## 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
- 8 U.S. states and territories

**This broker has passed:**

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

### Registration History

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

- B** **PROEQUITIES, INC.**  
 CRD# 15708  
 WARWICK, RI  
 08/2013 - 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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Customer Dispute	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 8 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **BANKERS LIFE SECURITIES, INC.**

Main Office Address: **303 E WACKER DRIVE  
5TH FL  
CHICAGO, IL 60601**

Firm CRD#: **173962**

	SRO	Category	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	05/26/2016

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	08/23/2019
B	Florida	Agent	Approved	03/06/2018
B	Massachusetts	Agent	Approved	05/26/2016
B	New Hampshire	Agent	Approved	01/11/2022
B	New Jersey	Agent	Approved	06/19/2025
B	New York	Agent	Approved	02/16/2022
B	North Carolina	Agent	Approved	08/28/2019
B	Rhode Island	Agent	Approved	05/26/2016

### Branch Office Locations

**BANKERS LIFE SECURITIES, INC.**  
475 KILVERT STREET  
SUITE 210

## Broker Qualifications



### Employment 1 of 1, continued

WARWICK, RI 02886

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## 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, 2 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> Investment Company Products/Variable Contracts Representative Examination	Series 6	08/25/2013

### State Securities Law Exams

Exam	Category	Date
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/29/2013

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>B</b> 08/2013 - 05/2016	PROEQUITIES, INC.	15708	WARWICK, RI

### 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
05/2016 - Present	BANKERS LIFE SECURITIES, INC.	FINANCIAL REPRESENTATIVE	Y	WARWICK, RI, United States
08/2005 - Present	BANKERS LIFE & CASUALTY, INC	INSURANCE AGENT	N	WARWICK, RI, United States
06/2013 - 05/2016	PROEQUITIES INC	FINANCIAL REPRESENTATIVE	Y	WARWICK, RI, 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.

#### BANKERS LIFE

POSITION: Unit Supervisor, Insurance Sales Representative NATURE: Insurance: Medical - DR/Hospital/RX coverages Medicare Supplements Medicare Advantage Plans Prescription Drug Plans LTC - Long term Care Short Term Care Critical Illness Life Ins - Term/Whole and Universal Annuities - Fixed and Indexed INVESTMENT RELATED: Yes NUMBER OF HOURS: 300 SECURITIES TRADING HOURS: 160 START DATE: 08/05/2005

ADDRESS: 475 KILVERT ST, SUITE 210 BUILDING A, WARWARK RI 02886, United States

DESCRIPTION: MANAGE A TEAM OF AGENTS, RESPONSIBLE FOR HIRING AND TRAINING OF AGENTS, I am also appointed with KFA through BLC which allows agents to write business for Medicare Supplement, Annuity and Equity Indexed annuity insurance products, life insurance, health and LTC.

#### JOANNE E. BARTER REVOCABLE TRUST & THE JOANNE E. BARTER IRREVOCABLE TRUST

POSITION: Trustee NATURE: Trustee of Joanne's Revocable Trust and as it flow into her subtrusts. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/30/2019



## Registration and Employment History



### Other Business Activities, continued

ADDRESS: 72 OLD COMMON RD, AUBURN MA 01501, United States

DESCRIPTION: Cousin passed away in 2018. I became the Trustee of her Revocable Trust and SubTrusts.

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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	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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	Bankers Life Securities, Inc and Bankers Life Casualty and Company
<b>Allegations:</b>	In a written complaint, dated March 6, 2019, addressed to Bankers Life and Casualty Company (BLC), an insurance company affiliate of the Firm, [REDACTED] alleged she was misled into moving a portion of her assets into a Premium Bonus Annuity (PBIA) in January of 2015. [REDACTED] alleged that the annuity was not appropriate for her retirement goals and requested the return of her annuity balance without incurring surrender charges. While the PBIA sold to [REDACTED] was not a security and was issued by BLC, the Firm is reporting this complaint because the source of funding the annuity came from the sale of securities recommended by a registered representative of the Firm.
<b>Product Type:</b>	Other: Equity Indexed Annuity
<b>Alleged Damages:</b>	\$6,437.00
<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

**Date Complaint Received:** 03/13/2019

**Complaint Pending?**

No

**Status:**

Denied

**Status Date:**

04/02/2019

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

The annuity sale was a solid recommendation after a due diligence meeting with the client and her husband because they had concerns with market volatility. They were not misled or hard sold on rolling over client's IRA (23% of assets) into a Bankers Life and Casualty (BLC) Premium Bonus Annuity (PBIA). They understood that the PBIA would benefit client by eliminating market downside and still having the ability to participate in a portion of the market growth thru Par Rate with no fees if she complies with the withdrawal privileges of the contract. They both were present at all appointments and they both understood and participated in the presentation, recommendation, application and delivery of the policy. At policy delivery I went page by page disclosing everything about the annuity including that this was a ten (10) year contract with a decreasing penalty phase of 10/10/9/8/7/6/5/3/1.

This policy was sold after undergoing the following steps: fact finding, internal review and prep with management for proper recommendation. There was a go back appointment to make the recommendation and an additional registered representative was also part of this meeting acting in the capacity as a split rep on the account. All necessary due diligence was in place when submitting the application, suitability form and OSJ approvals along with BLC approvals. At policy delivery on 02/05/15 @ 12:00 P.M. I reviewed the policy in full detail going page by page making sure that the client and her husband understood what she purchased and if they have any questions and are ready to sign the delivery slip confirming what they ordered, is what they have received.

I met with the client and her husband on several occasions afterward with the additional registered representative to review all of their accounts and there were no concerns regarding the annuity or any other accounts.

Please note that in the beginning of assisting the client and her husband there was a lot of communication in preparing and completing tasks to put them in a better situation based on their goals. This included, BLC and (ProEquities), now Bankers Life Securities accounts. I have made myself available to them via phone, email and in person. Because we work as a team, the client's most recently made calls to the additional registered representative and he updated me as of any tasks completed.

In conclusion, I feel that I along with the additional registered representative have provided the the clients with valuable information, educating them and made several recommendations which they fully understood and implemented. In



addition, BLC investigated the client's complaint and determined that the annuity was suitable and denied their complaint.

## End of Report



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