



IAPD Report

NATHAN MAREK PLUMB

CRD# 4598158

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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

NATHAN MAREK PLUMB (CRD# 4598158)

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 **12/12/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WISCONSIN CAPITAL MANAGEMENT, LLC	CRD# 110394	08/25/2023

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
IA	WISCONSIN CAPITAL MANAGEMENT, LLC	110394	MADISON, WI	10/16/2020 - 10/28/2022
IA	WISCONSIN CAPITAL MANAGEMENT, LLC	110394	MADISON, WI	10/14/2020 - 10/15/2020
IA	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	MADISON, WI	02/01/2017 - 10/05/2020

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	2
Criminal	1
Termination	2



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: **WISCONSIN CAPITAL MANAGEMENT, LLC**
Main Address: 8020 EXCELSIOR DRIVE STE. 402
MADISON, WI 53717
Firm ID#: 110394

Regulator	Registration	Status	Date
IA Wisconsin	Investment Adviser Representative	Approved	08/25/2023

Branch Office Locations

WISCONSIN CAPITAL MANAGEMENT, LLC
8020 EXCELSIOR DRIVE STE. 402
MADISON, WI 53717




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 2 state securities law exams.



Principal/Supervisory Exams

Exam	Category	Date
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	07/09/2007

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	12/09/2016
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/15/2007

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/2017
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/02/2003

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	10/16/2020 - 10/28/2022	WISCONSIN CAPITAL MANAGEMENT, LLC	CRD# 110394	MADISON, WI
IA	10/14/2020 - 10/15/2020	WISCONSIN CAPITAL MANAGEMENT, LLC	CRD# 110394	MADISON, WI
IA	02/01/2017 - 10/05/2020	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	MADISON, WI
B	12/09/2016 - 10/05/2020	LINCOLN FINANCIAL ADVISORS CORPORATION	CRD# 3978	MADISON, WI
IA	04/29/2003 - 01/24/2017	WISCONSIN CAPITAL MANAGEMENT, LLC	CRD# 110394	MADISON, WI
IA	09/03/2003 - 12/31/2016	WISCONSIN CAPITAL MANAGEMENT, LLC	CRD# 110394	MADISON, WI
IA	01/12/2012 - 12/31/2014	SVA PLUMB WEALTH MANAGEMENT, LLC	CRD# 159216	MADISON, WI
B	05/16/2007 - 07/08/2013	QUASAR DISTRIBUTORS, LLC	CRD# 103848	PORTLAND, ME
IA	09/23/2011 - 01/10/2012	SVA WEALTH MANAGEMENT, INC.	CRD# 105197	MADISON, WI
B	04/30/2003 - 03/01/2005	QUASAR DISTRIBUTORS, LLC	CRD# 103848	PORTLAND, ME
B	12/17/2002 - 03/25/2003	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI

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
07/2023 - Present	Wisconsin Capital Management, LLC	Portfolio Manager	Y	Madison, WI, United States
02/2023 - 07/2023	Wisconsin Capital Management, LLC	Clerical	Y	Madison, WI, United States
10/2022 - 02/2023	Unemployed-Extended Travel	Unemployed-Extended Travel	N	Madison, WI, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
10/2020 - 09/2022	Wisconsin Capital Management, LLC	Portfolio Manager	Y	Madison, WI, United States
09/2016 - 09/2020	Lincoln Financial Advisors	Registered Representative	Y	Madison, WI, United States
01/2015 - 09/2016	WISCONSIN CAPITAL MANAGEMENT, LLC	CHIEF OPERATING OFFICER/PORTFOLIO MANAGER	Y	MADISON, WI, 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) NATHAN PLUMB
 122 South Hancock St. Madison WI 53703
 CATEGORY: REAL ESTATE LICENSED AGENT
 INVESTMENT RELATED: NO
 TITLE: AGENT
 DUTIES:HOLDING WISCONSIN REAL ESTATE LICENSE #78132 FOR SALES TO FRIENDS AND FAMILY
 START DATE: 01/22/2014
 HOURS PER MONTH: 1
 HOURS PER MONTH DURING TRADING HOURS: 0

