



IAPD Report

ALEXANDER R BASTRON

CRD# 5132228

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6



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

ALEXANDER R BASTRON (CRD# 5132228)

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 **07/10/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	NORTHSTAR FINANCIAL COMPANIES, INC.	CRD# 119396	10/02/2020

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
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	Lakewood, CO	11/25/2009 - 10/20/2020
IA	LONGVIEW WEALTH MANAGEMENT	136214	Lakewood, CO	01/08/2016 - 09/30/2020
IA	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	134139	Denver, CO	11/25/2009 - 04/27/2016

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



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: **NORTHSTAR FINANCIAL COMPANIES, INC.**
Main Address: 1201 E. HECTOR ST
CONSHOHOCKEN, PA 19428
Firm ID#: 119396

Regulator	Registration	Status	Date
IA Colorado	Investment Adviser Representative	Approved	10/02/2020

Branch Office Locations

NORTHSTAR FINANCIAL COMPANIES, INC.
13301 West 43rd Street
Unit 6A
Golden, CO 80403






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 3 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.



Principal/Supervisory Exams

Exam	Category	Date
 Municipal Securities Principal Examination (S53)	Series 53	04/16/2007
 Registered Options Principal Examination (S4)	Series 4	02/12/2007
 General Securities Principal Examination (S24)	Series 24	11/21/2006

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	07/17/2006

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	05/19/2008

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	11/25/2009 - 10/20/2020	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	Lakewood, CO
IA	01/08/2016 - 09/30/2020	LONGVIEW WEALTH MANAGEMENT	CRD# 136214	Lakewood, CO
IA	11/25/2009 - 04/27/2016	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	Denver, CO
B	03/17/2009 - 11/12/2009	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	RALEIGH, NC
IA	03/17/2009 - 11/12/2009	FIRST CITIZENS INVESTOR SERVICES, INC.	CRD# 44430	RALEIGH, NC
IA	05/20/2008 - 03/17/2009	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	CRD# 134139	FAIRFIELD, IA
B	07/18/2006 - 03/17/2009	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	FAIRFIELD, IA

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
10/2020 - Present	Northstar Financial Companies, Inc.	Investment Advisor Representative	Y	Conshohocken, PA, United States
01/2016 - 10/2020	LongView Wealth Management	IA Rep	Y	Atlanta, GA, United States
11/2009 - 10/2020	CAMBRIDGE INVESTMENT RESEARCH ADVISORS, INC.	REG REP	Y	FAIRFIELD, IA, United States
11/2009 - 10/2020	Cambridge Investment Research, Inc.	Registered Representative	Y	Fairfield, IA, 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.

As of October 1 2020, Comprehensive financial planning under Northstar Financial Companies at 355 S Teller St, Suite 200



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Lakewood CO 80226 takes up approximately 20-25 hours per week. Additionally, 1-2 hours per week are spent acting as an insurance consultant/agent for various insurance companies.



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: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Sanction(s) Sought: Other: n/a

Date Initiated: 04/05/2016

Docket/Case Number: 3-17196

Employing firm when activity occurred which led to the regulatory action: Cambridge Investment Research Advisors, Inc. and Cambridge Investment Research, Inc.

Product Type: Options

Allegations: SEC Admin Release 34-77528, IA Release 40-4362 / April 5, 2016: The Securities and Exchange Commission deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 ("Exchange Act") and Section 203(f) of the Investment Advisers Act of 1940 ("Advisers Act"), against Alexander R. Bastron ("Respondent" or "Bastron"). On the basis of this Order and Respondent's Offer, the Commission finds that this failure to supervise case arises out of a fraudulent scheme by an individual, the principal of an Office of Supervisory Jurisdiction ("OSJ") and investment adviser representative associated with Respondent's firm, to misappropriate investment advisory client funds. From at least December 2009 through March 2011, the principal misappropriated at least \$308,850 in purported financial planning fees from at least 47 advisory clients. Bastron was a Regional Director at the firm and was the principal's direct supervisor from approximately December 2009 through early June 2010. From March 2010 to June 2010, Bastron failed reasonably to supervise the principal with a view to preventing his violations of the federal securities laws by failing to implement a heightened supervision plan for the principal. As a result of the



conduct, Bastron failed reasonably to supervise the principal, within the meaning of Section 203(e)(6) of the Advisers Act, with a view to preventing his violations of Sections 206(1) and 206(2) of the Advisers Act.

