



IAPD Report

LYNN RAYMOND SIEWERT

CRD# 1057367

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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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

LYNN RAYMOND SIEWERT (CRD# 1057367)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	09/05/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
	EPIC PRIVATE WEALTH	281027	RICHLAND, WA	02/13/2018 - 12/12/2025
	AVANTAX ADVISORY SERVICES	104556	Ridgefield, WA	07/31/2025 - 09/05/2025
	ADVANCED CORPORATE PLANNING, LLC	288466	VANCOUVER, WA	08/03/2017 - 04/05/2018

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CETERA INVESTMENT ADVISERS LLC**
Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096
Firm ID#: 105644

Regulator	Registration	Status	Date
IA Washington	Investment Adviser Representative	Approved	09/05/2025

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
RIDGEFIELD, WA



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	01/07/1985

General Industry/Product Exams

Exam	Category	Date
Securities Industry Essentials Examination (SIE)	SIE	07/03/2017
General Securities Representative Examination (S7)	Series 7	07/17/1982

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination (S65)	Series 65	06/09/1992
Uniform Securities Agent State Law Examination (S63)	Series 63	08/13/1982

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	02/13/2018 - 12/12/2025	EPIC PRIVATE WEALTH	CRD# 281027	RICHLAND, WA
IA	07/31/2025 - 09/05/2025	AVANTAX ADVISORY SERVICES	CRD# 104556	Ridgefield, WA
IA	08/03/2017 - 04/05/2018	ADVANCED CORPORATE PLANNING, LLC	CRD# 288466	VANCOUVER, WA
IA	07/02/2012 - 07/05/2017	FIRST ALLIED ADVISORY SERVICES, INC.	CRD# 137888	Vancouver, WA
B	12/01/2006 - 07/03/2017	FIRST ALLIED SECURITIES, INC.	CRD# 32444	VANCOUVER, WA
IA	12/13/2006 - 07/02/2012	FIRST ALLIED SECURITIES, INC.	CRD# 32444	VANCOUVER, WA
IA	12/01/2006 - 12/12/2006	FIRST ALLIED SECURITIES, INC.	CRD# 32444	VANCOUVER, WA
B	01/04/1999 - 12/05/2006	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	VANCOUVER, WA
B	11/20/2006 - 11/20/2006	FIRST ALLIED SECURITIES, INC.	CRD# 32444	VANCOUVER, WA
IA	04/09/1999 - 06/04/2003	RAYMOND JAMES FINANCIAL SERVICES	CRD# 6694	VANCOUVER, WA
B	01/08/1998 - 01/04/1999	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	04/13/1988 - 01/13/1998	INVESTMENT MANAGEMENT & RESEARCH, INC	CRD# 6694	ST. PETERSBURG, FL
B	11/26/1984 - 05/12/1988	WEDBUSH SECURITIES, INC.	CRD# 877	
B	12/15/1982 - 12/06/1984	BIRR, WILSON & CO., INC.	CRD# 93	
B	09/02/1982 - 11/23/1982	UNIVERSITY SECURITIES CORPORATION	CRD# 6518	



Registration & Employment History

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2025 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
02/2018 - Present	Epic Trust Investment Advisors LLC dba Epic Private Wealth	Senior Wealth Advisor	Y	Ridgefield, WA, United States
07/2025 - 09/2025	Avantax Advisory Services	Investment Advisor Representative	Y	Ridgefield, WA, United States
02/2018 - 07/2025	Epic Private Wealth	Investment Adviser Representative	Y	Ridgefield, WA, United States
09/2017 - 11/2021	HIS EAGLE NEST, LLC	OWNER	Y	VANCOUVER, WA, United States
05/2017 - 04/2018	Advanced Corporate Planning, LLC	Investment Adviser Representative	Y	Vancouver, WA, United States
07/2012 - 06/2017	FIRST ALLIED ADVISORY SERVICES, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	SAN DIEGO, CA, United States
12/2006 - 06/2017	FIRST ALLIED SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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) Epic Trust Investment Advisors LLC dba Epic Private Wealth; Senior Wealth Advisor; we work closely with individuals, families, and business owners to develop comprehensive financial strategies tailored to their long-term goals- this involves guiding clients through complex financial decisions--such as investment management, retirement planning, estate and trust coordination, tax efficiency, insurance analysis, and legacy planning; Yes; 160; 130; 02/01/2018; 26809 NE 29th Ave Ridgefield WA 98642; My responsibilities include developing tailored financial plans that address retirement income strategies, investment management, estate and trust coordination, tax efficiency, and risk management. I oversee investment portfolios aligned with clients' goals and risk profiles, and I guide clients through key life transitions--such as retirement, inheritance, business exits, or loss of a loved one.

