



IAPD Report

LOUIS THOMAS ROBERTSON JR

CRD# 1787485

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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

LOUIS THOMAS ROBERTSON JR (CRD# 1787485)

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 **05/26/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ROBERTSON ADVISORY, INC.	CRD# 131285	01/04/1993
B	LPL FINANCIAL LLC	CRD# 6413	09/08/2009
IA	LPL FINANCIAL LLC	CRD# 6413	09/30/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	MUTUAL SERVICE CORPORATION	4806	DELAND, FL	09/18/1992 - 09/08/2009
B	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	FORT WAYNE, IN	01/16/1991 - 09/14/1992
B	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN	01/16/1991 - 09/14/1992

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



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

Employment 1 of 2

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

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2009
B	FINRA	General Securities Representative	Approved	09/08/2009
B	FINRA	Invest. Co and Variable Contracts	Approved	09/08/2009
B	FINRA	Investment Co./Variable Contracts Prin	Approved	09/08/2009
B	Arkansas	Agent	Approved	04/15/2026
B	California	Agent	Approved	03/12/2015
B	Colorado	Agent	Approved	08/25/2017
B	Florida	Agent	Approved	09/08/2009
IA	Florida	Investment Adviser Representative	Approved	09/30/2013
B	Georgia	Agent	Approved	01/02/2015
B	Indiana	Agent	Approved	05/15/2013
B	Kentucky	Agent	Approved	10/27/2025
B	New York	Agent	Approved	01/03/2011



Qualifications

Regulator	Registration	Status	Date
B North Carolina	Agent	Approved	09/08/2009
B Ohio	Agent	Approved	03/19/2026
B Oklahoma	Agent	Approved	03/17/2026
B South Carolina	Agent	Approved	12/14/2022
B Tennessee	Agent	Approved	05/27/2026
B Texas	Agent	Approved	04/26/2016
IA Texas	Investment Adviser Representative	Restricted Approval	04/01/2016
B Virginia	Agent	Approved	01/08/2014
B West Virginia	Agent	Approved	07/25/2024

Branch Office Locations

LPL FINANCIAL LLC
 505 E NEW YORK AVE SUITE 9
 ROBERTSON ADVISORY INC.
 DELAND, FL 32724

Employment 2 of 2

Firm Name: **ROBERTSON ADVISORY, INC.**
 Main Address: 505 E NEW YORK AVE
 SUITE 9
 DELAND, FL 32724-6083
 Firm ID#: 131285

Regulator	Registration	Status	Date
IA Florida	Investment Adviser Representative	Approved	01/04/1993

Branch Office Locations

ROBERTSON ADVISORY, INC.
 505 E NEW YORK AVE



Qualifications

SUITE 9
DELAND, FL 32724-6083





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


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	07/13/2006
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	10/01/1992

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/08/1996
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/20/1989

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/25/1991

PROFESSIONAL DESIGNATIONS

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

Certified Financial Planner

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	09/18/1992 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	DELAND, FL
B	01/16/1991 - 09/14/1992	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	FORT WAYNE, IN
B	01/16/1991 - 09/14/1992	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN
B	02/06/1990 - 07/01/1991	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	HARTFORD, CT

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
09/2009 - Present	LPL FINANCIAL LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	DELAND, FL, United States
10/1986 - Present	Robertson Advisory, Inc.	Investment Adviser Representative	Y	DeLand, 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.

