

BrokerCheck Report

FREDERICK ALLEN MECKLENBURG SR

CRD# 726227

Section Title	Page(s)
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



When communicating online or investing with any professional, make sure you know who you're dealing with. <u>Imposters</u> might link to sites like BrokerCheck from <u>phishing</u> or similar scam websites, or through <u>social media</u>, 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:
 - o 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
 - o 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.

www.finra.org/brokercheck
User Guidance

FREDERICK A. MECKLENBURG SR

CRD# 726227

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

ROBERTSON INVESTMENT MANAGEMENT

919 MILAM ST SUITE 500 HOUSTON, TX 77002 CRD# 115425

Registered with this firm since: 01/07/2011

B NETWORK 1 FINANCIAL SECURITIES INC.

919 Milam Suite 550 Houston, TX 77002 CRD# 13577

Registered with this firm since: 02/05/2025

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:

- 2 Self-Regulatory Organizations
- 1 U.S. state or territory

This broker has passed:

- 1 Principal/Supervisory Exam
- 5 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 HOUSTON, TX 06/2024 - 01/2025

B SECURITIES AMERICA, INC.

CRD# 10205 HOUSTON, TX 12/2019 - 06/2024

A FIRST ALLIED ADVISORY SERVICES, INC.

CRD# 137888 SAN DIEGO, CA 07/2012 - 11/2019

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:

Туре	Count	
Regulatory Event	3	
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 2 SROs and is licensed in 1 U.S. state or territory through his or her employer.

Employment 1 of 2

Firm Name: **NETWORK 1 FINANCIAL SECURITIES INC.**

Main Office Address: THE GALLERIA, SUITE 241

2 BRIDGE AVENUE RED BANK, NJ 07701

Firm CRD#: **13577**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	02/05/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	02/05/2025
	U.S. State/ Territory	Category	Status	Date

Branch Office Locations

NETWORK 1 FINANCIAL SECURITIES INC.

919 Milam Suite 550 Houston, TX 77002

Employment 2 of 2

Firm Name: ROBERTSON INVESTMENT MANAGEMENT

Main Office Address: 919 MILAM ST

SUITE 500

HOUSTON, TX 77002

Firm CRD#: **115425**

Broker Qualifications



Employment 2 of 2, continued

U.S. State/ Territory	Category	Status	Date
Texas	Investment Adviser Representative	Approved	01/07/2011

Branch Office Locations

919 MILAM ST SUITE 500 HOUSTON, TX 77002 www.finra.org/brokercheck

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, 5 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	1	Category	Date
В	General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	03/17/1987

General Industry/Product Exams

Exam		Category	Date
В	Securities Industry Essentials Examination	SIE	10/01/2018
В	Foreign Currency Options Examination	Series 15	11/18/1987
В	Interest Rate Options Examination	Series 5	11/18/1987
В	National Commodity Futures Examination	Series 3	08/05/1983
B	General Securities Representative Examination	Series 7	03/21/1981

State Securities Law Exams

Exam	n	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	04/02/1981

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/.

www.finra.org/brokercheck
User Guidance

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:

Reg	istration Dates	Firm Name	CRD#	Branch Location
B	06/2024 - 01/2025	OSAIC WEALTH, INC.	23131	HOUSTON, TX
B	12/2019 - 06/2024	SECURITIES AMERICA, INC.	10205	HOUSTON, TX
IA	07/2012 - 11/2019	FIRST ALLIED ADVISORY SERVICES, INC.	137888	HOUSTON, TX
B	05/2010 - 11/2019	FIRST ALLIED SECURITIES, INC.	32444	HOUSTON, TX
IA	05/2010 - 07/2012	FIRST ALLIED SECURITIES, INC.	32444	HOUSTON, TX
IA	06/2005 - 06/2010	JAMES E.BASHAW & CO.	129320	HOUSTON, TX
B	07/2003 - 05/2010	LPL FINANCIAL CORPORATION	6413	HOUSTON, TX
IA	07/2003 - 05/2010	LPL FINANCIAL CORPORATION	6413	HOUSTON, TX
IA	02/1998 - 11/2003	AEGIS ASSET MANAGEMENT INC	108610	HOUSTON, TX
B	04/2000 - 06/2003	WESTCOTT SECURITIES, LLC	45532	HOUSTON, TX
B	09/1994 - 02/1998	MCFARLAND, GROSSMAN & COMPANY	30850	HOUSTON, TX
B	03/1994 - 05/1994	VICTORIA SECURITIES CORPORATION	22289	
B	07/1993 - 01/1994	THE VARIABLE ANNUITY MARKETING COMPANY	5081	HOUSTON, TX
B	02/1993 - 07/1993	CALVERT SECURITIES CORPORATION	14035	BETHESDA, MD
B	09/1992 - 02/1993	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
B	05/1989 - 09/1992	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	NEW YORK, NY
B	12/1986 - 03/1989	PRUDENTIAL-BACHE SECURITIES INC.	7471	NEW YORK, NY
В	11/1984 - 12/1986	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	
В	08/1984 - 12/1984	CYPRES, ROSS AND ASSOCIATES, INC.	10150	
В	03/1981 - 07/1984	E. F. HUTTON & COMPANY INC	235	

