



IAPD Report

DOUGLAS JOEL LEWIS

CRD# 722087

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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

DOUGLAS JOEL LEWIS (CRD# 722087)

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 **01/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	LEWIS FINANCIAL MANAGEMENT, LLC	CRD# 116344	12/31/2001
B	THE STRATEGIC FINANCIAL ALLIANCE, INC.	CRD# 126514	03/15/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **22** 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	H. BECK, INC.	1763	RALEIGH, NC	01/31/1989 - 04/12/2013
B	SOURCE SECURITIES, INC.	8026	RALEIGH, NC	10/28/1983 - 02/08/1989
B	FSC SECURITIES CORPORATION	7461	RALEIGH, NC	10/28/1982 - 11/01/1983

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

Employment 1 of 2

Firm Name: **THE STRATEGIC FINANCIAL ALLIANCE**
Main Address: 2200 CENTURY PARKWAY
SUITE 500
ATLANTA, GA 30345
Firm ID#: 126514

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	03/15/2013
B	FINRA	General Securities Representative	Approved	03/15/2013
B	Arkansas	Agent	Approved	03/15/2013
B	California	Agent	Approved	03/15/2013
B	Colorado	Agent	Approved	09/26/2016
B	Florida	Agent	Approved	04/15/2013
B	Georgia	Agent	Approved	01/02/2014
B	Indiana	Agent	Approved	08/14/2019
B	Kansas	Agent	Approved	03/15/2013
B	Louisiana	Agent	Approved	02/13/2017
B	Maryland	Agent	Approved	07/02/2018
B	Massachusetts	Agent	Approved	05/28/2013
B	Michigan	Agent	Approved	12/26/2017



Qualifications

Regulator	Registration	Status	Date
B Missouri	Agent	Approved	04/04/2013
B New York	Agent	Approved	05/06/2013
B North Carolina	Agent	Approved	03/15/2013
B Ohio	Agent	Approved	01/02/2014
B Oregon	Agent	Approved	01/06/2014
B Pennsylvania	Agent	Approved	03/15/2013
B South Carolina	Agent	Approved	04/17/2013
B South Dakota	Agent	Approved	03/15/2013
B Texas	Agent	Approved	03/15/2013
B Virginia	Agent	Approved	03/15/2013
B Wisconsin	Agent	Approved	01/04/2018

Branch Office Locations

THE STRATEGIC FINANCIAL ALLIANCE

1611 EAST MILLBROOK ROAD
RALEIGH, NC 27609

Employment 2 of 2

Firm Name: **LEWIS FINANCIAL MANAGEMENT, LLC**
Main Address: 1611 EAST MILLBROOK ROAD
RALEIGH, NC 27609
Firm ID#: 116344

Regulator	Registration	Status	Date
IA North Carolina	Investment Adviser Representative	Approved	12/31/2001
IA Texas	Investment Adviser Representative	Restricted Approval	06/19/2009



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

LEWIS FINANCIAL MANAGEMENT, LLC
1611 EAST MILLBROOK ROAD
RALEIGH, NC 27609




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


Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	08/05/1986

General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/17/1981

State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/23/1981

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
B	01/31/1989 - 04/12/2013	H. BECK, INC.	CRD# 1763	RALEIGH, NC
B	10/28/1983 - 02/08/1989	SOURCE SECURITIES, INC.	CRD# 8026	
B	10/28/1982 - 11/01/1983	FSC SECURITIES CORPORATION	CRD# 7461	
B	05/05/1982 - 08/19/1982	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	01/19/1981 - 04/08/1982	BACHE HALSEY STUART SHIELDS INCORPORATED	CRD# 7471	

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
03/2013 - Present	THE STRATEGIC FINANCIAL ALLIANCE, INC.	REGISTERED REPRESENTATIVE	Y	ATLANTA, GA, United States
02/1984 - Present	LEWIS FINANCIAL MANAGEMENT, LLC	INVESTMENT ADVISER REP	Y	RALEIGH, NC, 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.

-1- DOUGLAS J. LEWIS - NOT INVESTMENT RELATED; 1611 EAST MILLBROOK ROAD, RALEIGH NC 27609; LIFE INSURANCE; AGENT; 01/01/1983; 4 HOURS/MONTH, DURING TRADING; LIFE INSURANCE SALES



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: MICHIGAN

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/27/1989

Docket/Case Number: UNKNOWN

Employing firm when activity occurred which led to the regulatory action:

Product Type: No Product

Other Product Type(s):

Allegations: FAILURE TO PAY THE BALANCE OF THE \$30 1989 RENEWAL FEE, IN THE AMOUNT OF \$15.