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: 04/05/2016

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

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? Yes

(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? No

(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 No



(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?

Yes

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: any supervisory capacity
Duration: 12 months
Start Date: 04/18/2016
End Date: 04/17/2017

Monetary Sanction 1 of 1

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

Amount Waived:**Regulator Statement**

In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the "Offer") which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, and without admitting or denying the findings herein, except as to the Commission's jurisdiction over him and the subject matter of these proceedings, which are admitted, Respondent consents to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Section 203(f) of the Investment Advisers Act of 1940, Making Findings, and Imposing Remedial Sanctions.

Accordingly, pursuant to Sections 203(f) of the Advisers Act and Section 15(b) of the Exchange Act, it is hereby ordered that respondent be, and hereby is, suspended from association with any broker, dealer, investment adviser, municipal



securities dealer or transfer agent in any supervisory capacity for a period of 12 months, effective on the second Monday following the entry of this Order. Respondent shall, within 14 days of the entry of this Order, pay a civil money penalty in the amount of \$20,000. Respondent shall comply with the undertakings enumerated in the Offer.

Reporting Source: Individual

Regulatory Action Initiated By: UNITED STATES SECURITIES AND EXCHANGE COMMISSION

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

Date Initiated: 04/05/2016

Docket/Case Number: 3-17196

Employing firm when activity occurred which led to the regulatory action: Cambridge Investment Research Advisors, Inc. and Cambridge Investment Research, Inc.

Product Type: No Product

Allegations: On April 5, 2016, the United States Securities and Exchange Commission ("SEC") in an administrative proceeding against Alexander Bastron determined he had failed to adequately supervise an individual resulting in the individual misappropriating financial planning fees from advisory clients. The SEC determined that Mr. Bastron's failure to implement a heightened supervision plan and therefore violating Section 203(c)(6) of the Investment Advisers Act resulted in the individual's violations of the Investment Advisers Act. The SEC issued an order requiring Mr. Bastron's suspension from acting in any supervisory capacity until April 17, 2017 and a fine. The events and activity occurred between December 2009 and June 2010.

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: 04/05/2016

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

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: Any Supervisory Capacity

Duration: 12 Months

Start Date: 04/18/2016

End Date: 04/17/2017



Monetary Sanction 1 of 1

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

Total Amount: \$20,000.00

Portion Levied against individual: \$20,000.00

Payment Plan:

Is Payment Plan Current:

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

Mr. Bastron was the named supervisor for a registered representative (RR) from November 2009 to June 2010. Prior to this time, RR was supervised by another Cambridge employee who was terminated. The termination of this Cambridge employee prevented Mr. Bastron from undergoing a traditional transition with the outgoing supervisor, stopping him from learning the risks associated with RR. Further, Mr. Bastron was not involved in the vetting process of RR, did not have an opportunity to vote on the hiring of RR, or the acceptance of responsibility in implementing a heightened supervision plan. Further, Mr. Bastron was reliant on OSJ Supervisor Designees also employed by Cambridge. None of these designees reported to Mr. Bastron, and he was not able to monitor the work conducted on his behalf. Mr. Bastron was not directly responsible for financial planning review, and a concern of a fraudulent signature was not brought to him. At the time Mr. Bastron transitioned to a new supervisory region in June 2010, he had never had the opportunity to meet the RR in person.



End of Report

This page is intentionally left blank.