



IAPD Report

RICHARD GERARD LEWIS

CRD# 2688653

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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

RICHARD GERARD LEWIS (CRD# 2688653)

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 **01/21/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LINCOLN INVESTMENT	CRD# 519	06/01/2012
IA	LINCOLN INVESTMENT	CRD# 519	06/01/2012
IA	CAPITAL ANALYSTS	CRD# 162200	06/18/2012

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	CAPITAL ANALYSTS INCORPORATED	5478	WARREN, NJ	07/17/2008 - 06/01/2012
B	CAPITAL ANALYSTS, INCORPORATED	5478	WARREN, NJ	07/02/2008 - 06/01/2012
IA	JEFFERSON PILOT SECURITIES CORP	3870	SKILLMAN, NJ	04/16/2008 - 06/25/2008

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
Criminal	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 9 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

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

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/01/2012
B	FINRA	General Securities Representative	Approved	06/01/2012
B	FINRA	Invest. Co and Variable Contracts	Approved	06/01/2012
B	Arizona	Agent	Approved	06/01/2012
B	Connecticut	Agent	Approved	06/01/2012
B	Florida	Agent	Approved	06/05/2012
IA	Florida	Investment Adviser Representative	Approved	05/02/2019
B	New Hampshire	Agent	Approved	05/16/2019
B	New Jersey	Agent	Approved	06/01/2012
IA	New Jersey	Investment Adviser Representative	Approved	06/01/2012
B	New York	Agent	Approved	06/01/2012
B	Pennsylvania	Agent	Approved	06/01/2012
B	South Carolina	Agent	Approved	06/01/2012



Qualifications

Regulator	Registration	Status	Date
B West Virginia	Agent	Approved	06/01/2012

Branch Office Locations

LINCOLN INVESTMENT
 45 MOUNTAIN BLVD
 WARREN, NJ 07059

Employment 2 of 2

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 Florida	Investment Adviser Representative	Approved	04/18/2019
IA New Jersey	Investment Adviser Representative	Approved	06/18/2012

Branch Office Locations

CAPITAL ANALYSTS
 8 MOUNTAIN BLVD
 WARREN, NJ 07059



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	07/30/2001

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	08/04/1997
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	12/09/1995

State Securities Law Exams

	Exam	Category	Date
	Uniform Combined State Law Examination (S66)	Series 66	08/18/1997

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	07/17/2008 - 06/01/2012	CAPITAL ANALYSTS INCORPORATED	CRD# 5478	WARREN, NJ
B	07/02/2008 - 06/01/2012	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	WARREN, NJ
IA	04/16/2008 - 06/25/2008	JEFFERSON PILOT SECURITIES CORP	CRD# 3870	SKILLMAN, NJ
B	02/06/2008 - 06/25/2008	JEFFERSON PILOT SECURITIES CORPORATION	CRD# 3870	SKILLMAN, NJ
IA	08/27/2004 - 02/11/2008	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	WARREN, NJ
B	08/19/2004 - 02/11/2008	CAPITAL ANALYSTS, INCORPORATED	CRD# 5478	WARREN, NJ
IA	05/17/2002 - 06/30/2004	ING FINANCIAL PARTNERS, INC	CRD# 2882	BRIDGEWATER, NJ
B	02/26/2002 - 06/30/2004	ING FINANCIAL PARTNERS, INC.	CRD# 2882	WINDSOR, CT
B	02/15/2001 - 02/07/2002	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	12/21/1995 - 03/06/2001	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
06/2012 - Present	LINCOLN INVESTMENT	Mass Transfer	Y	WARREN, NJ, United States
01/2002 - Present	KIM FINANCIAL GROUP	PRESIDENT	Y	WARREN, NJ, 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.

S.A.F.E. INFORMATION SERVICES, LLC

POSITION: Owner of Currently Inactive Company NATURE: Benefits Information INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 01/01/2019



Registration & Employment History



OTHER BUSINESS ACTIVITIES

ADDRESS: 13719 Luna Drive, Naples FL 34109, United States

DESCRIPTION: Advise Public sector employees concerning their employee benefit package

BRIAN LEWIS, RICHARD LEWIS, RAE KIM AND SUSAN L. LEWIS AS PARTIAL OWNERS D/B/A TENTH STREET PARTNERS

POSITION: Co-Owner NATURE: Real Estate Owners INVESTMENT RELATED: Yes NUMBER OF HOURS: 2 SECURITIES

TRADING HOURS: 0 START DATE: 10/15/2015

ADDRESS: "The Accolade", 90 Bay St. Landing Unit 8F, Staten Island NY 10301, United States

DESCRIPTION: I will be responsible for receiving monthly rent and making the monthly expense payments

STATE AND FEDERAL EMPLOYEE BENEFITS CONSULTING GROUP S.A.F.E. LLP

POSITION: Owner/Partner NATURE: Benefits Consultant/Financial Services INVESTMENT RELATED: Yes NUMBER OF

HOURS: 20 SECURITIES TRADING HOURS: 20 START DATE: 07/01/2008

ADDRESS: 45 Mountain Blvd, Building D, Warren NJ 07059, United States

DESCRIPTION: DBA for Lincoln business. Pay bills, oversee payroll, etc.

KIM FINANCIAL GRP

POSITION: Owner/Partner/Agent NATURE: Insurance Sales INVESTMENT RELATED: Yes NUMBER OF HOURS: 1

SECURITIES TRADING HOURS: 1 START DATE: 01/01/2002

ADDRESS: 45 Mountain Blvd, Suite, Warren NJ 07059, United States

DESCRIPTION: I sold life insurance products in the past & service the insureds



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
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Criminal	1
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Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	CHATHAM TOWNSHIP POLICE DEPARTMENT CASE #91CO190
Charge Date:	12/12/1991
Charge Details:	"INTIMIDATION" - MY EX-WIFE ACCUSED ME OF THREATENING HER WITH A KITCHEN KNIFE I DENIED THAT SUCH AN EVENT EVER TOOK PLACE. THIS WAS A FELONY CHARGE.
Felony?	Yes
Current Status:	Final
Status Date:	12/16/1992
Disposition Details:	CASE #91CO190, OFFENSE DATE 12/12/91 WAS DISMISSED ON 12/16/92 WITHOUT TRIAL NO SENTENCE, NO PENALTY, NO FINES
Broker Statement	ON 12/12/91 A DISPUTE AROSE BETWEEN MYSELF AND MY WIFE AT THE TIME IN OUR MARTIAL HOE, 76 VAN HOATEN AVE, CHATHAM, NJ. AT SPOUSE'S REQUEST I LEFT THE PREMISES WHERE UPON I WAS SUBSEQUENTLY STOPPED BY THE CHATHAM TOWNSHIP POLICE. I WAS TAKEN TO THEIR HEADQUARTERS AND QUESTIONED. SPOUSE HAD ALLEGED THAT I HAD THREATENED HER WITH A 3 INCH KNIFE FROM THE KITCHEN CUTTERY SET; A CHARGE WHICH I DENIED. A TEMPORARILY RESTRAINING ORDER WAS ISSUED PREVENTING ME FROM ACCESSING THE MARITAL HOME AND I WAS RELEASED. THIS ORDER WAS SUBSEQUENTLY REMOVED AND ALL CHARGES WERE DROPPED WITHOUT ME EVER GOING TO COURT WHEN SPOUSED CHANGED HER MIND.



End of Report

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