IAPD Report

ANTHONY GUIDO FORLINI

CRD# 1390523

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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

ANTHONY GUIDO FORLINI (CRD# 1390523)

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 **02/11/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC INSTITUTIONS, INC.	CRD# 35371	07/06/2010
IA	OSAIC INSTITUTIONS, INC.	CRD# 35371	08/11/2010

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	SOUTHEAST INVESTMENTS, N.C., INC.	43035	CHARLOTTE, NC	01/20/2010 - 07/01/2010
B	SECURIAN FINANCIAL SERVICES, INC.	15296	MT. CLEMENS, MI	12/07/1999 - 01/27/2010
B	AXA ADVISORS, LLC	6627	NEW YORK, NY	07/25/1985 - 12/07/1999

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? **No**

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

Employment 1 of 1

Firm Name: **OSAIC INSTITUTIONS, INC.**

Main Address: 538 PRESTON AVENUE
MERIDEN, CT 06450-4858

Firm ID#: 35371

	Regulator	Registration	Status	Date
B	FINRA	Direct Participation Programs	Approved	07/06/2010
B	FINRA	General Securities Principal	Approved	07/06/2010
B	FINRA	General Securities Representative	Approved	07/06/2010
B	FINRA	Invest. Co and Variable Contracts	Approved	07/06/2010
B	FINRA	Investment Co./Variable Contracts Prin	Approved	07/06/2010
B	Arizona	Agent	Approved	07/06/2010
B	Michigan	Agent	Approved	07/06/2010
IA	Michigan	Investment Adviser Representative	Approved	08/11/2010
B	North Dakota	Agent	Approved	07/06/2010

Branch Office Locations

OSAIC INSTITUTIONS, INC.
5 Belleview, Suite 100
Mt. Clemens, MI 48043

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	12/14/2000
B	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	06/14/1993

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	10/20/1999
B	Direct Participation Programs Representative Examination (S22)	Series 22	12/18/1985
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	07/18/1985

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	06/04/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	12/02/1985

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked

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and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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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	01/20/2010 - 07/01/2010	SOUTHEAST INVESTMENTS, N.C., INC.	CRD# 43035	CHARLOTTE, NC
B	12/07/1999 - 01/27/2010	SECURIAN FINANCIAL SERVICES, INC.	CRD# 15296	MT. CLEMENS, MI
B	07/25/1985 - 12/07/1999	AXA ADVISORS, LLC	CRD# 6627	NEW YORK, NY
B	07/25/1985 - 12/07/1999	THE EQUITABLE LIFE ASSURANCE SOCIETY OF THE UNITED STATES	CRD# 4039	NEW YORK, NY

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
01/2021 - Present	Macomb County - Clerk and register of deeds	Clerk and register of deeds for Macomb county	N	Mount Clemens, MI, United States
07/2010 - Present	INFINEX INVESTMENTS, INC.	INVESTMENT EXECUTIVE	Y	MT. CLEMENS, MI, United States
12/1999 - Present	DESIGN FINANCIAL	GENERAL AGENT	Y	MT. CLEMENS, MI, United States
01/1993 - Present	SELF	OWNER	N	MT. CLEMENS, MI, United States
01/2017 - 01/2021	Macomb County Public works Office	Operations Manager	N	Clinton Township, MI, United States
11/2011 - 12/2016	STATE OF MICHIGAN	LEGISLATURE - MICHIGAN STATE REP	N	LANSING, MI, 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) SELF-EMPLOYED: 5 BELLEVIEW, 100, MT. CLEMENS, MI. RENTAL PROPERTIES. NOT INVESTMENT-RELATED. I AM OWNER. BUSINESS STARTED IN 1993. I OWN AND MANAGE RENTAL PROPERTIES 5 HOURS PER MONTH.

2) DESIGN FINANCIAL INC.: 5 BELLEVIEW, 100, MT. CLEMENS, MI. HEALTH INSURANCE AND GROUP BENEFITS BUSINESS. I AM PRESIDENT. THIS BEGAN 1999. I DEVOTE 80 HOURS PER MONTH TO THIS BUSINESS, 2 HOURS

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Registration & Employment History

OTHER BUSINESS ACTIVITIES

DURING TRADING HOURS. COMPENSATED BY COMMISSIONS.

3.) Clerk and Register of Deeds for Macomb County. Mount Clemens MI. Not investment related. Approx 160 hours per month.
I will be the overseer of the Register of Deeds, Clerk of the Courts
and elections in the County

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End of Report

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