

BrokerCheck Report

RICHARD SCOTT BROWN

CRD# 2156409

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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)

RICHARD S. BROWN

CRD# 2156409

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
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

- B LINCOLN FINANCIAL ADVISORS CORPORATION**
CRD# 3978
CHERRY HILL, NJ
12/2018 - 06/2022
- B QUESTAR CAPITAL CORPORATION**
CRD# 43100
MOUNT LAUREL, NJ
02/2013 - 11/2016
- B ESSEX SECURITIES LLC**
CRD# 46605
TOPSFIELD, MA
02/2009 - 10/2012

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**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

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 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.

This individual has passed 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	09/20/2004

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Securities Industry Essentials Examination	SIE	11/11/2016
B General Securities Representative Examination	Series 7	10/18/1994
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/21/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/31/2010
B Uniform Securities Agent State Law Examination	Series 63	09/17/1991

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
B 12/2018 - 06/2022	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	CHERRY HILL, NJ
B 02/2013 - 11/2016	QUESTAR CAPITAL CORPORATION	43100	MOUNT LAUREL, NJ
B 02/2009 - 10/2012	ESSEX SECURITIES LLC	46605	TOPSFIELD, MA
B 10/2007 - 01/2009	INVESTORS CAPITAL CORP.	30613	BRAINTREE, MA
B 08/2005 - 07/2006	SUN LIFE FINANCIAL DISTRIBUTORS, INC.	5496	BOSTON, MA
B 12/2002 - 08/2005	INVESTORS CAPITAL CORP.	30613	LYNNFIELD, MA
B 05/2001 - 08/2002	AFD, INC.	34047	NORTHBROOK, IL
B 12/2000 - 05/2001	NATIONWIDE INVESTMENT SERVICES CORPORATION	7110	COLUMBUS, OH
B 12/1997 - 01/2000	FIRST VARIABLE CAPITAL SERVICES, INC.	30007	BIRMINGHAM, AL
B 01/1996 - 07/1996	FIS SECURITIES, INC.	30533	BOSTON, MA
B 03/1995 - 12/1995	MDS SECURITIES INCORPORATED	29367	CARMEL, IN
B 06/1994 - 02/1995	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 06/1994 - 02/1995	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN
B 05/1992 - 04/1994	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ

Employment History



Registration and Employment History

Employment History, continued

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
04/2017 - Present	LINCOLN FINANCIAL ADVISORS	REGISTERED REPRESENTATIVE	Y	PHILADELPHIA, PA, United States
11/2016 - 04/2017	Unemployed	Unemployed	N	Mullica Hill, NJ, United States
02/2013 - 11/2016	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
02/2013 - 11/2016	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
11/2012 - 11/2016	ROSTER FINANCIAL	FMO HEAD OF SALES	Y	VOORHEES, NJ, 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) Richard S Brown 112 Willow Oaks Lane Mullica Hill NJ 08062

Category: Insurance

Investment Related: Y

Title: agent

Duties: Offering traditional fixed life insurance and fixed annuities

Start Date: 09/12/2018

Hours per Month: 5

Hours per Month during trading hours: 0

2) Richard and Stephanie Brown 112 Willow Oaks Lane Mullica Hill NJ 08062

Category: Real Estate Rental

Investment Related: Y

Title: co-owner and landlord

Duties: collect rent

Start Date: 02/23/2015

Hours per Month: 5

Registration and Employment History



Other Business Activities, continued

Hours per Month during trading hours: 0

End of Report



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