

BrokerCheck Report

EDWIN EMMETT LICKISS JR

CRD# 844969

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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.](http://www.finra.org)

EDWIN E. LICKISS JR

CRD# 844969

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:

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

Registration History

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

- B INVESTMENT ARCHITECTS, INC.**
CRD# 17774
ALAMO, CA
08/1996 - 08/2014
- B FINANCIAL TELESIS INC**
CRD# 31012
SAN RAFAEL, CA
09/1995 - 08/1996
- B LINSKO/PRIVATE LEDGER CORP.**
CRD# 6413
FORT MILL, SC
12/1989 - 07/1995

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Customer Dispute	2

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	02/03/1986

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7	11/16/1985
B Registered Representative Examination	Series 1	10/20/1977

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	12/13/1988

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/1996 - 08/2014	INVESTMENT ARCHITECTS, INC.	17774	ALAMO, CA
B 09/1995 - 08/1996	FINANCIAL TELESIS INC	31012	SAN RAFAEL, CA
B 12/1989 - 07/1995	LINSCO/PRIVATE LEDGER CORP.	6413	FORT MILL, SC
B 09/1987 - 12/1989	LINSCO FINANCIAL GROUP, INC.	524	
B 07/1983 - 10/1987	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	
B 06/1978 - 08/1983	UNIVERSITY SECURITIES CORPORATION	6518	
B 11/1977 - 07/1978	PUTNAM FUND DISTRIBUTORS, INC.	7325	

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
08/1996 - Present	INVESTMENT ARCHITECTS, INC.	NOT PROVIDED	Y	ALAMO, CA, United States
08/1981 - Present	SELF- INSURANCE SALES	OTHER - NOTGIVEN	N	DANVILLE, CA, United States
08/1980 - Present	DANVILLE FINANCIAL GROUP	OTHER - OWNER/PRESIDENT	N	DANVILLE, CA, United States



Disclosure Events

What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:

- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	2	0
Customer Dispute	2	N/A



Disclosure Event Details

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 involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 07/30/2014

Docket/Case Number: [2013037734301](#)

Employing firm when activity occurred which led to the regulatory action: INVESTMENT ARCHITECTS, INC.

Product Type: No Product

Allegations: WITHOUT ADMITTING OR DENYING THE FINDINGS, LICKISS CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FAILED TO TIMELY DISCLOSE ON HIS FORM U4 TAX LIENS FILED AGAINST HIM BY THE INTERNAL REVENUE SERVICE (IRS) AND THE STATE OF CALIFORNIA, WHEN HE WAS AWARE OF ALL OF THE TAX LIENS THROUGH NOTICES HE RECEIVED ON OR ABOUT WHEN THEY WERE FILED, AND THEREBY WILLFULLY VIOLATED FINRA RULES. THE FINDINGS STATED THAT LICKISS KNOWINGLY MISREPRESENTED TO THE HIS MEMBER FIRM ON COMPLIANCE DECLARATIONS THAT HE WAS NOT THE SUBJECT OF ANY LIENS AGAINST HIS ASSETS OR INCOME, DESPITE THE FACT THAT HE WAS AWARE OF THE EXISTENCE OF THE FOREGOING LIENS FILED BY BOTH THE IRS AND THE STATE OF CALIFORNIA DURING THIS PERIOD.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)



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:

07/30/2014

Sanctions Ordered:

Civil and Administrative Penalty(ies)/Fine(s)

Suspension

Other: LICKISS UNDERSTANDS THAT THIS SETTLEMENT INCLUDES A FINDING THAT HE WILLFULLY OMITTED TO STATE A MATERIAL FACT ON A FORM U4, AND THAT UNDER SECTION 3(A)(39)(F) OF THE SECURITIES EXCHANGE ACT OF 1934 AND ARTICLE III, SECTION 4 OF FINRA'S BY-LAWS, THIS OMISSION MAKES HIM SUBJECT TO A STATUTORY DISQUALIFICATION WITH RESPECT TO ASSOCIATION WITH A MEMBER.