Registration and Employment History



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
02/2025 - Present	Network 1 Financial Securities, Inc.	Registered Representative	Υ	Red Bank, NJ, United States
01/2011 - Present	ROBERTSON WEALTH MANAGEMENT, LLC	FINANCIAL ADVISOR	Υ	HOUSTON, TX, United States
06/2024 - 01/2025	OSAIC WEALTH, INC.	Mass Transfer	Υ	HOUSTON, TX, United States
12/2019 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Υ	HOUSTON, TX, United States
07/2012 - 11/2019	FIRST ALLIED ADVISORY SERVICES, INC.	MASS TRANSFER - INVESTMENT ADVISOR REPRESENTATIVE	Y	CHESTERFIELD, MO, United States
04/2010 - 11/2019	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Υ	SAN DIEGO, CA, 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.

ROBERTSON WEALTH MANAGEMENT RIA

POSITION: Portfolio Manager NATURE: Robertson Wealth Management RIA INVESTMENT RELATED: Yes NUMBER OF HOURS: 40

SECURITIES TRADING HOURS: 130 START DATE: 12/01/2019 ADDRESS: 919 Milam Suite 550 Houston, TX 77002, United States

DESCRIPTION: Portfolio Manager.

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:

- o 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.

4. There are different statuses and dispositions for disclosure events:

- o 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.
- o 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
Regulatory Event	0	3	0
Customer Dispute	0	1	N/A



Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 3

Reporting Source: Regulator

Regulatory Action Initiated

TEXAS STATE SECURITIES BOARD

Sanction(s) Sought:

Bv:

Other Sanction(s) Sought:

Date Initiated: 04/25/1994

Docket/Case Number: SUS-989

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: Not Provided

Current Status: Final

Resolution: Decision

Resolution Date: 04/25/1994

Sanctions Ordered: Suspension



Other Sanctions Ordered:

Sanction Details: ON APARIL 25, 1994, THE TEXAS SECURITIES

COMMISSIONER ENTERED A CONSENT ORDER GRANTING THE

APPLICATION

OF FREDERICK ALLEN MECKLENBURG FOR REGISTRATION AS AN AGENT

OF

VICTORIA BANK AND TRUST; AND SUSPENDING MECKLENBURG REGISTRATION WITH VICTORIA BANK AND TRUST AND VICTDORIA SECURITIES CORPORATION FROM SOLICITING NEW ACCOUNTS FOR A

PERIOD OF THIRTY DAYS. THE COMMISSIONER FOUND THAT

MECKLENBURG

HAD FAILED TO DISCLOSE A PRIOR CFTC ORDER ON HIS APPLICATION

FOR REGISTRATION.

Regulator Statement

Not Provided

Reporting Source: Broker

Regulatory Action Initiated

By:

TEXAS STATE SECURITES BOARD

Sanction(s) Sought: Cease and Desist

Date Initiated: 04/25/1994

Docket/Case Number: SUS-989

Employing firm when activity occurred which led to the

regulatory action:

VICTORIA BANK & TRUST

Product Type: No Product

Allegations: THAT I FAILED TO DISCLOSE TO THE TEXAS STATE

SECURITIES BOARD A CEASE AND DESIST ORDER CONSENTED TO WITH

THE

COMMODITY FUTURES TRADING COMMISSIONS AND PAYMENT OF A

\$5,000.00 CIVIL PENALTY.

Current Status: Final

Resolution: Decision



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

No

Resolution Date: 04/25/1994 Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: SUSPENDED FROM SOLICITING NEW ACCOUNTS

Duration: 30 DAYS

Start Date:

End Date:

Broker Statement THIS ACTION RESULTED FROM VICTORIA BANK & TRUST'S

> TOTAL LACK OF EXPERIENCE IN DEALING WITH CURRENTLY REGISTERED INDIVIDUALS. THE BANK'S PRINCIPAL INCORRECTLY COMPLETED THE STATE REGISTRATION PROCESS WHICH ULTIMATELY LEAD TO THIS

OCCURRENCE.

