



IAPD Report

ANNMARIE ROSE MIKOLAJCZAK

CRD# 1266645

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 7
Registration and Employment History	8 - 9
Disclosure Information	10



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

ANNMARIE ROSE MIKOLAJCZAK (CRD# 1266645)

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 **08/27/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LPL FINANCIAL LLC	CRD# 6413	03/20/2007
B	LPL FINANCIAL LLC	CRD# 6413	03/22/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **52** 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	IFMG SECURITIES, INC.	14416	FENTON, MI	10/12/2004 - 03/13/2007
B	FINANCIAL NETWORK INVESTMENT CORPORATION	13572	EL SEGUNDO, CA	04/04/2002 - 10/19/2004
B	PRIMEVEST FINANCIAL SERVICES, INC.	15340	ST. CLOUD, MN	05/10/2000 - 03/19/2002

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
Termination	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 **52** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	03/22/2007
	FINRA	General Securities Representative	Approved	03/22/2007
	FINRA	Municipal Fund	Approved	03/22/2007
	FINRA	Investment Banking Representative	Approved	04/29/2010
	FINRA	Operations Professional	Approved	12/19/2012
	FINRA	Investment Banking Principal	Approved	10/01/2018
	FINRA	Municipal Securities Representative	Approved	07/15/2026
	Alabama	Agent	Approved	01/11/2023
	Alaska	Agent	Approved	01/12/2023
	Arizona	Agent	Approved	01/25/2023
	Arkansas	Agent	Approved	02/02/2023
	California	Agent	Approved	01/12/2023
	Colorado	Agent	Approved	01/12/2023



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	01/11/2023
B	Delaware	Agent	Approved	01/30/2023
B	District of Columbia	Agent	Approved	01/18/2023
B	Florida	Agent	Approved	01/03/2020
B	Georgia	Agent	Approved	01/17/2023
B	Hawaii	Agent	Approved	03/30/2023
B	Idaho	Agent	Approved	01/12/2023
B	Illinois	Agent	Approved	01/23/2020
B	Indiana	Agent	Approved	01/02/2020
B	Iowa	Agent	Approved	01/12/2023
B	Kansas	Agent	Approved	01/11/2023
B	Kentucky	Agent	Approved	01/12/2023
B	Louisiana	Agent	Approved	01/13/2023
B	Maine	Agent	Approved	01/13/2023
B	Maryland	Agent	Approved	01/12/2023
B	Massachusetts	Agent	Approved	01/11/2023
B	Michigan	Agent	Approved	04/26/2007
IA	Michigan	Investment Adviser Representative	Approved	05/18/2010
B	Minnesota	Agent	Approved	01/12/2023



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	01/17/2023
B	Missouri	Agent	Approved	01/12/2023
B	Montana	Agent	Approved	01/11/2023
B	Nebraska	Agent	Approved	01/24/2023
B	Nevada	Agent	Approved	01/23/2023
B	New Hampshire	Agent	Approved	01/13/2023
B	New Jersey	Agent	Approved	01/12/2023
B	New Mexico	Agent	Approved	01/12/2023
B	New York	Agent	Approved	01/12/2023
B	North Carolina	Agent	Approved	01/12/2023
B	North Dakota	Agent	Approved	01/17/2023
B	Ohio	Agent	Approved	01/02/2020
B	Oklahoma	Agent	Approved	01/18/2023
B	Oregon	Agent	Approved	01/13/2023
B	Pennsylvania	Agent	Approved	01/12/2023
B	Puerto Rico	Agent	Approved	12/18/2023
B	Rhode Island	Agent	Approved	01/19/2023
B	South Carolina	Agent	Approved	01/19/2023
B	South Dakota	Agent	Approved	01/12/2023



Qualifications

Regulator	Registration	Status	Date
B Tennessee	Agent	Approved	01/11/2023
B Texas	Agent	Approved	01/12/2023
B Utah	Agent	Approved	01/12/2023
B Vermont	Agent	Approved	01/11/2023
B Virginia	Agent	Approved	01/12/2023
B Washington	Agent	Approved	01/11/2023
B West Virginia	Agent	Approved	01/23/2023
B Wisconsin	Agent	Approved	01/11/2023
B Wyoming	Agent	Approved	09/26/2025