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

Yes

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

No



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

No

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

No

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	FOUR MONTHS
Start Date:	08/18/2014
End Date:	12/17/2014

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$5,000.00**Portion Levied against individual:** \$5,000.00**Payment Plan:** DEFERRED**Is Payment Plan Current:****Date Paid by individual:****Was any portion of penalty waived?** No**Amount Waived:****Reporting Source:** Broker**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)
Suspension**Date Initiated:** 03/28/2014**Docket/Case Number:** FINRA NO. 20130377343**Employing firm when activity occurred which led to the regulatory action:** INVESTMENT ARCHITECTS, INC.**Product Type:** No Product**Allegations:** FAILURE TO NOTIFY FINRA OR BROKER DEALER OF TAX LIENS TIMELY**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**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: 07/30/2014
Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
 Suspension

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: ALL CAPACITIES
Duration: FOUR MONTHS
Start Date: 08/18/2014
End Date: 12/17/2014

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement I FAILED TO NOTIFY FINRA AND MY BROKER DEALER THAT I HAD TAX LIENS, BUT ULTIMATELY PAID THEM IN FULL AND REPORTED THEM TO FINRA VOLUNTARILY AND APPROPRIATELY.

Disclosure 2 of 2

Reporting Source: Regulator
Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 10/14/1996



Docket/Case Number: C01960023

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

Product Type: Other

Other Product Type(s):

Allegations: COMPLAINT NO. C01960023 FILED OCTOBER 14, 1996 BY DISTRICT NO. 1 AGAINST EDWIN EMMETT LICKISS, JR. ALLEGING VIOLATIONS OF NASD RULES 2110 AND 3040 (FORMERLY ARTICLE III, SECTIONS 1 AND 40 OF THE RULES OF FAIR PRACTICE) IN THAT RESPONDENT LICKISS PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT PROVIDING PRIOR WRITTEN NOTIFICATION TO HIS MEMBER FIRM; EFFECTED A SETTLEMENT WITH A PUBLIC CUSTOMER CONCERNING HIS PREVIOUS INVESTMENT WITHOUT THE KNOWLEDGE OR APPROVAL OF HIS MEMBER FIRM; AND, EXECUTED SETTLEMENT AGREEMENT WITH PUBLIC CUSTOMERS WITHOUT THE KNOWLEDGE OR APPROVAL OF HIS MEMBER FIRM.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 08/19/1997

Sanctions Ordered: Censure
Monetary/Fine \$8,500.00

Other Sanctions Ordered:

Sanction Details: ON AUGUST 19, 1997, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT SUBMITTED BY RESPONDENT LICKISS WAS ACCEPTED; THEREFORE, HE IS CENSURED AND FINED \$8,500.

***** \$8,500 FULLY PAID AS OF 3/4/98, INVOICE NO. 97-01-744

Reporting Source: Broker

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought: Censure

Other Sanction(s) Sought: FINE



Date Initiated: 08/19/1997

Docket/Case Number: C01960023

Employing firm when activity occurred which led to the regulatory action: LINSKO PRIVATE LEDGER CORPORATION

Product Type: No Product

Other Product Type(s):

Allegations: THE COMPLAINT ALLEGES THAT ON OUR ABOUT 11/20/1993 MR. LICKISS PARTICIPATED IN THE PURCHASE OF A \$10,000 NOTE ISSUED BY DANVILLE FINANCIAL GROUP TO CUSTOMER JM'S IRA ACCOUNT WITHOUT PROVIDING PRIOR WRITTEN NOTICE TO LPL, HE THEN EFFECTED A SETTLEMENT WITH JM WITHOUT LPL'S APPROVAL, AND SETTLED WITH OTHER CLIENTS WITHOUT LPL'S APPROVAL.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 08/21/1997

Sanctions Ordered: Censure
Monetary/Fine \$8,500.00

Other Sanctions Ordered:

Sanction Details: FINE PAID IN FULL



Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	LINSCO/PRIVATE LEDGER CORP.
Allegations:	ACCOUNT RELATED-NEGLIGENCE; MISREPRESENTATION; BREACH OF FIDUCIARY DUTY; CHURNING
Product Type:	
Alleged Damages:	\$200,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #91-03204
Date Notice/Process Served:	10/28/1991
Arbitration Pending?	No
Disposition:	Other
Disposition Date:	10/07/1992
Disposition Detail:	AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$94,768.00 JOINTLY AND SEVERALLY