2) NATHAN PLUMB
 406 SCIENCE DRIVE, SUITE 310
 MADISON, WI 53711-1068
 CATEGORY: INSURANCE
 INVESTMENT RELATED: YES
 TITLE: AGENT
 DUTIES: OFFERING HEALTH INSURANCE AND HEALTH SAVINGS ACCOUNT SERVICES
 START DATE: 09/14/2016
 HOURS PER MONTH: 6
 HOURS PER MONTH DURING TRADING HOURS: 0

3) Nathan Plumb/AirBnB
 Investment related: No
 122 South Hancock St. Madison WI 53703
 Nature of business: lodging for homestays and vacation rentals
 Position: Provide lodging of home
 Title/Relationship: Contractor
 Start Date: 5.13.2022
 Hours devoted: 40 hours
 Hours devoted during trading hours: 1 hour
 Airbnb is a company that provides the platform for vacation rentals for certified owners.

4) Nathan Plumb, Board Member



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Wisconsin Veterans Museum Foundation, Inc.

Non-Investment Related

30 W Mifflin St. Madison, WI 53703

Wisconsin's premier military history museum and key educational activity of the Wisconsin Department of Veterans Affairs. The museum showcases the stories of Wisconsin veterans of all branches service, demonstrating the enduring veteran experience.

Board Member since 12/11/2025

10 hours a month devoted on a monthly basis.

1 hour devoted during security trading hours

Interpret the organization's work and values to the community, represent the organization, and act as a spokesperson. Attend board meetings, committee meetings and special events for fundraising.



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	2
Criminal	1
Termination	2

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 2

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 09/30/2022

Docket/Case Number: [2020068210301](#)

Employing firm when activity occurred which led to the regulatory action: Lincoln Financial Advisors CRD # 3912

Product Type: Mutual Fund

Allegations: The allegations for Mr. Plumb are engagement in undisclosed business activities (OBAs). The allegations stated that before associating with his member firm, Plumb submitted an OBA disclosure form to the firm disclosing his role as a board member of a mutual fund company. The firm approved Plumb's disclosed role. Later, Plumb's role with the mutual fund company expanded, and he began working for the company as chief financial officer and treasurer. Plumb did not disclose his new role with the mutual fund company to the firm. In addition, Plumb began providing economic research, marketing support, and financial analysis to the investment advisory firm. Plumb did not disclose to the firm his role with the investment advisory firm until nearly two years after starting. The firm denied Plumb's request to work for the investment advisory firm. Notwithstanding this, Plumb continued to work for and receive compensation from the investment advisory firm throughout his association with the firm. Plumb also incorrectly



attested on three annual compliance questionnaires submitted to the firm that he had disclosed all OBAs. The allegations also stated that Plumb participated in undisclosed private securities transaction. While associated with the firm, Plumb was approached by and assisted four individuals in purchasing mutual fund shares directly from the mutual fund company. These individuals purchased approximately \$387,000 of mutual fund shares and advising them on how to send payment to the mutual fund company for the mutual fund share purchases. Plumb did not receive any commissions or other payments for his role in the transactions, though he was affiliated with the mutual fund company as a member of the board and the chief financial officer and treasurer. Plumb did not provide written notice to the firm prior to participating in those individuals' transactions.

