

BrokerCheck Report

RICHARD NORTHRUP FISHER JR

CRD# 2891636

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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.

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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 N. FISHER JR

CRD# 2891636

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

IA LPL FINANCIAL LLC
 3120 S CHURCH ST STE 101
 BURLINGTON, NC 27215
 CRD# 6413
 Registered with this firm since: 07/22/2005

B LPL FINANCIAL LLC
 3120 S CHURCH ST STE 101
 BURLINGTON, NC 27215
 CRD# 6413
 Registered with this firm since: 07/22/2005

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
- 40 U.S. states and territories

This broker has passed:

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

Registration History

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

IA EDWARD JONES
 CRD# 250
 ST. LOUIS, MO
 12/2001 - 07/2005

B EDWARD JONES
 CRD# 250
 ST. LOUIS, MO
 03/2000 - 07/2005

B SUNAMERICA CAPITAL SERVICES, INC.
 CRD# 13158
 JERSEY CITY, NJ
 07/1997 - 12/1999

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**



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 40 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	07/22/2005
B	FINRA	Invest. Co and Variable Contracts	Approved	07/22/2005
B	FINRA	General Securities Principal	Approved	10/18/2005

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	09/03/2008
B	Arizona	Agent	Approved	09/06/2007
B	Arkansas	Agent	Approved	11/19/2018
B	California	Agent	Approved	01/18/2006
B	Colorado	Agent	Approved	01/03/2006
B	Connecticut	Agent	Approved	05/14/2019
B	Delaware	Agent	Approved	05/19/2011
B	District of Columbia	Agent	Approved	08/14/2018
B	Florida	Agent	Approved	07/22/2005
B	Georgia	Agent	Approved	04/20/2006



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	10/07/2022
B	Idaho	Agent	Approved	02/17/2022
B	Illinois	Agent	Approved	03/22/2006
B	Indiana	Agent	Approved	07/28/2005
B	Kentucky	Agent	Approved	04/20/2012
B	Maine	Agent	Approved	03/22/2022
B	Maryland	Agent	Approved	03/31/2006
B	Massachusetts	Agent	Approved	11/06/2015
B	Michigan	Agent	Approved	10/29/2021
B	Mississippi	Agent	Approved	11/21/2011
B	Missouri	Agent	Approved	07/22/2005
B	Nebraska	Agent	Approved	05/13/2016
B	Nevada	Agent	Approved	05/13/2015
B	New Hampshire	Agent	Approved	04/05/2019
B	New Jersey	Agent	Approved	07/22/2005
B	New Mexico	Agent	Approved	03/16/2020
B	New York	Agent	Approved	02/11/2015
B	North Carolina	Agent	Approved	07/22/2005
IA	North Carolina	Investment Adviser Representative	Approved	08/08/2005
B	Ohio	Agent	Approved	01/25/2006
B	Oregon	Agent	Approved	08/27/2018



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Pennsylvania	Agent	Approved	01/08/2007
B	Rhode Island	Agent	Approved	05/09/2017
B	South Carolina	Agent	Approved	07/22/2005
B	South Dakota	Agent	Approved	04/03/2017
B	Tennessee	Agent	Approved	01/15/2013
B	Texas	Agent	Approved	09/06/2006
IA	Texas	Investment Adviser Representative	Approved	03/01/2013
B	Vermont	Agent	Approved	02/08/2018
B	Virginia	Agent	Approved	07/22/2005
B	Washington	Agent	Approved	06/21/2010
B	West Virginia	Agent	Approved	11/06/2015

Branch Office Locations

LPL FINANCIAL LLC

3120 S CHURCH ST STE 101
BURLINGTON, NC 27215



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	10/17/2005

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/18/1999
B Investment Company Products/Variable Contracts Representative Examination	Series 6	05/23/1997

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	03/16/2000

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
IA 12/2001 - 07/2005	EDWARD JONES	250	BURLINGTON, NC
B 03/2000 - 07/2005	EDWARD JONES	250	ST. LOUIS, MO
B 07/1997 - 12/1999	SUNAMERICA CAPITAL SERVICES, INC.	13158	JERSEY CITY, NJ
B 05/1997 - 07/1997	SUNAMERICA SECURITIES, INC.	20068	PHOENIX, AZ

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
07/2005 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	BURLINGTON, NC, 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) 2/10/2009: FISHER WEALTH MANAGEMENT - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
- 2) 2/20/2009: No Business Name - INV REL - At Reported Business Location(s) - Real Estate Rental - Time Spent 0% - 1 beach property rental.
- 3) 12/5/2013: RLF Properties, FACB Properties, 69 West First St. LLC - INV REL - At Reported Business Location(s) - Real Estate Rental - Time Spent 0% - BEACH RENTALS. 3 UNITS. NO RENTERS ARE CUSTOMERS OR ADVISORS.
- 4) 12/14/2015: Crump Insurance services - INV REL - At Reported Business Location(s) - Non-Variable Insurance - START 11/30/2015 - 5 HRS/MO; 5 HRS/MO DURING SECS TRDG HRS - Sales of insurance products
- 5) 9/6/2017: No Business Name - Investment Related - Ocean Isle Beach, NC - Real Estate Rental - Started 07/10/2017 - 5 Hours Per Month/0

Registration and Employment History



Other Business Activities, continued

Hours During Securities Trading.

6) 9/6/2017: 357 w first st LLC - Investment Related - Ocean Isle Beach, NC - Real Estate Rental - Owner - Started 07/04/2016 - 2 Hours Per Month/0 Hours During Securities Trading.

7) 04/05/2019 - oib rentals - Not investment related - ocean isle beach nc - Family Business - start date:01/21/2019 - 1 hr/mo - 0 hrs during trading.

8) 11/4/2021 - rlf properties, facb properties - Investment Related - chapel hill nc 27517; atlantic beach nc, 28512; and atlantic beach nc 285112 - Real Estate Rental - Started 01/11/2021 - 1 Hour Per Month/0 Hours During Securities Trading.

9) 05/24/2022 - Wilson Brown Sock Company - Not Investment Related - Business Owner - Start Date - 05/23/2022 - 0 Hours Per Month/ 0 Hours During Securities Trading.

End of Report



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