

BrokerCheck Report

KEVIN CHRISTOPHER LOCKWOOD

CRD# 6488689

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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.

KEVIN C. LOCKWOOD

CRD# 6488689

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

- B** **GLOBAL ATLANTIC DISTRIBUTORS, LLC**
 550 E SWEDESFORD RD
 Suite 450
 WAYNE, PA 19087
 CRD# 8326
 Registered with this firm since: 07/23/2015

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
- 4 U.S. states and territories

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):**

No information reported.

**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
Criminal	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 4 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **GLOBAL ATLANTIC DISTRIBUTORS, LLC**

Main Office Address: **ONE FINANCIAL PLAZA
755 MAIN STREET, 24TH FLOOR
HARTFORD, CT 06103**

Firm CRD#: **8326**

SRO	Category	Status	Date
B FINRA	Invest. Co and Variable Contracts	Approved	07/23/2015
B FINRA	General Securities Representative	Approved	03/15/2023

U.S. State/ Territory	Category	Status	Date
B Florida	Agent	Approved	07/07/2025
B Pennsylvania	Agent	Approved	08/03/2015
B South Carolina	Agent	Approved	11/28/2022
B Texas	Agent	Approved	07/12/2022

Branch Office Locations

GLOBAL ATLANTIC DISTRIBUTORS, LLC
550 E SWEDESFORD RD
Suite 450
WAYNE, PA 19087



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 General Securities Representative Examination	Series 7TO	03/14/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	07/23/2015

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	08/01/2015

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
No information reported.			

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	GLOBAL ATLANTIC DISTRIBUTORS, LLC	INTERNAL WHOLESALER	Y	BERWYN, PA, United States
05/2015 - Present	GLOBAL ATLANTIC FINANCIAL COMPANY	INTERNAL WHOLESALER	Y	BERWYN, PA, United States
09/2012 - Present	KCL HOLDINGS	REAL ESTATE DEVELOPMENT	N	GLADWYNE, PA, 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.

No information reported.

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.
 -
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
Criminal	0	2	0
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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	MONTGOMERY COUNTY - COURT OF COMMON PLEAS
Location of Court:	NORRISTOWN, PENNSYLVANIA
Docket/Case #:	CP-46-CR-0010340-2002
Charge Date:	11/01/2001
Charge(s) 1 of 7	
Formal Charge(s)/Description:	CC903 CRIMINAL CONSPIRACY THEFT BY DECEPTION (CC3922A1)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 2 of 7	
Formal Charge(s)/Description:	CC4101A1 FORGERY
No of Counts:	1



Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 3 of 7	
Formal Charge(s)/Description:	CC3925A RECEIVING STOLEN PROPERTY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 4 of 7	
Formal Charge(s)/Description:	CC3922A3 THEFT BY DECEPTION
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 5 of 7	
Formal Charge(s)/Description:	CC4101A2 FORGERY
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Charge(s) 6 of 7	
Formal Charge(s)/Description:	CC3922A2 THEFT BY DECEPTION
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY



