



IAPD Report

FATE KELLUM SPURLOCK

CRD# 1261522

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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

FATE KELLUM SPURLOCK (CRD# 1261522)

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 **06/18/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL ENTERPRISE, LLC	CRD# 8733	06/16/2026
IA	LPL ENTERPRISE, LLC	CRD# 8733	06/16/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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
IA	AMERITAS ADVISORY SERVICES, LLC	317245	Topeka, KS	11/01/2021 - 06/18/2026
B	AMERITAS INVESTMENT COMPANY, LLC	14869	Topeka, KS	07/20/2016 - 06/18/2026
IA	AMERITAS ADVISORY SERVICES	14869	Topeka, KS	07/21/2016 - 11/01/2021

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
Regulatory Event	1
Criminal	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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL ENTERPRISE, LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 8733

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	06/16/2026
B	California	Agent	Approved	06/16/2026
B	Colorado	Agent	Approved	06/16/2026
B	Florida	Agent	Approved	06/16/2026
B	Kansas	Agent	Approved	06/16/2026
IA	Kansas	Investment Adviser Representative	Approved	06/16/2026
B	Maryland	Agent	Approved	06/16/2026
B	Missouri	Agent	Approved	06/16/2026
B	Nebraska	Agent	Approved	06/16/2026

Branch Office Locations

LPL ENTERPRISE, LLC
5883 SOUTHWEST 29TH STREET
TOPEKA, KS 66614



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, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/03/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	05/10/2010
B Uniform Securities Agent State Law Examination (S63)	Series 63	05/04/1984



PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	11/01/2021 - 06/18/2026	AMERITAS ADVISORY SERVICES, LLC	CRD# 317245	Topeka, KS
B	07/20/2016 - 06/18/2026	AMERITAS INVESTMENT COMPANY, LLC	CRD# 14869	Topeka, KS
IA	07/21/2016 - 11/01/2021	AMERITAS ADVISORY SERVICES	CRD# 14869	Topeka, KS
IA	06/09/2014 - 07/12/2016	MML INVESTORS SERVICES, LLC	CRD# 10409	Topeka, KS
B	05/15/2014 - 07/12/2016	MML INVESTORS SERVICES, LLC	CRD# 10409	Topeka, KS
IA	05/20/2010 - 04/14/2014	EAGLE STRATEGIES LLC	CRD# 110826	TOPEKA, KS
B	10/04/2006 - 04/14/2014	NYLIFE SECURITIES LLC	CRD# 5167	TOPEKA, KS
B	04/24/2002 - 09/26/2006	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	TOPEKA, KS
B	03/27/1997 - 04/30/2002	CORNERSTONE INVESTMENTS, L.L.C.	CRD# 38042	TOPEKA, KS
B	11/22/1988 - 03/28/1997	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	05/21/1984 - 02/04/1989	AMEV INVESTORS, INC.	CRD# 421	

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
06/2026 - Present	LPL Enterprise LLC	Registered Representative	Y	Topeka, KS, United States
10/1980 - Present	SPURLOCK FINANCIAL SERVICES, INC.	PRESIDENT	Y	TOPEKA, KS, United States
03/2024 - 06/2026	Envision Wealth Network	Agent	Y	Topeka, KS, United States



