IAPD Report

SAMANTHA JILL LOMPADO

CRD# 5893501

Section Title	Page(s)

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

SAMANTHA JILL LOMPADO (CRD# 5893501)

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 **06/24/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CONSOLIDATED PORTFOLIO REVIEW CORP	CRD# 112694	05/19/2023

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **15** 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	ROYAL ALLIANCE ASSOCIATES, INC.	23131	PENNINGTON , NJ	11/02/2018 - 05/04/2023
IA	ROYAL ALLIANCE ASSOCIATES, INC.	23131	PENNINGTON , NJ	11/02/2018 - 05/04/2023
IA	SIGNATOR INVESTORS, INC.	468	BENSALEM, PA	04/17/2017 - 11/02/2018

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	4

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

Employment 1 of 1

Firm Name: **CONSOLIDATED PORTFOLIO REVIEW CORP**

Main Address: 125 FROEHLICH FARM BLVD.
WOODBURY, NY 11797

Firm ID#: 112694

	Regulator	Registration	Status	Date
IA	Alabama	Investment Adviser Representative	Approved	06/26/2025
IA	California	Investment Adviser Representative	Approved	09/13/2023
IA	Colorado	Investment Adviser Representative	Approved	07/02/2026
IA	District of Columbia	Investment Adviser Representative	Approved	07/12/2023
IA	Georgia	Investment Adviser Representative	Approved	07/21/2023
IA	Illinois	Investment Adviser Representative	Approved	06/23/2023
IA	Iowa	Investment Adviser Representative	Approved	01/21/2025
IA	Maryland	Investment Adviser Representative	Approved	06/26/2023
IA	Massachusetts	Investment Adviser Representative	Approved	04/08/2024
IA	Mississippi	Investment Adviser Representative	Approved	07/03/2023
IA	Missouri	Investment Adviser Representative	Approved	07/09/2026
IA	New Jersey	Investment Adviser Representative	Approved	06/22/2023
IA	New York	Investment Adviser Representative	Approved	06/23/2023

Qualifications

	Regulator	Registration	Status	Date
IA	Pennsylvania	Investment Adviser Representative	Approved	06/23/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	05/19/2023

Branch Office Locations

CONSOLIDATED PORTFOLIO REVIEW CORP
23 Route 31N, Suite A-12
Pennington, NJ 08534

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 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/19/2012

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	08/09/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/12/2013

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	11/02/2018 - 05/04/2023	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	PENNINGTON , NJ
IA	11/02/2018 - 05/04/2023	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	PENNINGTON , NJ
IA	04/17/2017 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	BENSALEM, PA
B	04/13/2017 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	BENSALEM, PA
IA	08/19/2013 - 04/20/2017	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	PRINCETON, NJ
B	11/21/2012 - 04/20/2017	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	PRINCETON, NJ

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	CONSOLIDATED PORTFOLIO REVIEW CORP	Investment Advisor Representative	Y	Woodbury, NY, United States
11/2018 - 05/2023	ROYAL ALLIANCE ASSOCIATES, INC.	Mass Transfer	Y	BENSALEM, PA, United States
04/2017 - 11/2018	SII	REG REP	Y	ALLENTWON, PA, United States
01/2016 - 04/2017	Northwestern Mutual Wealth Management Company	Representative	Y	Milwaukee, WI, United States
08/2013 - 04/2017	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	FINANCIAL ADVISOR	Y	PRINCETON, NJ, United States
09/2012 - 04/2017	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	PRINCETON, NJ, United States
02/2011 - 04/2017	NORTHWESTERN MUTUAL LIFE INSURANCE COMPANY	AGENT	Y	MILWAUKEE, WI, United States

Registration & Employment History

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) Scopo Capital Planning. Investment Related. Start date: 05/19/2023. Address: 23 Route 31 N suite A-12 Pennington New Jersey, 08534. Title: President/Investment Advisor Representative. Duties: Initial and ongoing meetings with clients and prospects regarding managing their securities accounts. Financial planning, portfolio reviews, & service. Time spent during regular hours: 90%.

2) Scopo Capital Planning. Fixed Insurance Sales. Not Investment Related. Start date: 05/20/2023. Address: 23 Route 31 N Pennington New Jersey, 08534. Title: Financial Representative. Duties: In the course of meeting with clients occasionally a need for insurance comes up. I run illustrations, propose products, and if a client would like submit the business. Time spent during regular hours: 10%.

