IAPD Report

DONALD FRUEHAUF CHAMBERLIN JR

CRD# 1357783

Section Title | **Page(s)**

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

DONALD FRUEHAUF CHAMBERLIN JR (CRD# 1357783)

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 **10/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	FOUNDATIONS INVESTMENT ADVISORS LLC	CRD# 175083	09/22/2025

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **4** 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	PROSPERITY CAPITAL ADVISORS	156480	St. Louis, MO	02/16/2018 - 10/01/2025
B	SYNERGY INVESTMENT GROUP, LLC	46035	ST. LOUIS, MO	07/10/2008 - 06/18/2009
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	13609	ST. LOUIS, MO	01/31/2006 - 08/18/2006

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
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 **4** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **FOUNDATIONS INVESTMENT ADVISORS LLC**

Main Address: 4050 E. COTTON CENTER BLVD.
SUITE 40
PHOENIX, AZ 85040

Firm ID#: 175083

	Regulator	Registration	Status	Date
IA	Florida	Investment Adviser Representative	Approved	01/20/2026
IA	Illinois	Investment Adviser Representative	Approved	09/26/2025
IA	Missouri	Investment Adviser Representative	Approved	09/23/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/22/2025

Branch Office Locations

FOUNDATIONS INVESTMENT ADVISORS LLC
12444 POWERSCOURT DR
#100
ST.LOUIS, MO 63131

FOUNDATIONS INVESTMENT ADVISORS LLC
6905 NORTH WICKHAM RD.
#400
MELBOURNE, FL 32940

FOUNDATIONS INVESTMENT ADVISORS LLC
231 NORTH MAIN ST
EDWARDSVILLE, IL 62025

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
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	12/06/1994

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	01/18/1986
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/26/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	07/19/2017
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/08/1985

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	02/16/2018 - 10/01/2025	PROSPERITY CAPITAL ADVISORS	CRD# 156480	St. Louis, MO
B	07/10/2008 - 06/18/2009	SYNERGY INVESTMENT GROUP, LLC	CRD# 46035	ST. LOUIS, MO
B	01/31/2006 - 08/18/2006	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	ST. LOUIS, MO
B	04/16/2003 - 01/30/2006	LEGACY FINANCIAL SERVICES, INC.	CRD# 38697	PETALUMA, CA
B	04/12/2002 - 04/22/2003	WORLD GROUP SECURITIES, INC.	CRD# 114473	DULUTH, GA
B	08/17/1994 - 04/12/2002	WMA SECURITIES, INC.	CRD# 32625	DULUTH, GA
B	11/17/1993 - 09/15/1994	WALNUT STREET SECURITIES, INC.	CRD# 15840	EL SEGUNDO, CA
B	12/06/1991 - 08/10/1993	NORTH AMERICAN FINANCIAL GROUP, INC.	CRD# 22273	WARREN, MI
B	12/17/1990 - 11/08/1991	VESTAX SECURITIES CORPORATION	CRD# 10332	HUDSON, OH
B	08/01/1989 - 12/20/1990	USA FINANCIAL GROUP, INC.	CRD# 17819	
B	02/03/1989 - 08/02/1989	QUESTOR FINANCIAL SERVICES	CRD# 17934	
B	07/29/1985 - 01/26/1989	BNL SECURITIES INC.	CRD# 10641	

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	Foundations Investment Advisors, LLC	Investment Adviser Representative	Y	St.Louis, MO, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
02/2018 - Present	C2P Capital Advisory Group, LLC dba Prosperity Capital Advisors	Investment Adviser Representative	Y	Westlake, OH, United States
11/2002 - Present	The Chamberlin Group (d.b.a. for advisory business)	PRESIDENT, Investment Adviser Representative	Y	ST. LOUIS, MO, United States
01/2011 - 01/2024	C2P Enterprises LLC	Partner	Y	Westlake, OH, United States
01/2022 - 06/2023	American Retirement Academy (d.b.a.)	Investment Advisor Representative	Y	St. Louis, MO, 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) Donald Chamberlin, Jr. is a licensed insurance agent conducting business from his registered location. In this capacity, he may offer fixed insurance products including but not to limited life insurance, annuities, disability insurance, long term care insurance and Medicare supplements and receives normal and customary commissions as a result of any sales. In addition, he may receive other compensation such as fixed life trails. Mr. Chamberlin, Jr. spends approx. 10 hrs/week during trading hours on this activity.
2) Donald Chamberlin, Jr. is the Owner of The Chamberlin Group a Missouri corporation unaffiliated with Prosperity Capital Advisors. Mr. Chamberlin, Jr. provides income tax planning, tax strategies, business consulting and other professional services. This is also the operating entity for his advisory, tax and insurance businesses. Mr. Chamberlin, Jr. spends approximately forty hours per week during trading hours on this activity.
3) Donald Chamberlin, Jr. serves as the St. Louis, MO Chapter President and instructor for American Financial Education Alliance (AFEA) a non-profit providing educational seminars to help eliminate financial illiteracy. No product sales or company names are discussed at these seminars. Mr. Chamberlin spends approx 10 hours/month during non-trading hours on this activity and receives no compensation.
4) Donald Chamberlin Jr. is a Committee/Board Member of the National Memorial for Military Ascent. Mr. Chamberlin Jr. will work with the committee to consulting on the formation of the 501 (c)3 business and future operations of the business. Mr. Chamberlin Jr. will spend approximately four hour per month on this activity during non-trading hours. This is not an investment related activity.
5) Donald Chamberlin Jr. is a mentor for C2P Enterprises. In this role Don mentors other advisors on their advisory business and best practices for running an advisory office. Don spends approximately 2-3 hours per month during trading hours on this activity and is compensated on a per call basis.
6) Donald Chamberlin, Jr. provides tax preparation services through The Chamberlin Group. Mr. Chamberlin spends approximately twenty hours per month on this activity during trading hours. This is not an investment related activity.

