



## IAPD Report

### LEE SCOTT RAWISZER

CRD# 1248193

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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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

### LEE SCOTT RAWISZER (CRD# 1248193)

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 **03/25/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	TRIVIUM POINT ADVISORY, LLC	CRD# 292182	05/16/2018
B	LPL FINANCIAL LLC	CRD# 6413	12/15/2023

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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
B	PURSHE KAPLAN STERLING INVESTMENTS	35747	Westport, CT	05/11/2018 - 12/15/2023
IA	KESTRA ADVISORY SERVICES, LLC	283330	WESTPORT, CT	05/13/2016 - 05/30/2018
B	KESTRA INVESTMENT SERVICES, LLC	42046	WESTPORT, CT	05/02/2003 - 05/30/2018

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	2



## 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 **20** jurisdiction(s) and **1** SRO(s) through his or her employer(s).

#### Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY  
FORT MILL, SC 29715

Firm ID#: 6413

Regulator	Registration	Status	Date
 FINRA	Direct Participation Programs	Approved	12/15/2023
 FINRA	General Securities Representative	Approved	12/15/2023
 FINRA	Invest. Co and Variable Contracts	Approved	12/15/2023
 Alabama	Agent	Approved	02/01/2024
 Arizona	Agent	Approved	02/01/2024
 California	Agent	Approved	01/25/2024
 Colorado	Agent	Approved	02/01/2024
 Connecticut	Agent	Approved	12/15/2023
 Delaware	Agent	Approved	02/01/2024
 Florida	Agent	Approved	02/01/2024
 Georgia	Agent	Approved	02/01/2024
 Hawaii	Agent	Approved	02/01/2024
 Maine	Agent	Approved	02/02/2024



## Qualifications

Regulator	Registration	Status	Date
B Massachusetts	Agent	Approved	02/01/2024
B Michigan	Agent	Approved	02/01/2024
B New Jersey	Agent	Approved	01/26/2024
B New York	Agent	Approved	02/01/2024
B North Carolina	Agent	Approved	02/05/2024
B Pennsylvania	Agent	Approved	02/02/2024
B South Carolina	Agent	Approved	02/01/2024
B Texas	Agent	Approved	02/01/2024
B Virginia	Agent	Approved	02/01/2024
B Washington	Agent	Approved	02/01/2024

## Branch Office Locations

### LPL FINANCIAL LLC

40 DANBURY RD #301  
WILTON, CT 06897

## Employment 2 of 2

Firm Name: **TRIVIUM POINT ADVISORY, LLC**

Main Address: 40 DANBURY ROAD  
SUITE 310  
WILTON, CT 06897

Firm ID#: 292182

Regulator	Registration	Status	Date
IA Connecticut	Investment Adviser Representative	Approved	05/16/2018
IA Texas	Investment Adviser Representative	Restricted Approval	06/05/2018



## Qualifications

### Branch Office Locations

**TRIVIUM POINT ADVISORY, LLC**  
40 DANBURY ROAD  
SUITE 310  
WILTON, CT 06897



## 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 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

#### Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

#### General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	06/30/2010
B Direct Participation Programs Representative Examination (S22)	Series 22	07/13/1984
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/07/1984

#### State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/21/1999
B Uniform Securities Agent State Law Examination (S63)	Series 63	07/13/1984

### 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
	05/11/2018 - 12/15/2023	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Westport, CT
	05/13/2016 - 05/30/2018	KESTRA ADVISORY SERVICES, LLC	CRD# 283330	WESTPORT, CT
	05/02/2003 - 05/30/2018	KESTRA INVESTMENT SERVICES, LLC	CRD# 42046	WESTPORT, CT
	05/02/2003 - 09/22/2016	NFP ADVISOR SERVICES, LLC	CRD# 42046	WESTPORT, CT
	02/03/1993 - 05/12/2003	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	WESTPORT, CT
	08/22/1986 - 05/12/2003	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
	05/10/1984 - 08/18/1986	NEW YORK LIFE SECURITIES CORP.	CRD# 5167	

### 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
12/2023 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	WESTPORT, CT, United States
12/2023 - Present	TRIVIUM POINT ADVISORY LLC	CFO AND MANAGING PRINCIPAL	Y	WESTPORT, CT, United States
05/2018 - 12/2023	Paradigm Financial Partners, LLC	CFO and Managing Principal	Y	Westport, CT, United States
05/2018 - 12/2023	Purshe Kaplan Sterling Investments, Inc	Registered Representative	Y	Albany, NY, United States
04/2016 - 05/2018	KESTRA FINANCIAL SERVICES, INC.	REGISTERED REP	Y	AUSTIN, TX, United States
05/2003 - 04/2016	NFP SECURITIES, INC.	INVESTMENT ADVISOR / REGISTERED REPRESENTATIVE	Y	AUSTIN, TX, United States