- 12/9/2009 - NON-VARIABLE INSURANCE - LOW LOAD INSURANCE SERVICES - PROCURE PERMANENT LIFE INSURANCE FOR CLIENTS ON A FEE BASIS. - TIME SPENT 1% - DELAND, FL.
- 12/22/2009 - REGISTERED INVESTMENT ADVISOR - ROBERTSON ADVISORY INC. - PROVIDE FINANCIAL PLANS AND ADVISORY SERVICES BASED ON HOURLY RATE. - TIME SPENT 20% - DELAND, FL.
- 12/28/2009 - NON-VARIABLE INSURANCE - ROBERTSON ADVISORY, INC. - PRES. / AGENT - FIXED INSURANCE: LIFE, HEALTH, AND ANNUITY PRODUCTS - COMMISSIONED BASED WITH TERM LIFE, HEALTH AND ANNUITY PRODUCTS. 1% FEE FOR PERMANENT LIFE INSURANCE TRANSACTIONS - EVALUATION, ANALYSIS AND SALES. - 25% OF TIME SPENT - DELAND, FL.
- 9/3/2013 - DBA ONLY - ROBERTSON ADVISORY, INC. - DELAND, FL.
- 09/17/2015 * Mustard Seed Publishing, Inc. dba DeLand Beacon Newspaper * For-Profit Board Member * NOT INV REL * 110 W. New York Ave. DeLand, FL 32720 * START 06/01/2001 * 1 HR/MO DURING SECS TRDG HRS.



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

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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/20/2015
Docket/Case Number:	51792a-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	No Product
Allegations:	N/A
Current Status:	Final
Resolution:	Order
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:	08/20/2015
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1****Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)**Total Amount:** \$10,000.00**Portion Levied against individual:** \$10,000.00**Payment Plan:****Is Payment Plan Current:****Date Paid by individual:** 08/20/2015**Was any portion of penalty waived?** No**Amount Waived:****Regulator Statement**

On 8/20/2015, the Office of Financial Regulation entered a Final Order adopting the Stipulation and Consent Agreement in the matter of Louis Thomas Robertson Jr. Mr. Robertson admits to and consents to the findings by the Office. The Office found that Mr. Robertson had engaged in investment advisory business from an office in Florida without being lawfully registered in the State of Florida. Mr. Robertson agreed to pay an administrative fine in the amount of \$10,000.

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Reporting Source: Individual**Regulatory Action Initiated By:** STATE OF FLORIDA OFFICE OF FINANCIAL REGULATION**Sanction(s) Sought:** Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)**Date Initiated:** 08/14/2015**Docket/Case Number:** 51792A-S**Employing firm when activity occurred which led to the regulatory action:** LPL FINANCIAL LLC**Product Type:** No Product**Allegations:** MR. ROBERTSON CONSENTED TO THE SANCTIONS AND THE ENTRY OF THE FINDINGS THAT FROM SEPTEMBER 2009 TO SEPTEMBER 2013, MR. ROBERTSON ENGAGED IN INVESTMENT ADVISORY BUSINESS FROM AN OFFICE IN THE STATE OF FLORIDA WITHOUT BEING LAWFULLY REGISTERED IN FLORIDA.**Current Status:** Final**Resolution:** Order**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:** 08/20/2015



Sanctions Ordered: Cease and Desist
Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Related Sanction: Civil and Administrative Penalty(ies)/Fine(s)

Total Amount: \$10,000.00

Portion Levied against individual: \$0.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual: 08/17/2015

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

DOCUMENTATION WAS PROVIDED TO FLORIDA'S OFFICE OF FINANCIAL REGULATION REPRESENTING MR. ROBERTSON FILED THE PROPER PAPERWORK WITH LPL FOR THEM TO REGISTER HIM WITH THE STATE OF FLORIDA EACH YEAR. MR. ROBERTSON WAS UNAWARE THAT THE PAPERWORK HAD NOT BEEN SUBMITTED UNTIL THE OFFICE CONDUCTED AN EXAMINATION ON SEPTEMBER 25, 2013. LPL ACKNOWLEDGED THEIR ADMINISTRATIVE ERROR AND REIMBURSED IN FULL MR. ROBERTSON'S MONETARY SANCTION FROM THE STATE. IN ADDITION, MR. ROBERTSON HAD PROPERLY REGISTERED DIRECTLY WITH THE STATE OF FLORIDA HIS OWN INVESTMENT ADVISORY FIRM, ROBERTSON ADVISORY, INC., EACH OF THE YEARS IN QUESTION.



End of Report

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