IAPD Report

ROBERT THOMAS CASTELLANI SR

CRD# 1388845

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

ROBERT THOMAS CASTELLANI SR (CRD# 1388845)

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 **04/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LINCOLN INVESTMENT	CRD# 519	12/04/2017
IA	LINCOLN INVESTMENT	CRD# 519	12/04/2017
IA	CAPITAL ANALYSTS	CRD# 162200	12/04/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** 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	PRINCIPAL SECURITIES, INC.	1137	PHOENIX, AZ	10/29/2002 - 12/14/2017
IA	PRINCIPAL SECURITIES, INC.	1137	PHOENIX, AZ	10/25/2002 - 12/14/2017
IA	1717 CAPITAL MANAGEMENT COMPANY	4082	KING OF PRUSSIA, PA	09/26/2001 - 10/28/2002

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
Customer Dispute	2
Termination	1

Report Summary

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

Employment 1 of 2

Firm Name: **LINCOLN INVESTMENT**

Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232

Firm ID#: 519

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	12/04/2017
B	FINRA	General Securities Representative	Approved	12/04/2017
B	FINRA	Municipal Fund	Approved	12/04/2017
B	Arizona	Agent	Approved	12/04/2017
B	California	Agent	Approved	01/03/2024
B	Delaware	Agent	Approved	05/13/2025
B	Florida	Agent	Approved	01/04/2024
B	Maryland	Agent	Approved	05/16/2025
B	Michigan	Agent	Approved	10/01/2020
B	Nevada	Agent	Approved	01/02/2025
B	New Jersey	Agent	Approved	12/04/2017
IA	New Jersey	Investment Adviser Representative	Approved	08/12/2022
B	North Carolina	Agent	Approved	02/10/2025

Qualifications

	Regulator	Registration	Status	Date
B	Pennsylvania	Agent	Approved	12/04/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	12/04/2017
B	South Carolina	Agent	Approved	07/07/2024
B	Virginia	Agent	Approved	12/04/2017
B	Washington	Agent	Approved	12/04/2017

Branch Office Locations

LINCOLN INVESTMENT
5 Walnut Grove Drive
SUITE 240
Horsham, PA 19044

LINCOLN INVESTMENT
Phoenix, AZ

LINCOLN INVESTMENT
Wildwood Crest, NJ

Employment 2 of 2

Firm Name: **CAPITAL ANALYSTS**

Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232

Firm ID#: 162200

	Regulator	Registration	Status	Date
IA	Arizona	Investment Adviser Representative	Approved	12/04/2017
IA	Pennsylvania	Investment Adviser Representative	Approved	12/04/2017

Branch Office Locations

CAPITAL ANALYSTS
5 Walnut Grove Drive
SUITE 240
Horsham, PA 19044

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Fund Securities Principal Examination (S51)	Series 51	09/27/2006
B	General Securities Principal Examination (S24)	Series 24	03/22/2006

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	02/28/2001

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/08/2001
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/22/1986

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
B	10/29/2002 - 12/14/2017	PRINCIPAL SECURITIES, INC.	CRD# 1137	PHOENIX, AZ
IA	10/25/2002 - 12/14/2017	PRINCIPAL SECURITIES, INC.	CRD# 1137	PHOENIX, AZ
IA	09/26/2001 - 10/28/2002	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	KING OF PRUSSIA, PA
B	03/01/2001 - 10/28/2002	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	06/24/1998 - 08/11/1998	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	06/24/1998 - 08/11/1998	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	09/30/1996 - 02/03/1998	1717 CAPITAL MANAGEMENT COMPANY	CRD# 4082	NEWARK, DE
B	10/20/1993 - 11/04/1996	JOHN HANCOCK DISTRIBUTORS, INC.	CRD# 468	BOSTON, MA
B	10/20/1993 - 11/04/1996	JOHN HANCOCK MUTUAL LIFE INSURANCE COMPANY	CRD# 5181	BOSTON, MA
B	02/16/1990 - 10/13/1993	CARILLON INVESTMENTS, INC.	CRD# 14646	CINCINNATI, OH
B	10/24/1986 - 02/21/1990	EQUITY SERVICES, INC.	CRD# 265	MONTPELIER, VT
B	04/25/1986 - 10/28/1986	INTEGRATED RESOURCES EQUITY CORPORATION	CRD# 6403	
B	11/20/1985 - 05/01/1986	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	CRD# 5774	

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
12/2017 - Present	Capital Analysts, LLC	IAR	Y	Jenkintown, PA, United States
12/2017 - Present	Lincoln Investment Planning, LLC	Registered Representative/IAR	Y	Jenkintown, PA, United States
01/2021 - 09/2023	Lincoln Investment Planning, LLC	Regional Manager	Y	Jenkintown, PA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
12/2017 - 12/2020	Lincoln Investment	Branch Manager	Y	Jenkintown, PA, United States
05/2016 - 12/2017	CASTELLANI WEALTH MANAGEMENT LLC	Financial Representative	Y	Phoenix, AZ, United States
05/2015 - 12/2017	PRINCIPAL LIFE INSURANCE COMPANY	AGENT	Y	PHOENIX, AZ, United States
10/2002 - 12/2017	PRINCOR FINANCIAL SERVICES CORPORATION	REG REP	Y	MARLTON, NJ, 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.

CRUMP / LLOYDS OF LONDON - HANLEIGH INSURANCE
POSITION: Broker appointment through Crump. NATURE: Specialty High Limit Disability INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 1 START DATE: 08/15/2023
ADDRESS: 2 Waterside Crossing, Suite 403, Windsor CT 06095, United States
DESCRIPTION: Broker appointment - selling specialty High Limit disability and Buy-Out coverage for business owners.