2) Epic Private Wealth; Investment Adviser Representative; Epic Private Wealth is an independent registered RIA. We will be dissolving this RIA within 90 days of our affiliation with Avantax.; Yes; 1; 0; 02/08/2018; 26809 NE 29th Ave Ridgefield WA 98642; Epic Private Wealth is a registered investment advisory firm. We will be dissolving this RIA within 90 days of affiliation with Avantax.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	1

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations: CLIENTS [CUSTOMER] AND [CUSTOMER] CLAIM THAT THE FA LIQUIDATED THEIR DIRECT MUTUAL FUNDS ON 4/16/2004 AGAINST THEIR WISHES. DUE TO MR. SIEWERT'S ACTIONS THE CLIENTS CLAIM THEY HAD TO PAY IRS PENALTIES IN ADDITION TO CPA AND ATTORNEY COSTS. CLIENTS WISH TO RECOUP THESE COSTS WHICH APPEAR TO BE IN EXCESS OF \$5,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 12/15/2006

Complaint Pending? No

Status: Denied

Status Date: 05/21/2007

Settlement Amount:

Individual Contribution Amount:

Reporting Source: Individual

**Employing firm when activities occurred which led to the complaint:**

RAYMOND JAMES FINANCIAL SERVICES, INC

Allegations:

CLIENT (CUSTOMER) AND (CUSTOMER) CLAIM THAT THE FA LIQUIDATED THEIR DIRECT MUTUAL FUNDS ON 04/16/2004 AGAINST THEIR WISHES. DUE TO MR. SIEWERT'S ACTIONS THE CLIENTS CLAIM THEY HAD TO PAY IRS PENALTIES IN ADDITION TO CPA AND ATTORNEY COSTS. CLIENT WISHES TO RECOUP THE COSTS WHICH APPEAR TO BE IN EXCESS OF \$5,000.00

Product Type:

Mutual Fund(s)

Alleged Damages:

\$5,000.00

Customer Complaint Information**Date Complaint Received:**

12/15/2006

Complaint Pending?

No

Status:

Denied

Status Date:

05/21/2007

Settlement Amount:**Individual Contribution Amount:****Broker Statement**

SINCE THE MID 1980'S WHEN I CONSTRUCTED A PROFIT SHARING PLAN THAT NO ONE ELSE COULD SEEM TO FIGURE OUT FOR [CUSTOMER] & HIS STATUTORY EMPLOYEE PARTNERS, I HAVE BEEN PROVIDING SUBSTANTIAL ADDITIONAL SERVICE ABOVE & BEYOND THE NORMAL DUTIES OF A FINANCIAL CONSULTANT AT NO ADDITIONAL FEES CHARGED TO [CUSTOMER]. WHEN IT WAS TIME TO ACCOUNT TO THE IRS FOR THE TRANSITION IN QUESTION, I TOLD HIM I HAD NO IDEA WHAT HIS COST BASIS WAS OF HIS COLUMBIA FUNDS HE HAD SOME TIME AGO PURCHASED HIMSELF. NOW OVER 2 YEARS AFTER HIS CONSENT OF THE SALE OF THE FUNDS HE IS OBVIOUSLY GRASPING AT "STRAWS" BECAUSE OF HIS FAILURE TO KEEP PROPER RECORDS OF THE PURCHASE(S) BY NOW SAY IN RETROSPECT HE DIDN'T WANT TO SELL SAID SHARES---A STATEMENT HE HAS NEVER MADE TO ME TO THIS DAY!

THE ONLY THING THAT I CAN FIGURE OUT AS A COMPLAINT FROM [CUSTOMER] IS THAT HE ERRONEOUSLY CONTENDS THAT HE DID NOT AUTHORIZE ME TO SELL HIS COLUMBIA FUNDS MUTUAL FUNDS. THE ONLY PLAUSIBLE REASON FOR NOT SELLING THESE FUNDS IS THAT HE FAILED TO KEEP ANY KIND OF RECORD ESTABLISHING HIS COST BASIS, SOMETHING I HAD NO WAY OF KNOWING.

TO SAY HE DID NOT AUTHORIZE THE SALE OF HIS COLUMBIA FUNDS IS ABSOLUTELY NOT TRUE! NONE OF THE POSITIONS WERE ON RAYMOND JAMES' HIGHLY RECOMMENDED LIST. I SUGGESTED THE FREEDOM ACCOUNT WHICH ONLY INVESTED IN "HIGHLY RECOMMENDED" FUNDS. IN FACT I SHARED MY FEES WITH RAYMOND JAMES MANAGERS, THUS RECEIVING LESS FEES THAN IF I WERE TO MANAGE THE EXISTING COLUMBIA FUNDS PORTFOLIO MYSELF.

I AM VERY MYSTIFIED AS TO WHAT [CUSTOMER] IS TRYING TO ACCOMPLISH. I DID A FREEDOM PRESENTATION, HAD THEM SIGN THE CONTRACT, AND DISCUSSED THE NEW PORTFOLIO, AT LENGTH, AFTER IT HAD BEEN REINVESTED UNDER THE FREEDOM MANAGEMENT. ONLY THE FIRST MONTH WHEN THE PORTFOLIO WAS DOWN IN PRICE DID THEY EVER EXPRESS ANY CONCERN ABOUT THE NEW PORTFOLIO. JUST WHERE DID THEY THINK THOSE NEW POSITIONS CAME FROM?



End of Report

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