



IAPD Report

LYNELLA ANN DEVILLIER

CRD# 1928450

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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

LYNELLA ANN DEVILLIER (CRD# 1928450)

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 **12/20/2017**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LEGACY WEALTH CONCEPTS	CRD# 117422	09/04/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	20804	BATON ROUGE, LA	06/08/2012 - 12/31/2017
IA	LPL FINANCIAL LLC	6413	LAFAYETTE, LA	06/22/2011 - 06/19/2012
B	LPL FINANCIAL LLC	6413	LAFAYETTE, LA	05/13/2011 - 06/19/2012

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

Employment 1 of 1

Firm Name: **LEGACY WEALTH CONCEPTS**

Main Address: 17461 JEFFERSON HWY.
SUITE B
BATON ROUGE, LA 70817

Firm ID#: 117422

	Regulator	Registration	Status	Date
	Louisiana	Investment Adviser Representative	Approved	09/05/2012
	Texas	Investment Adviser Representative	Restricted Approval	09/04/2012

Branch Office Locations

LEGACY WEALTH CONCEPTS

17461 JEFFERSON HWY.
SUITE B
BATON ROUGE, LA 70817




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




Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	05/10/1994

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	12/31/2017
	General Securities Representative Examination (S7)	Series 7	07/10/1992
	Direct Participation Programs Representative Examination (S22)	Series 22	02/08/1990
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/21/1989

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	10/11/2011
	 Uniform Securities Agent State Law Examination (S63)	Series 63	01/09/1990

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	06/08/2012 - 12/31/2017	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	BATON ROUGE, LA
IA	06/22/2011 - 06/19/2012	LPL FINANCIAL LLC	CRD# 6413	LAFAYETTE, LA
B	05/13/2011 - 06/19/2012	LPL FINANCIAL LLC	CRD# 6413	LAFAYETTE, LA
B	02/04/2009 - 04/28/2009	PHOENIX EQUITY PLANNING CORPORATION	CRD# 38383	PHILADELPHIA, PA
B	10/19/2007 - 02/04/2009	PHOENIX EQUITY PLANNING CORPORATION	CRD# 3036	HARTFORD, CT
B	03/12/2007 - 12/07/2007	CUE FINANCIAL GROUP, INC.	CRD# 21033	LAFAYETTE, LA
IA	03/12/2007 - 12/07/2007	CUE FINANCIAL GROUP, INC.	CRD# 21033	LAFAYETTE, LA
B	02/19/2004 - 03/19/2007	NFP SECURITIES, INC.	CRD# 42046	LAFAYETTE, LA
IA	01/22/2004 - 03/19/2007	NFP SECURITIES, INC.	CRD# 42046	LAFAYETTE, LA
B	01/30/1998 - 12/31/2002	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	SCOTTSDALE, AZ
B	04/03/1996 - 01/29/1998	INTERSECURITIES, INC.	CRD# 16164	PHILADELPHIA, PA
B	03/01/1996 - 04/30/1996	MML INVESTORS SERVICES, INC.	CRD# 10409	SPRINGFIELD, MA
B	11/12/1993 - 03/01/1996	G. R. PHELPS & CO., INC.	CRD# 173	
B	07/27/1993 - 11/15/1993	BROKERS TRANSACTION SERVICES, INC.	CRD# 17587	DALLAS, TX
B	05/15/1992 - 07/09/1993	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	03/22/1989 - 06/03/1992	NYLIFE SECURITIES INC.	CRD# 5167	NEW YORK, NY