THE CASTELLANI GROUP, LLC
POSITION: Sole owner / Managing Member NATURE: Financial Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 160 SECURITIES TRADING HOURS: 160 START DATE: 04/01/2025
ADDRESS: 154 W Morning Glory Rd, Wildwood Crest NJ 08260, United States
DESCRIPTION: The Castellani Group, LLC is a DBA for Lincoln business.

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
Termination	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 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CARILLON INVESTMENTS / UNION CENTRAL LIFE
Allegations:	CLIENT PURCHASED 2 LIMITED PARTNERSHIPS AND HIGH YEILD BOND FUNDS. PRINCIPAL DEPLEATED AND LOST SOME OF THE INITIAL INVESTMENT.
Product Type:	Other
Other Product Type(s):	KRUPP EQUITY PARTNERS : SOUTHMARK L.P. : KEMPER HIGH YIELD BOND FUND.
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	04/01/1991
Complaint Pending?	No
Status:	Settled
Status Date:	04/01/1991
Settlement Amount:	$125,000.00
Individual Contribution Amount:	$2,500.00
Broker Statement	CLIENT HAD PURCHASED KRUPP LIMITED PARTNERSHIP, SOUTHMARK EQUITY PARTNERS AND KEMPER HIGH YIELD BOND FUND. DUE TO POOR

PERFORMANCE BY GENERAL PARTNERS, SOUTHMARK LOST MONEY AND STOPPED PAYING INCOME. KRUPP L.P. LOST SOME PRINCIPAL, BUT WAS REPURCHASED BY KRUPP FROM THE CLIENT FOR .90 ON THE DOLLAR. THE HIGH YEILD BOND CONTINUED TO PAY INCOME ALTHOUGH THE PRINCIPAL FLUCUATED.

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	
Allegations:	CLAIM FOR $400,000. PLAINTIFF IS A LONGTIME CUSTOMER WHO ALLEGES I ERRNEOUSLY SOLD HER AND HER LATE-HUSBAND A "SECOND-TO-DIE" UNIVERSAL LIFE POLICY WHEREBY PROCEEDS WOULD NOT BE PAID UNTIL THE DEATH OF BOTH INSUREDS. PLAINTIFF CONTENDS SHE AND HER LATE HUSBAND BELIEVED THE POLICY WAS INFACT A CONVENTIONAL LIFE INSURANCE POLICY WHICH WOULD PAY PROCEEDS TO SURVIVING SPOUSE.
Product Type:	Insurance
Other Product Type(s):	N/A
Alleged Damages:	$400,000.00

Customer Complaint Information

Date Complaint Received:	01/01/1997
Complaint Pending?	No
Status:	Settled
Status Date:	04/01/1998
Settlement Amount:	$100,000.00
Individual Contribution Amount:	$5,000.00

Civil Litigation Information

Court Details:	US DISTRICT COURT DISTRICT OF NEW JERSEY CAMDEN, NJ DOCKET #: 97-CV-0202-JBS
Date Notice/Process Served:	01/14/1997
Litigation Pending?	No
Disposition:	Settled
Disposition Date:	04/08/1998
Monetary Compensation Amount:	$176,000.00
Individual Contribution Amount:	
Broker Statement	E&O CARRIER SETTLED THE CASE FOR $176,000 ADMITTING NO WRONG DOING. THIS WAS THE 2ND SUCH POLICY THAT THE CLIENT

OWNED. I DENY ANY AND ALL WRONG DOING AND STATE FOR THE RECORD
THAT ALL THE TERMS OF THE POLICY WERE EXPLAINED TO THE INSUREDS. THE POLICY CLEARLY EXPLAINS ITS OPERATION, AND THE POLICY IN QUESTION WAS WRITTEN AT THE REQUEST OF THE CLIENTS. THE CUSTOMER HAD A SECON-TO-DIE POLICY, IN FORCE, FOR OVER 4 YEARS.

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:	PROVIDENT MUTUAL CAPITAL MANAGEMENT COMPANY / 1717 CAPITAL
Termination Type:	Discharged
Termination Date:	12/22/1997
Allegations:	AGENT HAD REPRESENTED THAT HE WAS A CERTIFIED FINANCIAL PLANNER WHEN IN FACT HE HAD NOT EARNED THAT CREDENTAL.
Product Type:	No Product
Other Product Types:	
Broker Statement	PROVIDENT MUTUAL AND LOCAL AGENCY HAD BUSINESS CARDS, STATIONARY, BROCHURES AND ADDITIONAL INFORMATION WITH MY NAME AND "CFP" DESIGNATION. I USED THE MATERIAL AND DID NOT SAY ANYTHING TO THE COMPANY. I DID NOTIFY THE GENERAL AGENT FOR PROVIDENT MUTUAL ON 12/22/97 BECAUSE I HAD AN E & O CLAIM. PROVIDENT MUTUALS DECISION WAS TO TERMINATE MY LICENSE. EFFECTIVE 12/22/97. PROVIDENT MUTUAL AND LOVAL AGENCY HAD PRINTED BUSINESS CARDS, STATIONARY, BROCHURES AND ADDITIONAL INFORMATION WITH MY NAME AND "CFP" DESIGNATION. I USED THE MATERIAL AND DID NT SAY ANYTHING TO THE COMPANY. I DID NOTIFY MY GENERAL AGENT FOR PROVIDENT MUTUAL ON 12/22/97 BECAUSE I HAD AN E & O CLAIM. PROVIDENT MUTUALS DECISION WAS TO TERMINATE MY LICENSE.

End of Report

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