3) The Celebration Mission. Not Investment Related. Start date: 05/19/2023. Address: 103 Kent shire Court Pennington New Jersey, 08534. Title: Founder, Volunteer. Duties: This is a charity I started in April 2023. I will be working to identify homeless & at risk youth (by working with other charities in the central Jersey), and either hosting birthday parties or putting together everything needed for the families to host a party. I will also be responsible for managing the financials and fundraising. Time spent during regular hours: 0%

4) Friends of the Oratory - Volunteer. Not Investment Related. Start date: 05/18/2024. Address: 45 Anderson Street, Raritan NJ, 08869. Title: Board Member. Duties: The Raritan Congregation of the Oratory of St. Philip Neri, an oratory of priests, formed a volunteer board to help develop and support the mission of the Oratory. We will meet approximately 6 times a year and discuss the current issues affecting the oratory and plan for the future. Time spent during regular hours: 0%

5) Fixed Annuity Sales. Not Investment Related. Start date: 05/17/2023. Address: 23 Route 31 N suite A-12 Pennington New Jersey, 08534. Title: Financial Representative. Duties: Sales of fixed and fixed indexed annuities to clients if relevant in the context of a financial plan. Times spent during regular hours: 5%.

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	4

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 4

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	
Date Initiated:	04/28/2023
Docket/Case Number:	0
Employing firm when activity occurred which led to the regulatory action:	ROYAL ALLIANCE ASSOCIATES, INC.
Product Type:	Insurance
Allegations:	Ms. Lompado has been statutorily disqualified by FINRA due to the state of CA issuing a restricted license. This matter is being disputed. The CA, NJ, and PA disclosures all stem from one instance that Ms. Lompado was mislead by the client and had no control over. This should not be a cause for disqualification from associating with a member firm.
Current Status:	Pending

Disclosure 2 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	The Insurance Commissioner of the Commonwealth of Pennsylvania
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)

Date Initiated:	03/17/2023
Docket/Case Number:	CO23-02023
Employing firm when activity occurred which led to the regulatory action:	Royal Alliance Associates
Product Type:	Insurance
Allegations:	I entered into an administrative action with the state of CA in November 2021 that was not disclosed. Additionally the disclosure for the Consent Order in May of 2021 was reported incorrectly, the copy filed did not include the commissioner's signature which leads the state of PA to accuse that I did not disclose the state of NJ consent order. Lastly, when I applied for my PA Insurance license renewal I incorrectly answered "No" to a question that asked "Have you been named or involved as a party in an administrative proceeding, including a FINRA sanction or arbitration proceeding regarding any professional or occupational license or registration, which has not been previously reported to this insurance department?"
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?	Yes
Resolution Date:	03/17/2023
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:	$500.00
Portion Levied against individual:	$500.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	03/16/2023
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	When I realized I answered the online renewal application question incorrectly, I emailed the state of PA to correct the answer. I was unaware that the NJ Order that I reported was not the correct copy, additionally I was unaware that the California order responding to NJ was a reportable event. I am correcting all the filings, there was no intent on my end to deceive the state of Pennsylvania.

Disclosure 3 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	State of California Department of Insurance
Sanction(s) Sought:	Revocation
Date Initiated:	11/30/2021
Docket/Case Number:	OBS 4392-A (AR)
Employing firm when activity occurred which led to the regulatory action:	Royal Alliance Assocaites
Product Type:	Insurance
Allegations:	The state of California's accusation was that I entered into a consent order in May of 2021 with the State of NJ Department of Banking and Insurance. The state of CA because of the NJ Consent Order revoked my CA Insurance License and Issued in the state of CA a restricted insurance license. I agreed to the order as I still had prospective clients in CA at the time and the restricted license allowed me to continue conducting business.
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?	Yes
Resolution Date:	11/30/2021
Sanctions Ordered:	Revocation

Disclosure 4 of 4

Reporting Source:	Individual
Regulatory Action Initiated By:	NJ DOBI & DFD
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	08/09/2021
Docket/Case Number:	1298155-E21
Employing firm when activity occurred which led to the regulatory action:	ROYAL ALLIANCE ASSOCIATES
Product Type:	Insurance
Allegations:	In 2019 I did not witness a signature on two life insurance applications. The paperwork was mailed to the owner's address on record, and the insured did not reside at this address. Through the course of meetings I was misled to believe that the insured resided at the same address as the owner, and that they were aware of the application that was signed.

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?	Yes
Resolution Date:	08/09/2021
Sanctions Ordered:	Other: MONETARY SANCTION ONLY
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$10,500.00
Portion Levied against individual:	$0.00
Payment Plan:	N/A
Is Payment Plan Current:	
Date Paid by individual:	05/11/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	In 2019 I did not witness a signature on two life insurance applications. The paperwork was mailed to the owner's address on record, and the insured did not reside at this address. Through the course of meetings I was misled to believe that the insured resided at the same address as the owner, and that they were aware of the application that was signed.

End of Report

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