Current Status: Final

Action Appealed To: Not applicable-no appeal

Date Appeal filed:

Appeal Limitation Details:

Resolution: Acceptance, Waiver & Consent(AWC)

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: 09/30/2022

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All capacities

Duration: 4 months

Start Date: 10/03/2022

End Date: 02/02/2023

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: Deferred

Is Payment Plan Current: No

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:



Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	09/30/2022
Docket/Case Number:	2020068210301
Employing firm when activity occurred which led to the regulatory action:	Lincoln Financial Advisors Corporation
Product Type:	Mutual Fund
Allegations:	<p>Without admitting or denying the findings, Plumb consented to the sanctions and to the entry of findings that he engaged in undisclosed outside business activities (OBAs). The findings stated that before associating with his member firm, Plumb submitted an OBA disclosure form to the firm disclosing his role as a board member of a mutual fund company. The firm approved Plumb's disclosed role. Later, Plumb's role with the mutual fund company expanded, and he began working for the company as chief financial officer and treasurer. Plumb did not disclose his new role with the mutual fund company to the firm. In addition, Plumb began providing consulting services to a registered investment advisory firm and the investment advisor to the mutual fund company pursuant to a consulting agreement. Plumb provided economic research, marketing support, and financial analysis to the investment advisory firm. Plumb did not disclose to the firm his role with the investment advisory firm until nearly two years after starting. The firm denied Plumb's request to work for the investment advisory firm. Notwithstanding this, Plumb continued to work for, and receive compensation from, the investment advisory firm throughout his association with the firm. Plumb also incorrectly attested on three annual compliance questionnaires submitted to the firm that he had disclosed all OBAs. The findings also stated that Plumb participated in undisclosed private securities transactions. While associated with the firm, Plumb was approached by and assisted four individuals in purchasing mutual fund shares directly from the mutual fund company. These individuals purchased approximately \$387,000 of mutual fund shares directly from the mutual fund company. Plumb assisted these individuals with their purchases by meeting with them to discuss their investments, completing the paperwork required to purchase the mutual fund shares, and advising them on how to send payment to the mutual fund company for the mutual fund share purchases. Plumb did not receive any commissions or other payments for his role in the transactions, though he was affiliated with the mutual fund company as a member of the board and the chief financial officer and treasurer. Plumb did not provide written notice to the firm prior to participating in those individuals' transactions.</p>
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	09/30/2022
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension



If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?



Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: All Capacities

Duration: Four Months

Start Date: 10/03/2022

End Date: 02/02/2023

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: Deferred

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Reporting Source: Firm

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Date Initiated: 09/30/2022

Docket/Case Number: [2020068210301](#)

Employing firm when activity occurred which led to the regulatory action: Lincoln Financial Advisors CRD# 3978

Product Type: Mutual Fund

Allegations: The allegations for Mr. Plumb are engagement in undisclosed outside business activities (OBAs). The allegations stated that before associating with his member firm, Plumb submitted an OBA disclosure form to the firm disclosing his role as a board member of a mutual fund company. The firm approved Plumb's disclosed role. Later, Plumb's role with the mutual fund company expanded, and he began working for the company as chief financial officer and treasurer. Plumb did not disclose his new role with the mutual fund company to the firm. In addition, Plumb began providing consulting services to a registered investment advisory firm and the investment advisor to the mutual fund company pursuant to a consulting agreement. Plumb provided economic research, marketing support, and financial analysis to the investment advisory firm. Plumb did not disclose to the firm his role with the investment advisory firm until nearly two years after starting. The firm denied Plumb's request to work for the investment advisory firm. Notwithstanding this, Plumb continued to work for, and receive compensation from, the investment advisory firm throughout his association with the firm. Plumb also incorrectly



attested on three annual compliance questionnaires submitted to the firm that he had disclosed all OBAs. The allegations also stated that Plumb participated in undisclosed private securities transactions. While associated with the firm, Plumb was approached by and assisted four individuals in purchasing mutual fund shares directly from the mutual fund company. These individuals purchased approximately \$387,000 of mutual fund shares directly from the mutual fund company. Plumb assisted these individuals with their purchases by meeting with them to discuss their investments, completing the paperwork required to purchase the mutual fund shares, and advising them on how to send payment to the mutual fund company for the mutual fund share purchases. Plumb did not receive any commissions or other payments for his role in the transactions, though he was affiliated with the mutual fund company as a member of the board and the chief financial officer and treasurer. Plumb did not provide written notice to the firm prior to participating in those individuals' transactions.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 09/30/2022