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
Termination	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:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	02/11/2008
Docket/Case Number:	2008012114301
Employing firm when activity occurred which led to the regulatory action:	LEGACY FINANCIAL SERVICES, INC. AND CHAMBERLIN TAX ADVISORY GROUP, INC.
Product Type:	Annuity-Variable
Allegations:	ART. V, SECTION 1 OF THE FINRA BY-LAWS AND NASD RULE 2110: RESPONDENT DONALD CHAMBERLIN, JR. NEGLIGENTLY ALLOWED HIS FATHER AND BROTHER, WHO WERE BOTH BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER, OR INVESTMENT ADVISER PURSUANT TO A SETTLEMENT WITH THE SECURITIES AND EXCHANGE COMMISSION, TO ENGAGE IN SECURITIES RELATED ACTIVITY WITH HIS CUSTOMERS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	02/11/2008
Sanctions Ordered:	Censure Civil and Administrative Penalty(ies)/Fine(s) Other: UNDERTAKING
Regulator Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, CHAMBERLIN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE WAS CENSURED AND FINED $10,000. IN THE EVENT THAT CHAMBERLIN BECOMES ASSOCIATED WITH A FINRA MEMBER FIRM, AT ANYTIME IN THE FUTURE, HE MUST, WITHIN 30 DAYS OF SUCH ASSOCIATION, ADVISE THE COMPLIANCE OFFICER OF ANY SUCH FIRM OF THE SECURITIES INDUSTRY BARS IMPOSED ON HIS FATHER AND BROTHER. FINE PAID 03/06/2008.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	02/11/2008
Docket/Case Number:	2008012114301
Employing firm when activity occurred which led to the regulatory action:	LEGACY FINANCIAL SERVICES, INC. AND CHAMBERLIN TAX ADVISORY GROUP, INC.
Product Type:	Annuity(ies) - Variable
Other Product Type(s):	
Allegations:	ART. V, SECTION 1 OF THE FINRA BY-LAWS AND NASD RULE 2110: RESPONDENT DONALD CHAMBERLIN, JR. NEGLIGENTLY ALLOWED HIS FATHER AND BROTHER, WHO WERE BOTH BARRED FROM ASSOCIATION WITH ANY BROKER, DEALER, OR INVESTMENT ADVISER PURSUANT TO A SETTLEMENT WITH THE SECURITIES AND EXCHANGE COMMISSION, TO ENGAGE IN SECURITIES RELATED ACTIVITY WITH HIS CUSTOMERS.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	02/11/2008
Sanctions Ordered:	Censure Monetary/Fine $10,000.00
Other Sanctions Ordered:	UNDERTAKING
Sanction Details:	WITHOUT ADMITTING OR DENYING THE FINDINGS, CHAMBERLIN CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE WAS CENSURED AND FINED $10,000. IN THE EVENT THAT CHAMBERLIN BECOMES ASSOCIATED WITH A FINRA MEMBER FIRM, AT ANYTIME IN THE FUTURE, HE MUST, WITHIN 30 DAYS OF SUCH ASSOCIATION, ADVISE THE COMPLIANCE OFFICER OF ANY SUCH FIRM OF THE SECURITIES INDUSTRY BARS IMPOSED ON HIS FATHER AND BROTHER.

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:	Individual
Firm Name:	WORLD GROUP SECURITIES (WGS)
Termination Type:	Voluntary Resignation
Termination Date:	04/21/2003
Allegations:	NON-APPROVED OUTSIDE BUSINESS ACTIVITY
Product Type:	Other
Other Product Types:	NON-SECURITIES RELATED.
Broker Statement	REQUEST FOR APPROVAL WAS GIVEN TO WORLD GROUP SECURITIES 6 WEEK BEFORE BUSINESS WAS TO BEGIN. I WAS TOLD I WOULD BE APPROVED & THAT THE BROKER DEALER APPROVES OF THESE ACTIVITIES. MY OSJ DID NOT SIGN OFF & RATHER THAN TALKING WITH ME, SUSPENDED ME.

End of Report

This page is intentionally left blank.