Branch Office Locations

LPL FINANCIAL LLC
2050 LIVERNOIS RD STE B
TROY, MI 48063-1757

LPL FINANCIAL LLC
1055 LPL WAY
FORT MILL, SC 29715



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 5 principal/supervisory exams, 5 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Fund Securities Principal Examination (S51)	Series 51	02/15/2003
	General Securities Principal Examination (S24)	Series 24	10/29/1997
	Financial and Operations Principal Examination (S27)	Series 27	04/21/1988
	Municipal Securities Principal Examination (S53)	Series 53	08/11/1987
	Registered Options Principal Examination (S4)	Series 4	09/24/1986

General Industry/Product Exams

	Exam	Category	Date
	Municipal Securities Representative Examination (S52TO)	Series 52TO	07/15/2026
	Investment Banking Registered Representative Examination (S79TO)	Series 79TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/21/1984

State Securities Law Exams

	Exam	Category	Date
 	Uniform Combined State Law Examination (S66)	Series 66	07/10/2006



Qualifications

PASSED INDUSTRY EXAMS

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/27/1984

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
B	10/12/2004 - 03/13/2007	IFMG SECURITIES, INC.	CRD# 14416	FENTON, MI
B	04/04/2002 - 10/19/2004	FINANCIAL NETWORK INVESTMENT CORPORATION	CRD# 13572	EL SEGUNDO, CA
B	05/10/2000 - 03/19/2002	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	ST. CLOUD, MN
B	03/09/1999 - 05/10/2000	BISYS BROKERAGE SERVICES, INC.	CRD# 23302	ST. CLOUD, MN
B	07/27/1998 - 02/16/1999	ABN AMRO INVESTMENT SERVICES, INC.	CRD# 20373	CHICAGO, IL
B	11/19/1996 - 07/27/1998	STANDARD BROKERAGE SERVICES, INC.	CRD# 14387	
B	10/21/1994 - 11/05/1996	FISCL SECURITIES, INC.	CRD# 22867	WEST BLOOMFIELD, MI
B	06/15/1992 - 09/21/1994	ESSEX NATIONAL SECURITIES, INC.	CRD# 25454	NAPA, CA
B	11/24/1989 - 05/06/1992	USLIFE EQUITY SALES CORP.	CRD# 7962	NEW YORK, NY
B	03/22/1989 - 11/01/1989	FISCL SECURITIES, INC.	CRD# 22867	WEST BLOOMFIELD, MI
B	08/03/1984 - 07/25/1989	FIRST HERITAGE CORPORATION	CRD# 330	

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
01/2019 - Present	LPL Financial LLC	Registered Representative	Y	TROY, MI, United States
03/2007 - 01/2019	LPL Financial, LLC (Formerly: LINSICO/PRIVATE LEDGER CORP.)	Sr Examiner, Branch Examinations	Y	BOSTON, MA, 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) 1/18/2019 - DBA for LPL Business (entity for LPL business) - Center for Wealth Planning. Inc - Troy, MI
2. 08/08/2019 - America Group Retirement Strategy Centers - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date: 08/05/2019 - 80 Hours Per Month/3 Hours During Securities Trading.
3. 12/28/2023 - Boardwalk Financial Group, LLC - Inv Related - At Reported Business location(s) - DBA for LPL Business (entity for LPL business) - Started: 12/28/2023 - 1 Hr/Mo 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
Termination	1

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: IFMG SECURITIES, INC
Termination Type: Voluntary Resignation
Termination Date: 03/02/2007
Allegations: FAILURE TO FOLLOW FIRMS ACCOUNT OPENING PROCEDURES. UNDER INVESTIGATION.
Product Type: Other
Other Product Types: VARIABLE ANNUITY/MUTUAL FUND

.....

Reporting Source: Individual
Firm Name: IFMG SECURITIES, INC.
Termination Type: Voluntary Resignation
Termination Date: 03/02/2007
Allegations: FAILURE TO FOLLOW FIRMS ACCOUNT OPENING PROCEDURES. UNDER INVESTIGATION.
Product Type: Other
Other Product Types: VARIABLE ANNUITY/MUTUAL FUND



End of Report

This page is intentionally left blank.