



IAPD Report

BENJAMIN CLAYTON FORTE

CRD# 7197231

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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

BENJAMIN CLAYTON FORTE (CRD# 7197231)

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 **05/01/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ADVICE AND PLANNING SERVICES	CRD# 20472	06/09/2023
B	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	06/09/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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	LPL FINANCIAL LLC	6413	ROCHESTER, NY	09/15/2021 - 05/30/2023
B	LPL FINANCIAL LLC	6413	ROCHESTER, NY	12/03/2019 - 05/30/2023
B	ESL INVESTMENT SERVICES, LLC	139176	ROCHESTER, NY	02/19/2020 - 05/19/2023

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?

No



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 7 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**
Main Address: 730 THIRD AVENUE
NEW YORK, NY 10017-3206
Firm ID#: 20472

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	06/09/2023
B	FINRA	Invest. Co and Variable Contracts	Approved	06/09/2023
B	Arizona	Agent	Approved	06/09/2023
B	Florida	Agent	Approved	06/09/2023
B	New Jersey	Agent	Approved	06/09/2023
B	New York	Agent	Approved	06/09/2023
IA	New York	Investment Adviser Representative	Approved	06/09/2023
B	Ohio	Agent	Approved	06/09/2023
B	Pennsylvania	Agent	Approved	06/09/2023
B	Tennessee	Agent	Approved	03/21/2024

Branch Office Locations

ADVICE AND PLANNING SERVICES
35 CELEBRATION DRIVE
ROCHESTER, NY 14620

ADVICE AND PLANNING SERVICES
East Rochester, NY



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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	11/17/2021
B Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	12/03/2019
B Securities Industry Essentials Examination (SIE)	SIE	10/10/2019

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	09/15/2021
B Uniform Securities Agent State Law Examination (S63)	Series 63	12/19/2019



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	09/15/2021 - 05/30/2023	LPL FINANCIAL LLC	CRD# 6413	ROCHESTER, NY
B	12/03/2019 - 05/30/2023	LPL FINANCIAL LLC	CRD# 6413	ROCHESTER, NY
B	02/19/2020 - 05/19/2023	ESL INVESTMENT SERVICES, LLC	CRD# 139176	ROCHESTER, NY

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	TIAA	Wealth Management Advisor	Y	Rochester, NY, United States
05/2023 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	Registered Representative	Y	Rochester, NY, United States
02/2020 - 05/2023	ESL Investment Services, LLC	Registered Representative	Y	Rochester, NY, United States
11/2019 - 05/2023	LPL Financial	Registered Representative	Y	Rochester, NY, United States
11/2018 - 01/2022	ESL Federal Credit Union	Financial Services Representative	N	Rochester, NY, United States
09/2018 - 12/2019	Roberts Wesleyan College	Student	N	Rochester, NY, United States
04/2016 - 11/2018	Salvatore's at Donuts Delite	Server/Cashier	N	Rochester, NY, United States
08/2016 - 05/2018	Elim Bible Institute and College	Student	N	Lima, NY, United States
06/2017 - 08/2017	Deerfoot Lodge	Wilderness Guide and Counselor	N	Speculator, NY, United States
04/2016 - 12/2016	Wendys	Food service	N	Webster, NY, United States
09/2012 - 06/2016	The Charles Finney School	Student	N	Penfield, NY, 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) Name: Residential Rental Property

Position: Owner **Nature:** Residential rental property for investment income. Communicating with tenants, maintaining property (landscaping, plumbing repairs, etc), and administrative tasks. **Investment Related:** Yes **Hours:** 15 **Securities Trading Hours:** 0 **Start Date:** 11/23/2020

Address: Home Address, East Rochester NY 14445, United States

Description: Ownership and maintenance of a residential rental property.

(2) TRINITY COMMUNION CHURCH

POSITION: Trustee **NATURE:** As a religious organization (a church), Trinity Communion Church holds Sunday church services and faith based programs and events. The church has a number of trustees as required by law. **INVESTMENT RELATED:** No **NUMBER OF HOURS:** 1 **SECURITIES TRADING HOURS:** 0 **START DATE:** 12/01/2023

ADDRESS: 759 Winona Blvd, Rochester NY 14617, United States

DESCRIPTION: As trustee, I will be giving input to organizational decisions and reviewing the church budget (no financial control).

(3) ESTATE PLANNING COUNCIL OF ROCHESTER

POSITION: Board Member **NATURE:** This is a professional organization focused on: 1. Collaborative Networking: Engage with professionals from complementary industries, enabling you to broaden your knowledge base, build strategic partnerships, and enhance your service offerings. 2. Professional Development: Access ongoing education and training through seminars, workshops, and conferences designed to keep you at the forefront of estate planning trends and best practices. 3. Thought Leadership: Contribute to and benefit from thought leadership in estate planning, positioning yourself as a specialist in the field. There are no products offered, just educational presentations and networking events. **INVESTMENT RELATED:** Yes **NUMBER OF HOURS:** 3 **SECURITIES TRADING HOURS:** 1 **START DATE:** 05/01/2025

ADDRESS: Not Disclosed (No Address), Rochester NY 14614, United States

DESCRIPTION: As a board member, I would be responsible for contributing to decisions such as taking in new members, overseeing communications to the public, and collaborating with other board members to find ways to provide education and value to members of the council.



End of Report

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