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise? No

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	All Capacities
Duration:	Four Months
Start Date:	10/03/2022
End Date:	02/02/2023

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:	Deferred
Is Payment Plan Current:	No
Date Paid by individual:	
Was any portion of penalty waived?	No



Amount Waived:



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: Firm

Formal Charges were brought in: State Court

Name of Court: State of Wisconsin

Location of Court: Dane County

Docket/Case #: 2020CF002126

Charge Date: 08/26/2020

Charge(s) 1 of 1

Formal Charge(s)/Description: Statute cite 940.19(1) Intent to Cause Bodily Harm
Statute cite 947.01(1) Disorderly Conduct
Statute cite 940.19 (1) Battery

No of Counts: 3

Felony or Misdemeanor: Felony

Plea for each charge: Not Guilty

Disposition of charge: Pled not guilty

Date of Amended Charge: 08/29/2022

Charge was Amended or reduced to: Reduced charge statute cite 940.19(1) Battery-Misdemeanor A- two counts. Third count-dismissed.

Amended No of Counts: 2

Amended Charge: Misdemeanor

Amended Plea: Guilty

Disposition of Amended Charge: Pled guilty

Current Status: Final

Status Date: 04/10/2023

Disposition Date: 04/11/2023

Sentence/Penalty: Count #1 940.19(1) Misd. A
Probation, Sent Withheld 12 months start date 04/11/2023-End date 04/10/2024
Costs\$443 to be paid by the defendant to the Clerk of Courts office within 60 days.
Court authorized payment plan. paid 04/23/2023
Count #2 947.01(1) Misd. B
Domestic abuse enhancer dismissed
\$243 to be paid by the defendant to the Clerk of Courts office within 60 days. Court authorized payment plan. Paid 04/23/2023
Count #3 940.19(1) Misd. A
8/29/2022-Dismissed on Prosecutor's Motion

Reporting Source: Individual



Formal Charges were brought in:	County Court
Name of Court:	Dane County Clerk of Courts
Location of Court:	Madison, WI 53703
Docket/Case #:	2020CF002126
Charge Date:	08/26/2020
Charge(s) 1 of 1	
Formal Charge(s)/Description:	Disorderly Conduct and Battery
No of Counts:	2
Felony or Misdemeanor:	Misdemeanor
Plea for each charge:	Guilty Due to Guilty Plea
Disposition of charge:	Pled guilty
Date of Amended Charge:	08/29/2022
Charge was Amended or reduced to:	Court dismisses DV enhancer on Counts 1 and 2
Amended No of Counts:	1
Amended Charge:	Felony
Amended Plea:	not guilty
Disposition of Amended Charge:	Pled guilty
Current Status:	Final
Status Date:	04/10/2023
Disposition Date:	04/10/2023
Sentence/Penalty:	Count 1.Battery-\$443 Count 2. Disorderly Conduct \$243



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 2

Reporting Source: Firm
Firm Name: Wisconsin Capital Management, LLC
Termination Type: Voluntary Resignation
Termination Date: 09/29/2022
Allegations: Participation in Undisclosed Private Securities Transactions and Engagement in Undisclosed Outside Business Activities.
Product Type: Mutual Fund
Firm Statement Mr. Plumb voluntarily resigned on September 29, 2022 anticipation of acceptance, waiver and consent from FINRA.

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: LINCOLN FINANCIAL ADVISORS
Termination Type: Discharged
Termination Date: 09/09/2020
Allegations: The Registered Representative was terminated following allegations of the RRs failure to comply with outside business activity and private securities transaction policies.
Product Type: Mutual Fund

Reporting Source: Individual
Firm Name: Lincoln Financial Advisors
Termination Type: Discharged
Termination Date: 09/09/2020
Allegations: The Registered Representative was terminated following allegations of RRs failure to comply with outside business activity and private securities transaction policies.
Product Type: Mutual Fund
Broker Statement I thought I had disclosed my outside business activity as I did seek pre-approval since I thought this would be an issued before I joined the company.



End of Report

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