## Registration & Employment History

### 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- 12/2023 / Trivium Point Advisory / DBA for LPL Business (entity for LPL business) / Investment Related
- 2- 12/2023 / PFP Insurance Group / Non-Variable Insurance / Investment Related / start date 05/11/2018
- 3- 12/2023 / Trivium Point Accounting / Tax Prep/Accounting/CPA / Investment Related
- 4- 12/2023 / PFP Holdings LLC / Business Entity For Tax/Investment Purposes Only / Non Investment Related / start date 05/11/2023
- 5- 12/15/2023 - PFP Management LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - At Reported Business Location(s) - Start Date 5/11/2023 - 0 Hours Per Month/ During Trading
- 6- 12/19/2023 - Trivium Point Advisory, LLC - Registered Investment Advisor Hybrid - IAR - Investment Related - At Reported Business Location(s) - Start Date 12/15/2023 - 140 Hours Per Month/ 35 Hours During Trading - I provide investment advisory services through Trivium Point Advisory, LLC, an independent investment advisor firm. I started this business activity in 12/2023. I expect to spend approximately 140 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.
- 7- 02/26/2024 - Trivium Point Holdings, LLC - Business Entity For Tax/Investment Purposes Only - Not Investment Related - At Reported Business Location(s) - Start Date 01/01/2024 - 5 Hours Per Month/ 173 Hours During Trading



## 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	2

### 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 2

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	KESTRA INVESTMENT SERVICES, LLC
<b>Allegations:</b>	Claimants allege an unsuitable recommendation for the purchase of a security.
<b>Product Type:</b>	Oil & Gas Real Estate Security
<b>Alleged Damages:</b>	\$0.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that the damages would be greater than \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	25-000-60
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	01/10/2025

### Customer Complaint Information



**Date Complaint Received:** 01/10/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**  
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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** KESTRA INVESTMENT SERVICES, LLC

**Allegations:** Claimants allege an unsuitable recommendation for the purchase of a security.

**Product Type:** Oil & Gas  
Real Estate Security

**Alleged Damages:** \$0.00

**Alleged Damages Amount Explanation (if amount not exact):** The firm has made a good faith determination that the damages would 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?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 25-000-60

**Filing date of arbitration/CFTC reparation or civil litigation:** 01/10/2025

## Customer Complaint Information

**Date Complaint Received:** 01/10/2025

**Complaint Pending?** Yes

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement** I never met/spoke with this client, nor am I named in the complaint. I only received compensation through a joint split code with another advisor who handled the client. One of Kestra's advisors handled the client and sold the product.

## Disclosure 2 of 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** KESTRA INVESTMENT SERVICES, LLC

**Allegations:** Claimants allege Mr. Rawiszer recommended the sale of unsuitable investments.



<b>Product Type:</b>	Direct Investment-DPP & LP Interests
<b>Alleged Damages:</b>	\$5,000.00
<b>Alleged Damages Amount Explanation (if amount not exact):</b>	The firm has made a good faith determination that damages would exceed \$5,000.
<b>Is this an oral complaint?</b>	No
<b>Is this a written complaint?</b>	Yes
<b>Is this an arbitration/CFTC reparation or civil litigation?</b>	Yes
<b>Arbitration/Reparation forum or court name and location:</b>	FINRA
<b>Docket/Case #:</b>	24-00388
<b>Filing date of arbitration/CFTC reparation or civil litigation:</b>	02/20/2024

## Customer Complaint Information

**Date Complaint Received:** 02/20/2024

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/14/2025

**Settlement Amount:** \$290,000.00

**Individual Contribution Amount:** \$0.00

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** KESTRA INVESTMENT SERVICES, LLC

**Allegations:** Claimants allege Mr. Rawiszer recommended the sale of unsuitable investments.

**Product Type:** Direct Investment-DPP & LP Interests

**Alleged Damages:** \$5,000.00

**Alleged Damages Amount Explanation (if amount not exact):** The firm has made a good faith determination that damages would exceed \$5,000.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** Yes

**Arbitration/Reparation forum or court name and location:** FINRA

**Docket/Case #:** 24-00388



**Filing date of arbitration/CFTC reparation or civil litigation:** 02/20/2024

### Customer Complaint Information

**Date Complaint Received:** 02/20/2024

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/14/2025

**Settlement Amount:** \$290,000.00

**Individual Contribution Amount:** \$0.00

**Broker Statement** I never met/spoke with this client, nor am I named in the complaint. I only received compensation through a joint split code with another advisor who handled the client. One of Kestra's advisors handled the client and sold the product. I did not contribute to the settlement amount paid by Kestra as I was not named in the complaint



## End of Report

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