Disposition of charge:	Deferred Adjudication
Charge(s) 7 of 7	
Formal Charge(s)/Description:	CC3922A1 THEFT BY DECEPTION
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Deferred Adjudication
Current Status:	Final
Status Date:	06/04/2004
Disposition Date:	07/01/2001
Sentence/Penalty:	<p>WAS ADMITTED INTO AND SUCCESSFULLY COMPLETED ALL REQUIREMENTS AND CONDITIONS OF THE ACCELERATED REHABILITATION DISPOSITION (ARD)- COUNTY/002 YRS. 10/12/2011 - HEREBY ORDERED THAT AFTER REVIEW OF THE PETITION TO EXPUNGE AND APPROVAL OF SAME BY THE DISTRICT ATTORNEY, THE CHARGES FILED ARE DISMISSED PURSUANT TO ORDER. SERVED PROBATION ROUGHLY FROM 2002-2004. CASE IS SEALED, FOR FURTHER INFORMATION THE ATTORNEY OF RECORD:</p> <p>THOMAS F. REILLY, ESQ THE CHARTWELL LAW OFFICES ONE LOGAN SQUARE 130 N. 18TH STREET, 26 FLOOR PHILADELPHIA, PA 19103 PHONE - (215)972-5417 FAX - (215) 972-7008</p>
Broker Statement	<p>I WAS YOUNG, JUST MOVED INTO NEW NEIGHBORHOOD AND MADE A MISTAKE. I HURT MY FAMILY, FRIENDS AND THOSE REPERCUSSIONS CHANGED MY LIFE VIEW AND TO LIVE A LIFE OF HIGHER ETHICS MORALS. I PLEAD NOT GUILTY, ENTERED THE ARD PROGRAM WHICH I SUCCESSFULLY COMPLETED AND ULTIMATELY HAD THE CASE EXPUNGED. I WENT ON TO START AND GRADUATE COLLEGE, VOLUNTEER IN THE COMMUNITY (CURRENTLY COACH MY SONS FOOTBALL TEAM) HAVE A FAMILY, AND NOW AM ENTERING THE FINANCIAL FIELD FOR WHICH I AM PASSIONATE AND CHALLENGED BY. I WAS CHARGED BUT NO CONVICTION OCCURRED. I RESPECTFULLY REQUEST FOR FINRA TO SEE THIS TIME IN MY LIFE AS AN OUTLIER AND A STUPID DECISION MADE BY A YOUNGER AND IMMATURE VERSION OF MYSELF. THANK YOU.</p>



Disclosure 2 of 2

Reporting Source:	Broker
Formal Charges were brought in:	State Court
Name of Court:	CALLAWAY COUNTY COURTHOUSE, 13TH JUDICIAL CIRCUIT COURT, CALLAWAY COUNTY MISSOURI
Location of Court:	CALLAWAY COUNTY COURTHOUSE, 10 E. 5TH STREET FULTON, MO 65251
Docket/Case #:	10CW-CR00323-01
Charge Date:	02/16/2010
Charge(s) 1 of 3	
Formal Charge(s)/Description:	POSSESSION OF CONTROLLED SUBSTANCE EXCEPT 35 GRAMS OR LESS OF MARIJUANA (FELONY C RSMO: 195.202)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Charge(s) 2 of 3	
Formal Charge(s)/Description:	POSSESSION OF CONTROLLED SUBSTANCE EXCEPT 35 GRAMS OR LESS OF MARIJUANA (FELONY C RSMO: 195.202)
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed
Charge(s) 3 of 3	
Formal Charge(s)/Description:	POSSESSION OF UP TO 35 GRAMS MARIJUANA (MISDEMEANOR A RSMO: 195.202)
No of Counts:	1
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	NOT GUILTY
Disposition of charge:	Dismissed



Current Status:	Final
Status Date:	04/14/2011
Disposition Date:	04/14/2011
Sentence/Penalty:	DISMISSED BY PROSEC/NOLLE PROS
Broker Statement	<p>I WAS DRIVING HOME TO THE PHILADELPHIA AREA FROM A SNOWBOARDING TRIP IN UTAH, THE VEHICLE I WAS RIDING IN WAS STOPPED AND SEARCHED. DRUGS WERE FOUND. I WAS ARRESTED, CHARGED AND IN A PRE-TRAIL HEARING THE CASE WAS THROWN OUT BY THE PROSECUTOR NOLLE PROSEQUI. I HAVE TO REPORT/DISCLOSE THIS CHARGE BUT HAD NO INVOLVEMENT IN THE SITUATION, THE DISMISSAL REFLECTS THAT.</p>



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:	HARLEYSVILLE NATIONAL BANK
Termination Type:	Discharged
Termination Date:	12/01/2001
Allegations:	PER THE COURT DOCUMENTS THE SPECIFIC CHARGE(S) ARE THEFT BY DECEPTION, FORGERY, AND RECEIVING STOLEN PROPERTY.
Product Type:	Banking Products (other than CDs)
Broker Statement	THIS TERMINATION STEMS FROM WHAT WAS DISCLOSED IN 14A.(1)B. I WAS A BANK TELLER, MAINLY DEALING WITH DEPOSITS AND WITHDRAWALS. ELEMENTARY BANKING AND DID NOT DEAL WITH ANY INVESTMENT RELATED ACTIVITIES.

End of Report



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