



IAPD Report

DAKOTA A LAWRENCE

CRD# 5255723

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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

DAKOTA A LAWRENCE (CRD# 5255723)

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 **01/12/2022**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	BLUESKYE INVESTMENT ADVISERS, LLC	CRD# 161097	06/12/2012

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	GREAT POINT CAPITAL LLC	114203	CHICAGO, IL	09/13/2016 - 01/12/2022
B	MEYERS ASSOCIATES, L.P.	34171	NEW YORK, NY	02/28/2014 - 06/04/2014
IA	STERNE AGEE INVESTMENT ADVISORS, INC.	130888	MELBOURNE, FL	10/27/2010 - 03/19/2012

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
Regulatory Event	1
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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **BLUESKYE INVESTMENT ADVISERS, LLC**

Main Address: 618 E. SOUTH ST
SUITE 500
ORLANDO, FL 32801

Firm ID#: 161097

	Regulator	Registration	Status	Date
	Florida	Investment Adviser Representative	Approved	06/12/2012

Branch Office Locations

BLUESKYE INVESTMENT ADVISERS, LLC

618 E. SOUTH ST
SUITE 500
ORLANDO, FL 32801



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B General Securities Representative Examination (S7)	Series 7	01/16/2007

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	02/15/2007



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	09/13/2016 - 01/12/2022	GREAT POINT CAPITAL LLC	CRD# 114203	CHICAGO, IL
B	02/28/2014 - 06/04/2014	MEYERS ASSOCIATES, L.P.	CRD# 34171	NEW YORK, NY
IA	10/27/2010 - 03/19/2012	STERNE AGEE INVESTMENT ADVISORS, INC.	CRD# 130888	MELBOURNE, FL
B	07/21/2010 - 03/19/2012	STERNE AGEE FINANCIAL SERVICES, INC.	CRD# 18456	MELBOURNE, FL
IA	04/04/2008 - 07/22/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MELBOURNE, FL
B	01/01/2008 - 07/22/2010	WELLS FARGO ADVISORS, LLC	CRD# 19616	MELBOURNE, FL
B	01/17/2007 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. PETERS, MO

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
06/2016 - Present	Great Point Capital, LLC	Registered Representative	Y	Melbourne, FL, United States
08/2012 - Present	BLUESKYE INVESTMENT ADVISERS, LLC	CEO	Y	MELBOURNE, FL, 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.

BLUESKYE INVESTMENT ADVISERS, LLC (INVESTMENT RELATED BUSINESS, 907 E. STRAWBRIDGE AVE., SUITE 101, MELBOURNE, FL. 32901. THIS IS A REGISTERED INVESTMENT ADVISER WITH THE STATE OF FLORIDA. I STARTED IN JULY, 2012 AS THE CHIEF EXECUTIVE OFFICER AND SENIOR PORTFOLIO MANAGER. ADDITIONALLY, I AM A FOUNDING PARTNER. I DEVOTE APPROXIMATELY 120HRS/MONTH TO MY RESPONSIBILITIES AT BLUESKYE, WHICH ALSO INCLUDES MY DUTIES AS PRESIDENT OF BLUESKYE INSURANCE ADVISORS, AN INSURANCE AGENCY, AND PRESIDENT OF BLUESKYNTX, LLC, A SOFTWARE DEVELOPMENT COMPANY. LAUNCHPAD 40 CAPITAL ADVISORS, LLC (INVESTMENT RELATED BUSINESS, STARTED 07/2013), 907 E. STRAWBRIDGE



Registration & Employment History



OTHER BUSINESS ACTIVITIES

AVE., SUITE 101A, MELBOURNE, FL 32901. I PARTICIPATE AS A MANAGER AND HOLD A POSITION ON THE INVESTMENT MANAGEMENT COMMITTEE. LP40 IS A SMALL VENTURE CAPITAL FUND THAT FOCUSES ON SEED STAGE START-UP COMPANIES IN THE TECHNOLOGY SPACE THAT ARE DOMICILED IN BREVARD COUNTY, FL. I COMMIT APPROXIMATELY 4 HRS/MONTH TO RESPONSIBILITIES AT LP40.

SOLID SESSION, LLC (NON-INVESTMENT RELATED, STARTED 03/2012) 907 E. STRAWBRIDGE AVE, SUITE 102, MELBOURNE, FL 32901. I AM THE MANAGER AND CEO OF SOLID SESSION. THIS IS A PROJECT BASED COMPANY AND IS CURRENTLY ENGAGED IN PRODUCING WORK-FLOW MANAGEMENT SOFTWARE FOR THE REAL ESTATE PROPERTY MANAGEMENT INDUSTRY. APPROXIMATELY, 20 HRS./ MONTH IS COMMITTED TO MY RESPONSIBILITIES AT SOLID SESSION.



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
Customer Dispute	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:	Florida Office of Financial Regulation
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	01/25/2016
Docket/Case Number:	59468-S
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	Blueskye Investment Advisers, LLC
Product Type:	No Product
Allegations:	N/A
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:	01/25/2016



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

Monetary Sanction 1 of 1

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

Total Amount: \$3,000.00

Portion Levied against individual: \$3,000.00

Payment Plan: \$1,500 paid on 1/25/2016, \$1,500 paid on 2/24/2016

Is Payment Plan Current: Yes

Date Paid by individual:

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement On January 25, 2016, the Office of Financial Regulation entered a Final Order against Dakota Lawrence for violation of Rules by failing to send clients itemized invoices. Dakota Lawrence agreed to pay an administrative fine of \$3,000 jointly and severally with Blueskye Investment Advisers, LLC.

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Reporting Source: Individual

Regulatory Action Initiated By: Florida Office of Financial Regulation

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

Date Initiated: 01/25/2016

Docket/Case Number: 59468-S

Employing firm when activity occurred which led to the regulatory action: Blueskye Investment Advisers, LLC

Product Type: No Product

Allegations: On January 25, 2016, the Office of Financial Regulation entered a Final Order against Dakota Lawrence for violation of Rules by failing to send clients itemized invoices. Dakota Lawrence agreed to pay an administrative fine of \$3,000 jointly and severally with Blueskye Investment Advisers, LLC.

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: 01/25/2016

Sanctions Ordered: Cease and Desist

**Civil and Administrative Penalty(ies)/Fine(s)****Monetary Sanction 1 of 1**

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$3,000.00
Portion Levied against individual:	\$3,000.00
Payment Plan:	\$1,500 paid on 1/25/2016, \$1,500 paid on 2/24/2016
Is Payment Plan Current:	Yes
Date Paid by individual:	02/24/2016
Was any portion of penalty waived?	No
Amount Waived:	



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:	WACHOVIA SECURITIES, LLC
Allegations:	ALLEGES THAT SHE WASN'T TOLD HER ANNUITY WOULD BE A VOLATILE INVESTMENT. SHE ALSO ALLEGES THAT SHE WAS TOLD IT WOULD BE INVESTED FOR TWO YEARS, NOT SEVEN YEARS AND WAS GUARANTEED A CERTAIN AMOUNT IN MONTHLY INTEREST. DAMAGES ARE ESTIMATED TO BE ABOVE \$5,000.(2007)
Product Type:	Annuity-Variable
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE ESTIMATED TO BE ABOVE \$5,000.
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:	05/20/2008
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/25/2010
Settlement Amount:	
Individual Contribution Amount:	



End of Report

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