



IAPD Report

STUART CRAIG CHAMBERLIN JR

CRD# 1549351

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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

STUART CRAIG CHAMBERLIN JR (CRD# 1549351)

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 **04/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SOUND INCOME STRATEGIES, LLC	CRD# 173272	05/26/2020

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	CABOT LODGE SECURITIES LLC	159712	SCHAUMBURG, IL	05/22/2013 - 07/16/2013
IA	ASSET & FINANCIAL PLANNING, LTD	110709	BOCA RATON, FL	11/09/2011 - 09/20/2012
B	PRIME CAPITAL SERVICES, INC.	18334	BOCA RATON, FL	10/19/2011 - 09/20/2012

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	3



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

Employment 1 of 1

Firm Name: **SOUND INCOME STRATEGIES, LLC**
Main Address: 500 W CYPRESS CREEK ROAD
SUITE 290
FORT LAUDERDALE, FL 33309
Firm ID#: 173272

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	05/26/2020

Branch Office Locations

SOUND INCOME STRATEGIES, LLC
2385 N.W. Executive Center Drive
Suite 100
Boca Raton, FL 33431

SOUND INCOME STRATEGIES, LLC
700 Brickell Avenue
Suite 1550 (unmanned office location)
Miami, FL 33144

SOUND INCOME STRATEGIES, LLC
4000 Ponce De Leon Blvd
Suite 470 (Unmanned office location)
Coral Gables, FL 33146

SOUND INCOME STRATEGIES, LLC
1580 Sawgrass Corporate Pkwy
Suite 130 (Unmanned office location)
Sunrise, FL 33323

SOUND INCOME STRATEGIES, LLC
500 E. Broward Blvd (Unmanned office location)
Suite 500
Fort Lauderdale, FL 33394




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



Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	10/20/1997

General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7)	Series 7	08/11/1995

State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	05/14/2020
 Uniform Securities Agent State Law Examination (S63)	Series 63	09/17/1996

PROFESSIONAL DESIGNATIONS

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

Chartered Financial Consultant

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/22/2013 - 07/16/2013	CABOT LODGE SECURITIES LLC	CRD# 159712	SCHAUMBURG, IL
IA	11/09/2011 - 09/20/2012	ASSET & FINANCIAL PLANNING, LTD	CRD# 110709	BOCA RATON, FL
B	10/19/2011 - 09/20/2012	PRIME CAPITAL SERVICES, INC.	CRD# 18334	BOCA RATON, FL
IA	03/25/2010 - 08/18/2011	J P TURNER & COMPANY CAPITAL MANAGEMENT, LLC	CRD# 124446	BOCA RATON, FL
B	03/24/2010 - 08/18/2011	J.P. TURNER & COMPANY, L.L.C.	CRD# 43177	BOCA RATON, FL
IA	06/20/2003 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	BOCA RATON, FL
B	11/06/2002 - 03/29/2010	GUNNALLEN FINANCIAL, INC	CRD# 17609	BOCA RATON, FL
B	05/15/2002 - 10/24/2002	SAL FINANCIAL SERVICES, INC.	CRD# 18456	BIRMINGHAM, AL
B	07/24/1997 - 05/15/2002	AMERICAN INVESTMENT SERVICES, INC.	CRD# 21111	OKLAHOMA CITY, OK
B	06/25/1996 - 05/16/1997	SOVEREIGN EQUITY MANAGEMENT CORP.	CRD# 20016	DEERFIELD BEACH, FL
B	08/14/1995 - 06/19/1996	COMPREHENSIVE CAPITAL CORP.	CRD# 6215	GREAT NECK, NY
B	07/25/1989 - 01/28/1991	CORPORATE SECURITIES GROUP, INC.	CRD# 11025	ST. LOUIS, MO
B	04/20/1989 - 08/05/1989	HUBERMAN SECURITIES CORP.	CRD# 10133	
B	08/29/1988 - 04/24/1989	J. W. GANT & ASSOCIATES, INC.	CRD# 7963	



Registration & Employment History

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
05/2020 - Present	Sound Income Strategies LLC	Investment Advisor Representative	Y	Fort Lauderdale, FL, United States
05/2013 - Present	Chamberlin Financial Inc.	Owner/Insurance Agent	Y	Boca Raton, FL, 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.

Chamberlin Financial Inc. Investment related. 2385 N. W. Executive Center Drive Suite 100 Boca Raton, Florida 33431. Insurance Agent, offering fixed and life Insurance products. 80 hours per month.