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	LINSCO/PRIVATE LEDGER CORP.
Allegations:	VIOLATION OF FEDERAL AND CALIFORNIA SECURITIES LAWS, FRAUD, NEGLIGENCE, NEGLIGENT MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, BREACH OF WARRANTY, EMOTIONAL DISTRESS.
Product Type:	Direct Investment(s) - DPP & LP Interest(s)



Alleged Damages: \$200,000.00

Customer Complaint Information

Date Complaint Received: 10/11/1991

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 10/11/1991

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-03204](#)

Date Notice/Process Served: 10/28/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/07/1992

Monetary Compensation Amount: \$94,768.00

Individual Contribution Amount: \$0.00

Broker Statement

SETTLEMENT \$93,768
 THE BASIS OF THIS LITIGATION AND/OR COMPLAINT REALLY STEMS FROM OUR NATIONAL DECLINE IN REAL ESTATE VALUES. OUR CORRESPONDING RECESSION HAS LED MANY A PARTNERSHIP TO EITHER REDUCE CASH FLOWS OR SUSPEND OPERATIONS. WE MAINTAIN THAT THE INVESTMENTS WERE SUITABLE, THAT THEY HAD GOOD PERFORMANCE HISTORIES AND EVERY REASONABLE EXPECTATION FOR SUCCESS. EACH PORTFOLIO WAS ADEQUATELY DIVERSIFIED AND HAD STRONG LIQUID POSITIONS. FINALLY, THE CLIENT WAS PROPERLY INFORMED OF RISK AND WE BELIEVE SOUGHT THIS ACTION TO CREATE LIQUIDITY.



Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: DANVILLE FINANCIAL GROUP, INC.

Allegations: SUITABILITY; MISREPRESENTATION; OMISSION OF FACTS; ACCOUNT RELATED - FAILURE TO SUPERVISE

Product Type:

Alleged Damages: \$53,675.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD - CASE #91-03118](#)

Date Notice/Process Served: 10/25/1991

Arbitration Pending? No

Disposition: Other

Disposition Date: 10/27/1992

Disposition Detail: AWARD AGAINST PARTY ACTUAL/COMPENSATORY DAMAGES, RELIEF HAS BEEN AWARDED (PARTIAL OR FULL), AWARD AMOUNT \$45,224.00 JOINTLY AND SEVERALLY

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: DANVILLE FINANCIAL GROUP, INC.

Allegations: VIOLATION OF FEDERAL AND CALIFORNIA SECURITIES LAWS, FRAUD, NEGLIGENT MISREPRESENTATION, NEGLIGENCE, BREACH OF FIDUCIARY DUTY, BREACH OF WARRANTY, EMOTIONAL DISTRESS.

Product Type: Direct Investment(s) - DPP & LP Interest(s)

Alleged Damages: \$53,675.00

Customer Complaint Information

Date Complaint Received: 10/25/1991



Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 10/27/1992

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.; 91-03118](#)

Date Notice/Process Served: 10/25/1991

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 10/27/1992

Monetary Compensation Amount: \$45,224.00

Individual Contribution Amount: \$0.00

Broker Statement \$45,224 AWARDED
 THE BASIS OF THIS LITIGATION AND/OR COMPLAINT REALLY STEMS FROM OUR NATIONAL DECLINE IN REAL ESTATE VALUES. THE CORRESPONDING RECESSION LED MANY A PARTNERSHIP TO EITHER REDUCE CASH FLOWS OR SUSPEND OPERATIONS. WE MAINTAIN THAT THE INVESTMENTS WERE SUITABLE, THAT THEY HAD GOOD PERFORMANCE HISTORIES AND EVERY REASONABLE EXPECTATION FOR SUCCESS. EACH PORTFOLIO WAS ADEQUATELY DIVERSIFIED AND HAD STRONG LIQUID POSITIONS. FINALLY, THE CLIENT WAS PROPERLY INFORMED OF RISK AND WE BELIEVE SOUGHT THIS ACTION TO CREATE LIQUIDITY.

End of Report



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