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
01/2017 - Present	Orion Communications, Inc.	strategy advisor	N	Lafayette, LA, United States
10/2014 - Present	B D WEALTH ADVISORS	PARTNER	N	LAFAYETTE, LA, United States
08/2013 - Present	THCV, LLC	MEMBER/OWNER	N	HORSESHOE BAY, TX, United States
01/2013 - Present	DEVILLIER WEALTH MANAGEMENT, INC.	OWNER	N	LAFAYETTE, LA, United States
06/2012 - Present	BENEDICT WEALTH MANAGEMENT, LLC (DBA)BENEDICT FINANCIAL PLANNING	ADVISOR	Y	BATON ROUGE, LA, United States
06/2012 - Present	UNITED PLANNERS' FINANCIAL SERVICES	REG. REP.	Y	SCOTTSDALE, AZ, United States
04/2011 - Present	ABSOLUTE RESOURCES	PART OWNER	Y	LAFAYETTE, LA, United States
04/2011 - Present	LFL, LLC	PART OWNER	Y	LAFAYETTE, LA, United States
04/2011 - Present	WINBOURNE VENTURES, LLC	CO-OWNER	Y	LAFAYETTE, LA, United States
10/1988 - Present	LYNELLE DEVILLIER - INDEPENDENT INSURANCE	AGENT	Y	LAFAYETTE, LA, 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)BENEDICT WEALTH MANAGEMENT, LLC (DBA)BENEDICT FINANCIAL PLANNING - INVESTMENT ADVISORY SERVICES - OFFICE OF CARL BENEDICT - BATON ROUGE, LA - SINCE 06/2012. - INVESTMENT RELATED---
- 2)LYNELLE DEVILLIER - INDEPENDENT INSURANCE - AGENT - LAFAYETTE, LA - SINCE 10/1988- INVESTMENT RELATED---
- 3)WINBOURNE VENTURES, LLC - OWNER - REAL ESTATE RENTAL - LAFAYETTE, LA - SINCE 04/2011- INVESTMENT RELATED---
- 4)LFL, LLC- REAL ESTATE RENTAL, OWNER - REAL ESTATE RENTAL - LAFAYETTE, LA - SINCE 04/2011 - INVESTMENT RELATED---
- 5)ABSOLUTE RESOURCES - OWNER - REAL ESTATE RENTAL - LAFAYETTE, LA - SINCE 04/2011 - INVESTMENT RELATED---
- 6)THCV, LLC - MEMBER/OWNER - HOLDING COMPANY FOR INVESTMENT REAL ESTATE - SINCE 08/2013 - HORSESHOE BAY TX - INVESTMENT RELATED---
- 7)DEVILLIER WEALTH MANAGEMENT, INC. - OWNER - HOLDING COMPANY RELATED TO LEGAL, TAX & ACCOUNTING



Registration & Employment History



OTHER BUSINESS ACTIVITIES

PURPOSES - SINCE 01/2013- LAFAYETTE LA - NOT INVESTMENT RELATED---

8)BD WEALTH ADVISORS - CO-OWNER - DBA FOR MARKETING AND LEGAL PURPOSE - SINCE 10/2014 - LAFAYETTE LA - NOT INVESTMENT RELATED.

9)ORION COMMUNICATIONS, INC. - strategy advisor - Workforce management software developer for first responders, municipal governments, police, fire, court systems. - NOT INVESTMENT RELATED - 01/01/2017 - Lafayette LA



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
Termination	1

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: Firm

Firm Name: CUE FINANCIAL GROUP, INC.

Termination Type: Discharged

Termination Date: 12/04/2007

Allegations: REPRESENTATIVE JOINED ANOTHER BROKER/DEALER WITHOUT NOTIFICATION. REP DID NOT RESIGN FROM CUE. NO QUESTIONS FROM NEW BROKER/DEALER AS REGULATIONS REQUIRE. REP ALSO VIOLATED CONDITION OF CONTRACT IN NOT GIVING 30 DAYS WRITTEN NOTICE OF RESIGNATION.

Product Type: No Product

Other Product Types:

Firm Statement REPRESENTATIVE HAS SINCE APOLOGIZED FOR LACK OF COMMUNICATION AND PAID ALL BACK FEES AND CHARGES.

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Reporting Source: Individual

Firm Name: CUE FINANCIAL GROUP INC

Termination Type: Discharged

Termination Date: 12/04/2007

Allegations: JOINED ANOTHER BROKER/DEALER WITHOUT NOTIFYING CUE FINANCIAL GROUP INC OF TERMINATION. ALSO VIOLATED CONDITION OF CONTRACT IN NOT GIVING A 30 DAYS WRITTEN NOTICE OF RESIGNATION.

Product Type: No Product

Other Product Types:



Broker Statement

I DIDN'T REALIZE I NEEDED TO NOTIFY CUE FINANCIAL GROUP INC OF THE TERMINATION, I THOUGHT THE NEW BROKER/DEALER WOULD DO THAT. THE BACK FEES WERE LOUISIANA & TEXAS 2007 FEES WHICH WAS PAID IN FULL.



End of Report

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