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	3

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 3

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Sound Income Strategies LLC
Allegations:	December 2021 client instructed me to only invest with no transaction fees and in liquid positions which was done. Client was invested in Fixed Income ETF's. During the market downturn in April 2022, after only 4 months, the client panicked and liquidated their portfolio resulting in a loss of principal.
Product Type:	Other: Fixed Income ETF's
Alleged Damages:	\$6,700.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	06/27/2022
Complaint Pending?	No
Status:	Settled
Status Date:	06/29/2022
Settlement Amount:	\$6,700.00
Individual Contribution Amount:	\$6,700.00



Broker Statement

The client was invested as was initially discussed and according to their documented wishes. Now, the client has falsely claimed they wanted to be placed in completely safe investments which we do not even offer. Even though a 3 to 5 year time frame was discussed to minimize market fluctuations, the client liquidated in only 4 months. The client threatened to sue unless made whole. Based on purely a business decision, the situation was settled despite no wrongdoing on my part.

Disclosure 2 of 3

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: AMERICAN INVESTMENT SERVICES, INC.

Allegations: MISREPRESENTATION, BREACH OF FIDUCIARY DUTY, UNSUITABILITY, FRAUD, NEGLIGENCE

Product Type: Other

Other Product Type(s): STOCKS

Alleged Damages: \$201,751.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - CASE #01-03398

Date Notice/Process Served: 06/26/2001

Arbitration Pending? No

Disposition: Award

Disposition Date: 06/26/2002

Disposition Detail: THE PANEL FINDS RESPONDENT CHAMBERLAIN LIABLE TO CLAIMANTS ON THE CLAIM OF NEGLIGENCE AND HE SHALL PAY COMPENSATORY DAMAGES OF \$7,806.00.

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: AMERICAN INVESTMENT SERVICES, INC.

Allegations: UNSUITABLE INVESTMENTS

Product Type: Equity - OTC

Alleged Damages: \$201,751.00

Customer Complaint Information

Date Complaint Received: 04/06/2001

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 06/26/2002

Settlement Amount:

**Individual Contribution**

Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD 01-03398

Date Notice/Process Served: 06/26/2001

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 07/24/2001

Monetary Compensation Amount: \$7,806.00

Individual Contribution Amount: \$7,806.00

Broker Statement IN THE AWARD AGREEMENT, [CUSTOMER] HAD TO REIMBURSE MR. CHAMBERLIN FOR HIS ATTORNEY FEES. BECAUSE OF THE AWARD MR. CHAMBERLIN DID NOT PAY ANYTHING TO [CUSTOMER].

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: BREACH OF FIDUCIARY DUTY UNSUITABILITY, MISREPRESENTATION ALLEGED DAMAGES OF \$18,000.00

Product Type:

Alleged Damages: \$18,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: National Assoc. of Securities Dealers; 92-01472

Date Notice/Process Served: 04/24/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1992



Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount:

Firm Statement SETTLED IN THE AMOUNT OF \$13,000.00.
Not Provided

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint:

Allegations: BRCH OF FD, UNSUITABILITY, MISREPRESENTATION, ALLEGED DAMAGES \$18,000

Product Type:

Alleged Damages: \$18,000.00

Customer Complaint Information

Date Complaint Received:

Complaint Pending? No

Status: Arbitration/Reparation

Status Date:

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NATIONAL ASSOC. OF SECURITIES DEALERS; 92-01472

Date Notice/Process Served: 04/24/1992

Arbitration Pending? No

Disposition: Settled

Disposition Date: 12/01/1992

Monetary Compensation Amount: \$13,000.00

Individual Contribution Amount:

Broker Statement SETTLED IN THE AMOUNT OF \$13,000
[CUSTOMER] WAS FULLY AWARE OF HIS INVESTMENTS AND KNEW THE RISK, MY PRINCIPAL VERIFIED EVERY TRADE WITH HIM. [CUSTOMER] MADE ONLY PROFITS WITH ME, THEN [THIRD PARTY] TOOK OVER THE ACCOUNT AFTER I LEFT THE FIRM. [THIRD PARTY] CHURNED HIS ACCOUNT AND MADE UNAUTHORIZED TRADES. MY NAME ONLY CAME UP BECAUSE I HAD THE ACCOUNT FIRST.



End of Report

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