



IAPD Report

GREGORY GILLER RANDALL

CRD# 2143449

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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

GREGORY GILLER RANDALL (CRD# 2143449)

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 **11/21/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LINCOLN INVESTMENT	CRD# 519	06/01/2012
IA	CAPITAL ANALYSTS	CRD# 162200	06/05/2012
IA	BEACON FINANCIAL ADVISORY LLC	CRD# 174334	04/17/2015
IA	LINCOLN INVESTMENT	CRD# 519	10/11/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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
IA	LINCOLN INVESTMENT PLANNING, INC	519	FORT WASHINGTON, PA	06/01/2012 - 03/20/2015
IA	CAPITAL ANALYSTS INCORPORATED	5478	CLEVELAND, OH	04/26/2010 - 06/01/2012
B	CAPITAL ANALYSTS, INCORPORATED	5478	CLEVELAND, OH	04/23/2010 - 06/01/2012

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



Report Summary

Customer Dispute

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

Employment 1 of 3

Firm Name: **LINCOLN INVESTMENT**
Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232
Firm ID#: 519

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	06/01/2012
 FINRA	General Securities Representative	Approved	06/01/2012
 FINRA	Invest. Co and Variable Contracts	Approved	06/01/2012
 Florida	Agent	Approved	08/09/2017
 Georgia	Agent	Approved	09/06/2022
 Michigan	Agent	Approved	06/01/2012
 Ohio	Agent	Approved	06/01/2012
 Ohio	Investment Adviser Representative	Approved	10/11/2024
 Virginia	Agent	Approved	08/07/2017

Branch Office Locations

LINCOLN INVESTMENT
25825 Science Park Drive
Suite 110
Cleveland, OH 44122

Employment 2 of 3

Firm Name: **BEACON FINANCIAL ADVISORY LLC**



Qualifications

Main Address: 25825 SCIENCE PARK DRIVE
SUITE 110
CLEVELAND, OH 44122

Firm ID#: 174334

Regulator	Registration	Status	Date
IA Ohio	Investment Adviser Representative	Approved	04/17/2015

Branch Office Locations

BEACON FINANCIAL ADVISORY LLC

25825 SCIENCE PARK DRIVE
SUITE 110
CLEVELAND, OH 44122

Employment 3 of 3

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 Ohio	Investment Adviser Representative	Approved	06/05/2012

Branch Office Locations

CAPITAL ANALYSTS

25825 SCIENCE PARK DRIVE, STE 110
CLEVELAND, OH 44122



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

Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	12/03/2002

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/02/2001
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/06/1991

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	06/18/1991

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
IA	06/01/2012 - 03/20/2015	LINCOLN INVESTMENT PLANNING, INC	CRD# 519	FORT WASHINGTON, PA
IA	04/26/2010 - 06/01/2012	CAPITAL ANALYSTS INCORPORATED	CRD# 5478	CLEVELAND, OH
B	04/23/2010 - 06/01/2012	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	CLEVELAND, OH
IA	12/05/2006 - 05/21/2010	SANDERS MORRIS HARRIS INC.	CRD# 20580	BEACHWOOD, OH
B	12/04/2006 - 05/21/2010	SANDERS MORRIS HARRIS INC.	CRD# 20580	BEACHWOOD, OH
IA	01/01/2000 - 12/06/2006	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	CLEVELAND, OH
B	06/10/1991 - 12/06/2006	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	CLEVELAND, OH
B	06/10/1991 - 06/08/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	CRD# 2580	FORT WAYNE, IN

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
12/2014 - Present	BEACON FINANCIAL ADVISORY LLC	PRINCIPAL/INVESTMENT ADVISER REPRESENTATIVE	Y	CLEVELAND, OH, United States
06/2012 - Present	LINCOLN INVESTMENT PLANNING INC.	REGISTERED REPRESENTATIVE	Y	CLEVELAND, OH, United States
04/2010 - Present	CAPITAL ANALYSTS INCORPORATED	REGISTERED REP	Y	CINCINNATI, OH, United States
12/2006 - Present	BEACON FINANCIAL PARTNERS	CEO	Y	BEACHWOOD, OH, United States



Registration & Employment History

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.

BEACON FINANCIAL ADVISORY LLC

POSITION: Chief Executive Officer & Investment Advisor. NATURE: Financial advisory services. INVESTMENT RELATED: Yes
NUMBER OF HOURS: 40 SECURITIES TRADING HOURS: 40 START DATE: 04/01/2015

ADDRESS: 25825 Science Park Drive, Suite 110, Beachwood OH 44122, United States

DESCRIPTION: Duties are administrative in nature as CEO. As Investment Advisor, I will assist clients with asset allocation and investment strategies. Fee-based management of clients' assets.

INSURANCE SALES

POSITION: Agent NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 01/01/2010 ADDRESS: 25825 Science Park Beachwood, OH 44122 DESCRIPTION: Selling life insurance to clients

BEACON FINANCIAL PARTNERS LLC

POSITION: Owner NATURE: Financial Services INVESTMENT RELATED: Yes NUMBER OF HOURS: 120 SECURITIES TRADING HOURS: 120 START DATE: 12/03/2006 ADDRESS: 25825 Science Park Beachwood, OH 44122 DESCRIPTION: Oversee the operation of Beacon

POWER OF JOY

POSITION: Board President and member of leadership steering committee NATURE: 501(c)3 INVESTMENT RELATED: No
NUMBER OF HOURS: 16 SECURITIES TRADING HOURS: 0 START DATE: 01/06/2023

ADDRESS: PO Box 183, Chesterland OH 44026, United States

DESCRIPTION: Administration and organization of events and people. Also administration, organization and assisting in carrying out the direction/vision of the organization.



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	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 1

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	Lincoln Investment Planning LLC
Allegations:	Client complained to firm and FINRA. Complaint alleged investments sold to her were unsuitable. Additional allegations include inflation of net worth and income on suitability documents. Firm is researching the complaint.
Product Type:	Annuity-Fixed Annuity-Variable Oil & Gas Real Estate Security Other: BDC
Alleged Damages:	\$70,000.00
Alleged Damages Amount Explanation (if amount not exact):	Estimated losses approximately \$70,000
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: 06/15/2017

Complaint Pending? No



Status: Denied

Status Date: 07/20/2017

Settlement Amount:

Individual Contribution

Amount:



End of Report

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