Registration & Employment History



EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2021 - 06/2026	AMERITAS ADVISORY SERVICES, LLC	Mass Transfer	Y	LINCOLN, NE, United States
07/2016 - 06/2026	Ameritas Investment Corp	Registered Representative/IAR	Y	Lincoln, NE, United States
05/2016 - 06/2026	Ameritas Life Insurance Corp	Agent	Y	Lincoln, NE, 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. 6/11/2026 - FATE SPURLOCK N/A Non-Variable Insurance - Non-Variable Insurance/Insurance Agency - INV REL - Topeka KS - OBA Start date: 06/08/2026 - 160 Hour(s)/Month – 160 Hour(s) During Trading
2. 6/11/2026 - Prudential Advisors - DBA for LPL Business (entity for LPL business) - INV REL - Topeka KS - OBA Start date : 06/08/2026 - 160 Hour(s)/Month – 160 Hour(s) During Trading
3. 6/11/2026 - Spurlock Financial Services, Inc - Non-Variable Insurance - INV REL - Topeka KS - OBA Start date: 10/01/1980 - 50 Hour(s)/Month – 50 Hour(s) During Trading
4. 6/11/2026 - Spurlock Financial Services - DBA for LPL Business (entity for LPL business) - INV REL - Topeka KS - OBA Start date: 01/02/1980 - 0 Hour(s)/Month – 0 Hour(s) 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
Regulatory Event	1
Criminal	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Individual
Regulatory Action Initiated By:	KANSAS INSURANCE DEPARTMENT
Sanction(s) Sought:	Other: DENIED PRIVILEGE TO SIT FOR INSURANCE EXAM
Date Initiated:	08/09/1979
Docket/Case Number:	1009-L
Employing firm when activity occurred which led to the regulatory action:	NO FIRM; I WAS NOT REGISTERED AT THE TIME
Product Type:	No Product
Allegations:	ON MY KANSAS AGENT'S APPLICATION I ANSWERED A QUESTION, HOW AT THE TIME, I THOUGHT WAS RIGHT, BUT FOUND TO BE WRONG SO I WAS INITIALLY DENIED TO SIT FOR INSURANCE EXAM. AFTER A HEARING WAS ALLOWED TO SIT FOR THE EXAM. THE QUESTION HAD TO DO WITH THE MISDEMEANOR/FELONY QUESTION AND WHETHER I WAS CHARGED OR CONVICTED. AS DISCLOSED ON 23A1B. THIS WAS 23 YEARS AGO AT AGE 23.
Current Status:	Final
Resolution:	Order



Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?

Yes

Resolution Date:

08/09/1979

Sanctions Ordered:

Denial

Expulsion

Revocation

Other: AFTER A HEARING, I WAS ALLOWED TO SIT FOR THE EXAM

Broker Statement

ABOUT 35 YEARS AGO (6/20/79) I APPLIED FOR KS INS. AGENT LICENSE. I ANSWERED A QUESTION WRONG. AT THIS TIME I DO NOT REMEMBER WHAT THE QUESTION WAS, BUT IT PERTAINED TO MY MISDEMEANOR - CRIMINAL DESTRUCTION OF PROPERTY. I WAS DENIED TO SIT FOR INSURANCE AGENT EXAM. HAD A HEARING ON 8/10/1979 TO CLEAR MY BUSINESS REPUTATION. IT WAS DEEMED THAT I WAS OF GOOD BUSINESS REPUTATION AND ALLOWED TO SIT FOR EXAM ORDER ISSUED 11/09/79 OVER 30 YEARS IN THE BUSINESS WITH A GREAT REPUTATION AND NO BLEMISHES.



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CITY OF TOPEKA 36313-79 (CITY) DA`S OFFICE 79-CR179
Charge Date:	02/03/1979
Charge Details:	I WAS ARRESTED AFTER BREAKING A GLASS DOOR NEXT TO A BAR I WAS DRINKING AT. I WAS VERY INTOXICATED AND DO NOT REMEMBER MUCH. I WAS CHARGED WITH BURGLARY. I DO KNOW I NEVER INTENDED TO STEAL ANYTHING AND DUE TO THE SITUATION THAT WAS VERY EVIDENT. THE PLACE WAS WELL LIT WITH MANY PEOPLE AROUND AND THE POLICE MAY HAVE BEEN ACROSS THE STREET WHEN IT HAPPENED.
Felony?	Yes
Current Status:	Final
Status Date:	06/13/1979
Disposition Details:	PLED GUILTY TO CRIMINAL DAMAGE UNDER \$100 -- MISDEMEANOR. SENTENCED TO 60 DAYS AND COSTS -- SENTENCE WAS SUSPENDED -- PAID \$50 FINE AND 1 YR PROBATION.
Broker Statement	02/03/1979 DRANK TOO MUCH AT A BAR AND WAS ENCOURAGED BY SO CALLED FRIENDS TO BREAK GLASS DOOR TO A FURNITURE NEXT DOOR TO THE BAR. I WAS SAID TO HAVE BEEN FROUND INSIDE. FINED STORE \$50 - 1 YR. PROBATION.



End of Report

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