



IAPD Report

BRENT EUGENE LINCE

CRD# 5793665

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



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

BRENT EUGENE LINCE (CRD# 5793665)

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 **08/14/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CGN ADVISORS, LLC	CRD# 159359	01/20/2012

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **2** 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	LINCE FINANCIAL PLANNING, LLC	153970	HILLSBORO, OR	05/05/2011 - 01/20/2012

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
Bond	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 **2** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **CGN ADVISORS, LLC**
Main Address: 512 POYNTZ AVE
SUITE 120
MANHATTAN, KS 66502
Firm ID#: 159359

	Regulator	Registration	Status	Date
	Oregon	Investment Adviser Representative	Approved	01/20/2012
	Texas	Investment Adviser Representative	Restricted Approval	01/26/2022

Branch Office Locations

CGN ADVISORS, LLC
HILLSBORO, OR



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

Principal/Supervisory Exams

Exam	Category	Date
------	----------	------

No information reported.

General Industry/Product Exams

Exam	Category	Date
------	----------	------

No information reported.

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA

Uniform Investment Adviser Law Examination (S65)

Series 65

08/28/2010



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported 1 professional designation(s).

Certified Financial Planner

This representative holds or did hold 1 professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	05/05/2011 - 01/20/2012	LINCE FINANCIAL PLANNING, LLC	CRD# 153970	HILLSBORO, OR

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
01/2012 - Present	CGN Advisors, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	HILLSBORO, OR, 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.

Elder; Harvest Community Church; investment related: No; Location: 8215 NE Quatama St Hillsboro OR 97006 United States; Description of the business: Church; Responsibilities Duties: Serve as volunteer member of elder board. In 2021-22 I was the Treasurer, but am no longer in that role for the current year.; Start date with business: 2021-01-01; Hours per month devoted to business during trading hours: 0; Hours per month devoted to business outside trading hours: 8; Percentage of total yearly compensation expected to be derived from the business: 0;



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
Bond	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:	OREGON DEPARTMENT OF CONSUMER AND BUSINESS SERVICES, DIVISION OF FINANCE AND CORPORATE SECURITIES
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Monetary Penalty other than Fines
Date Initiated:	03/31/2011
Docket/Case Number:	S-11-0009
URL for Regulatory Action:	
Employing firm when activity occurred which led to the regulatory action:	TREASURE HEART FINANCIAL COUNSELING AND TREASURE HEART FINANCIAL COACHING.
Product Type:	No Product
Allegations:	UNLICENSED STATE INVESTMENT ADVISER/INVESTMENT ADVISER REPRESENTATIVE ACTIVITY.
Current Status:	Final
Resolution:	Consent
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:	03/31/2011
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: \$500 PAYMENT TO DCBS CONSUMER FINANCIAL EDUCATION ACCOUNT.
Monetary Sanction 1 of 2	
Monetary Related Sanction:	Monetary Penalty other than Fines
Total Amount:	\$500.00
Portion Levied against individual:	\$500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	03/29/2011
Was any portion of penalty waived?	No
Amount Waived:	
Monetary Sanction 2 of 2	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$10,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	\$1000 DOWN PAYM'T ON THE CP DUE AT SIGNING. \$4000 OF THE CP DUE AT NO LESS THAN \$1000 PER MONTH STARTING 5/10/11
Is Payment Plan Current:	Yes
Date Paid by individual:	
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	APPLICANT FOR OREGON STATE IAIAR LICENSES TRANSACTED BUSINESS IN OREGON AS A STATE INVESTMENT ADVISER WITHOUT A LICENSE UNDER THE OREGON SECURITIES LAW AND TRANSACTED BUSINESS IN OREGON AS AN INVESTMENT ADVISER REPRESENTATIVE WITHOUT AN OREGON INVESTMENT ADVISER REPRESENTATIVE LICENSE. THIS CASE RESOLVED BY CONSENT ORDER DATED 3/31/11. SANCTIONS INCLUDE A C & D, CIVIL PENALTY OF \$10,000 (\$5,000 SUSPENDED), AND \$500 PAYMENT TO DCBS CONSUMER FINANCIAL EDUCATION ACCOUNT.
.....	
Reporting Source:	Individual
Regulatory Action Initiated By:	OREGON DIVISION OF FINANCE AND CORPORATE SECURITIES
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	03/31/2011