Disclosure 2 of 3

Reporting Source: Broker

Regulatory Action Initiated

By:

STATE OF FLORIDA

Sanction(s) Sought: Other

REGISTRATION REVOKED. Other Sanction(s) Sought:

Date Initiated: 01/01/1991

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the

regulatory action:

MERRILL LYNCH

Product Type: No Product



Other Product Type(s):

Allegations: VIOLATION OF SECTION 1.56 (C) OF THE CRTC

REGULATIONS.

Current Status: Final

Resolution: Decision

Resolution Date: 01/01/1991

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: FLORIDA REGISTRATION WAS REVOKED

Broker Statement FLORIDA ADVISED ME IN WRITING THAT MY

REGISTRATION WOULD BE REVOKED UNLESS MERRILL LYNCH

RESPONDED TO

A QUESTIONNAIRE WHICH WAS SENT TO ME SOMETIME N 1990. I PASSED ALL OF THIS INFORMATION ON TO MY MANAGER AND NEVER HEARD ANYTHING UNTIL I RECEIVED NOTICE THAT MY REGISTRATION WAS REVOKED. TO THIS DAY I DO NOT KNOW WHY THIS ACTION WAS TAKEN AND WHY MERRILL LYNCH DID NOTHING TO STOP THE ACTION FROM

HAPPENING.

Disclosure 3 of 3

Reporting Source: Regulator

Regulatory Action Initiated

By:

COMMODITY FUTURES TRADE COMMISSION

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 11/17/1987

Docket/Case Number: 88-3

Employing firm when activity occurred which led to the regulatory action:

E.F. HUTTON & CO., INC.

Product Type:

Other Product Type(s):

Allegations:



Current Status: Final

Resolution: Consent

Resolution Date: 11/17/1987

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details:

Regulator Statement +08/11/97+ CFTC PROCEEDINGS BULLETIN DATED DECEMBER 31, 1996,

PAGE 195, DISCLOSES; FREDERICK MECKLENBURG VIOLATED CFTC REGULATION 1.56(c). MECKLENBURG WAS ISSUED A CEASE AND DESIST ORDER AND PENALIZED IN THE AMOUNT OF \$5,000. DOCKET/CASE NO.

88-3, DATED 11/17/87.

Reporting Source: Broker

Regulatory Action Initiated

By:

CFTC

Sanction(s) Sought: Cease and Desist

Date Initiated: 11/17/1987

Docket/Case Number: 88-3

Employing firm when activity occurred which led to the

regulatory action:

E.F. HUTTON & CO., INC.

Product Type: No Product

Allegations: VIOLATION OF SECTION 1.56 (C) OF THE

COMMISSIONS REGULATIONS.

Current Status: Final

Resolution: Consent

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? Nο



Resolution Date: 11/17/1987

Sanctions Ordered: Cease and Desist

Broker Statement NOT PROVIDED



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

LPL FINANCIAL

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

Reporting Source: Firm

Employing firm when activities occurred which led

to the complaint:

Allegations: CUSTOMER COMPLAINT ALLEGES MISREPRESENTATION OF JACKSON

NATIONAL LIFE INSURANCE COMPANY ANNUITY AND REQUESTS FULL

REIMBURSEMENT OF INVESTMENT AMOUNT.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount

Explanation (if amount not

exact):

NOT SPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN

\$5,000.

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: 10/13/2010

Complaint Pending? No

Status: Denied

Status Date: 02/24/2011

Settlement Amount:

Individual Contribution

Amount:

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:

LPL FINANCIAL

Allegations:

CUSTOMER COMPLAINT ALLEGES MISREPRESENTATION OF JACKSON NATIONAL LIFE INSURANCE COMPANY ANNUITY AND REQUESTS FULL

REIMBURSEMENT OF INVESTMENT AMOUNT.

Product Type:

Annuity-Variable

Alleged Damages:

\$0.00

Alleged Damages Amount

NOT SPECIFIED BUT REASONABLY BELIEVED TO BE GREATER THAN

Explanation (if amount not \$5,

\$5,000.

exact):

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

No

Customer Complaint Information

Date Complaint Received: 10/13/2010

Complaint Pending?

Status: Denied

Status Date: 02/28/2011

Settlement Amount:

Individual Contribution

Amount:

www.finra.org/brokercheck

End of Report



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