Current Status: Final

Resolution: Decision

Resolution Date: 12/27/1989

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: DOUGLAS JOEL LEWIS'REGISTRATION WAS REVOKED DUE TO THE FAILURE TO PAY THE BALANCE OF THE \$30 1989 RENEWAL FEE, IN THE AMOUNT OF \$15.



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Reporting Source: Individual

Regulatory Action Initiated By: MICHIGAN

Sanction(s) Sought: Other

Other Sanction(s) Sought: REVOKED

Date Initiated: 12/27/1989

Docket/Case Number:

Employing firm when activity occurred which led to the regulatory action: SOURCES SECURITIES

Product Type: No Product

Other Product Type(s):

Allegations: THE RENEWAL FEE FOR THE STATE OF MICHIGAN WAS \$15 PAID BY MY BROKER/DEALER (SOURCE SECURITIES) EVERY YEAR ON MY BEHALF. MICHIGAN SENT TO SOURCE SECURITIES BILLINGS FOR THE 1989 RENEWAL FEES FOR \$15 SOMETIME IN LATE 1988, I BELIEVE. SOURCE SECURITIES PAID THIS FEE. LATER MICHIGAN INCREASED THEIR 1989 FEES TO \$30 AND SENT A SECOND BILL TO SOURCE SECURITIES FOR THE ADDITIONAL \$15. AT THIS TIME SOURCE SECURITIES WAS GOING OUT OF BUSINESS. I WAS IN THE PROCESS OF CHANGING BROKER/DEALERS, SOURCE SECURITIES NEVER NOTIFIED ME OF THIS SECOND BILLING SINCE THEY HAD VIRTUALLY CLOSED THEIR ADMINISTRATIVE AND COMMUNICATION DEPARTMENTS IN JANUARY 1989. AFTER TRANSFERRING MY BROKER/DEALER AFFILIATION TO H.BECK, INC. ON JANUARY 31, 1989, H.BECK SENT IN THE "TRANSFER FEES" TO MICHIGAN ON MY BEHALF. MICHIGAN TRANSFERRED MY REGISTRATION TO H. BECK, INC. WITH NO MENTION THAT THERE WAS AN OUTSTANDING \$15 OWED FOR RENEWAL FEES

Current Status: Final

Resolution: Decision

Resolution Date: 12/27/1989

Sanctions Ordered: Revocation/Expulsion/Denial

Other Sanctions Ordered:

Sanction Details: N/A.

Broker Statement I RECEIVED A LETTER FROM MICHIGAN NOTIFYING ME THAT AN ORDER OF REVOCATION HAD BEEN ENTERED AGAINST ME AND I NO LONGER HAD A MICHIGAN SECURITIES LICENSE. I CALLED H. BECK BECAUSE I THOUGHT I HAD TERMINATED THIS REGISTRATION VOLUNTARILY. I ASKED H. BECK, INC., HOW I COULD HAVE MY LICENSE REVOKED AND THEY FELT THERE WAS SOME MISTAKE BECAUSE THEY HAD SENT IN THE U-5 REQUESTING VOLUNTARY TERMINATION. ON A CONFERENCE PHONE CALL WITH H. BECK, THE STATE OF MICHIGAN AND MY SELF, WE DISCOVERED THAT MICHIGAN HAD SENT BILLS FOR THE OUTSTANDING \$ 15 TO MY HOME DURING THE SPRING OR SUMMER OF 1989 SINCE SOURCE SECURITIES WAS OUT OF BUSINESS. I MUST HAVE OVERLOOKED THE MISLAID THE NOTIFICATION BECAUSE I DO NOT REMEMBER RECEIVING THEM. IT WAS



POSSIBLE MY WIFE RECEIVED THEM AND OVER LOOKED TELLING ME. BOTH H. BECK AND I REQUESTED THAT I BE ALLOWED TO SEND IN THE OUTSTANDING \$15 AND LET THE VOLUNTARY TERMINATION STAND INSTEAD OF THE REVOKED REGISTRATION. I EXPLAINED THAT I DID NOT WANT TO HAVE TO SHOW A DISCIPLINARY ACTION OR VIOLATION ON MY U-4 (NASD) AND FORM ADV (SEC) OVER A \$15 OVERSIGHT. I WAS UNABLE TO GET ANY SATISFACTION.



End of Report

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