Docket/Case Number:	S-11-0009
Employing firm when activity occurred which led to the regulatory action:	TREASURE HEART FINANCIAL COACHING
Product Type:	No Product
Allegations:	TRANSACTIONING BUSINESS IN OREGON AS A "STATE INVESTMENT ADVISER", WITHOUT A LICENSE, BY ADVISING ONE CLIENT, FOR COMPENSATION, REGARDING THE ADVISABILITY OF INVESTING IN, PURCHASING OR SELLING SECURITIES. THIS ACTIVITY WAS DISCOVERED DURING THE INVESTMENT ADVISER REGISTRATION PROCESS. THERE HAS BEEN NO RECORD OF CONSUMER COMPLAINTS CONCERNING BRENT LINCE, PRINCIPAL, OR LINCE FINANCIAL PLANNING, LLC.
Current Status:	Final
Resolution:	Consent
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:	03/31/2011
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:	\$10,500.00
Portion Levied against individual:	\$5,500.00
Payment Plan:	1ST PAYMENT OF \$1500 ON 3/31/2011, 4 MONTHLY PAYMENTS OF \$1000 BEGINNING ON 5/10/2011
Is Payment Plan Current:	Yes
Date Paid by individual:	03/31/2011
Was any portion of penalty waived?	Yes
Amount Waived:	\$5,000.00
Broker Statement	<p>IN 2007, MR. LINCE COMPLETED THE DAVE RAMSEY FINANCIAL COACH TRAINING AND IN 2008 ESTABLISHED TREASURE HEART FINANCIAL COACHING ("THFC") TO PROVIDE FINANCIAL COACHING TO INDIVIDUALS. IN 2008, WHILE HE WAS ENROLLED IN THE CERTIFIED FINANCIAL PLANNER? CERTIFICATION PROFESSIONAL EDUCATION PROGRAM, HE STUDIED INVESTMENT PLANNING, INCLUDING THE INVESTMENT ADVISOR ACT OF 1940. HE LEARNED WHAT QUALIFIED A PERSON AS AN INVESTMENT ADVISOR AND THE EXEMPTIONS FOR REGISTRATION.</p> <p>IN MAY 2009, MR. LINCE ENGAGED A CLIENT TO PROVIDE INVESTMENT ADVICE. HE KNEW HE WAS PROVIDING INVESTMENT ADVICE, BUT BELIEVED HE WAS EXEMPT FROM REGISTRATION UNDER A PROVISION IN</p>



THE INVESTMENT ADVISOR ACT OF 1940 WHICH HE HAD STUDIED IN THE CFP® EDUCATIONAL PROGRAM. AT THIS TIME, THFC WAS NOT LICENSED IN OREGON AS A STATE INVESTMENT ADVISER FIRM, AND MR. LINCE WAS NOT LICENSED IN OREGON AS AN INVESTMENT ADVISER REPRESENTATIVE.

MR. LINCE MET ONCE WITH THIS CLIENT AND PROVIDED AN INVESTMENT TEMPERAMENT QUESTIONNAIRE WITH SUGGESTED ALLOCATIONS BETWEEN STOCKS AND BONDS, DEPENDING ON THE RESULTS OF THE QUESTIONNAIRE. HE PROVIDED RECOMMENDATIONS FOR THE ALLOCATION OF FUNDS AMONGST SEVERAL COMMONPLACE STOCK AND BOND MUTUAL FUNDS. THE CLIENT PAID A FLAT FEE OF \$250.

IN 2010, DURING THE PROCESS OF ESTABLISHING LINCE FINANCIAL PLANNING, LLC, MR. LINCE SUBMITTED AN APPLICATION FOR REGISTRATION AS A STATE INVESTMENT ADVISOR FIRM. DURING THE REVIEW PROCESS FOR THIS APPLICATION, HE PROVIDED A LIST OF HIS THFC CLIENTS, DISCLOSING THE CLIENT HE HAD PROVIDED INVESTMENT ADVICE TO. SOON AFTER THIS THE STATE INFORMED HIM THAT HE SHOULD HAVE BEEN REGISTERED AS A STATE INVESTMENT ADVISOR BEFORE PROVIDING ANY INVESTMENT ADVICE FOR A FEE. HE LEARNED THAT THE EXEMPTION FOR REGISTRATION WHICH HE BELIEVED APPLIED TO HIM, DID NOT APPLY TO STATE REGISTERED ADVISORS, WHICH HE WAS. BY PROVIDING INVESTMENT ADVICE WITHOUT A LICENSE, MR. LINCE VIOLATED OREGON SECURITIES STATUTES, WHICH RESULTED IN A CEASE AND DESIST ORDER AND A CIVIL PENALTY.

THERE IS NO RECORD OF CONSUMER COMPLAINTS WITH THE STATE CONCERNING MR. LINCE OR LINCE FINANCIAL PLANNING, LLC.



Bond

This disclosure event involves a bond for the Investment Adviser Representative that has been denied, paid, or revoked by a bonding company.

Disclosure 1 of 1

Reporting Source:	Individual
Policy Holder:	LINCE FINANCIAL PLANNING, LLC
Bonding Company Name:	C.N.A. SURETY
Disposition:	Denied
Disposition Date:	06/10/2010
Broker Statement	<p>I APPLIED FOR A SURETY BOND WITH C.N.A. SURETY. THEY DENIED THE BOND REQUEST, ONLY PROVIDING THE FOLLOWING EXPLANATION:</p> <p>"WE RECEIVED THE INFORMATION YOU SUBMITTED ELECTRONICALLY. THANK YOU FOR THINKING OF C.N.A. SURETY.</p> <p>UNFORTUNATELY, WE CANNOT HELP YOU WITH THIS BOND REQUEST. DUE TO THE UNFAVORABLE CONDITIONS OF THIS BOND, THIS IS A TYPE OF BOND THAT WE GENERALLY HAVE NOT BEEN CONSIDERING IN OREGON." [THE FIRM DOES NOT BELIEVE THIS PAST ENTRY IS REPORTABLE DUE TO THE FACT THAT THE DENIAL OF THE BOND WAS NOT DUE TO UNDERWRITING EXPERIENCE WITH RESPECT TO THE APPLICANT. IT WAS A MATTER OF NOT WRITING COVERAGE INVOLVING AN SOLO PRACTITIONER INVESTMENT ADVISER IN OREGON.]</p>



End of Report

This page is intentionally left blank.