

## Stephen R. Allen - ADV 2B Supplement

They will need to list their designations along with the year received and whether or not they are in good standing. If any of them have outside activities, financial disclosures or disciplinary actions that will require Q&A

- **Full Name**      **Stephen R Allen**
- **Year of Birth**   **1952**
- **Official Title**   **Investment Advisor Representative**
- **Education**      **Morehead State University – 1976 – BS Accounting**
- **For your PFS**    **2009 - in good standing**
- **For your CFP-(year earned; are you in good standing?)** **N/A**
- **For your ChFC-(year earned; are you in good standing?)** **N/A**
- **For your CLU-(year earned; are you in good standing?)** **N/A**
- **Employment history for the past 5 years starting with current position**  
**Reitz & Allen, CPAs, PLLC, Partner – 3320 Tates Creek Rd Ste 102, Lexington, KY 40502**  
**12/1/2014 to present**  
**Ray, Foley, Hensley & Company, PLLC – Partner in a CPA firm – 230 Lexington Green Circle,**  
**Ste 600, Lexington, KY 40503 – 12/1/2007 to 11/30/2014**
- **Provide details if any of the answers to the following disciplinary questions is YES; if all answers are NO, please feel free to state that**

**All answers are NO**

### Disciplinary Information

Criminal or Civil action in a domestic, foreign or military court

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	been convicted of, or pled guilty or nolo contendere ("no contest") to: (a) any felony; (b) a misdemeanor, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses?
Yes	No	is the named subject of a pending criminal proceeding that involves fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or a conspiracy to commit any of these offenses?
Yes	No	was found to have been involved in a violation of an investment-related statute or regulation?
Yes	No	was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule or order?

Administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	was found to have caused an investment-related business to lose its authorization to do business?
Yes	No	was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or

		authority (1) denying, suspending or revoking the authority of the supervised person to act in an investment-related business?
Yes	No	(2) barring or suspending the supervised person's association with an investment-related business?
Yes	No	(3) otherwise significantly limiting the supervised person's investment-related activities?
Yes	No	(4) imposing a civil money penalty of more than \$2,500 on the supervised person?

#### Self-regulatory organization ("SRO") proceeding

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	was found to have caused an investment-related business to lose its authorization to do business?
Yes	No	was found to have been involved in a violation of the SRO's rules and was (1) barred or suspended from membership or from association with other members, or was expelled from membership?
Yes	No	(2) was otherwise significantly limited from investment-related activities?
Yes	No	(3) was fined more than \$2,500?

#### Disciplinary Information

Criminal or Civil action in a domestic, foreign or military court

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	been convicted of, or pled guilty or nolo contendere ("no contest") to: (a) any felony; (b) a misdemeanor, fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or (c) a conspiracy to commit any of these offenses?
Yes	No	is the named subject of a pending criminal proceeding that involves fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, or extortion; or a conspiracy to commit any of these offenses?
Yes	No	was found to have been involved in a violation of an investment-related statute or regulation?
Yes	No	was the subject of any order, judgment, or decree permanently or temporarily enjoining, or otherwise limiting the supervised person from engaging in any investment-related activity, or from violating any investment-related statute, rule or order?

Administrative proceeding before the SEC, any other federal regulatory agency, any state regulatory agency, or any foreign financial regulatory authority

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	was found to have caused an investment-related business to lose its authorization to do business?
Yes	No	was found to have been involved in a violation of an investment-related statute or regulation and was the subject of an order by the agency or authority (1) denying, suspending or revoking the authority of the supervised person to act in an investment-related business?
Yes	No	(2) barring or suspending the supervised person's association with an investment-related business?

Yes	No	(3) otherwise significantly limiting the supervised person's investment-related activities?
Yes	No	(4) imposing a civil money penalty of more than \$2,500 on the supervised person?

Self-regulatory organization ("SRO") proceeding

Instruction: In connection with investments or an investment related business, has this supervised person of your firm:

Yes	No	was found to have caused an investment-related business to lose its authorization to do business?
Yes	No	was found to have been involved in a violation of the SRO's rules and was (1) barred or suspended from membership or from association with other members, or was expelled from membership?
Yes	No	(2) was otherwise significantly limited from investment-related activities?
Yes	No	(3) was fined more than \$2,500?

**Additional Disciplinary Information**

Other Proceeding(s)

Yes	No	Was the supervised person subject to any other proceeding in which a professional attainment, designation or license was revoked or suspended because of a violation of rules relating to professional conduct?
Yes	No	Did the supervised person resign or otherwise relinquish his/her attainment, designation or license in anticipation of such proceeding (and the firm knows, or should have known, of such resignation or relinquishment)?

State Information *(Complete only if your firm is State Registered. Do not complete if your firm is SEC Registered)*

Yes	No	Has the supervised person been involved in an arbitration claim alleging damages in excess of \$2,500 that resulted in an award or finding of liability, involving one of the following: <ul style="list-style-type: none"> <li>• An investment or an investment-related business or activity;</li> <li>• Fraud, false statement(s), or omissions;</li> <li>• Theft, embezzlement, or other wrongful taking of property;</li> <li>• Bribery, forgery, counterfeiting, or extortion; or</li> <li>• Dishonest, unfair or unethical practices?</li> </ul>
Yes	No	Has the supervised person been involved in a civil, self-regulatory organization, or administrative proceeding that resulted in an award or finding of liability, involving one of the following: <ul style="list-style-type: none"> <li>• An investment or an investment-related business or activity;</li> <li>• Fraud, false statement(s), or omissions;</li> <li>• Theft, embezzlement, or other wrongful taking of property;</li> <li>• Bribery, forgery, counterfeiting, or extortion; or</li> <li>• Dishonest, unfair or unethical practices?</li> </ul>
Yes	No	Has the supervised person been the subject of a bankruptcy petition?

- **Regarding outside activities: please review the following questions. If any of the answers below are YES, I will need to collect further details. If all answers are NO, please just feel free to state that**
- Is the supervised person separately engaged in an investment-related business as a(n):
  - Yes No registered rep of a broker-dealer?
  - Yes No other investment adviser or financial planner?
  - Yes No futures commission merchant, commodity pool operator or commodity trading advisor?
  - Yes No insurance company or agency?
  - Yes No pension consultant?
  - Yes No banking or thrift institution?
  - Yes No real estate broker or dealer?
  - Yes No other investment-related business?
  - Yes No Is the supervised person engaged in any other business activity that contributes 10% or more of his or her income or involves 10% or more of his or her time?
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- Yes No Does the supervised person receive commissions, bonuses or other compensation based on the sale of securities or other investment products?
- Yes No Does the supervised person receive any economic benefit from a non-advisory client for the provision of advisory services?
- Describe:
- **How are you supervised and by whom?**

**Supervised by Justin B. Whelan III, President & COO, 317-913-7000**

**When you get a chance to look at the info and respond with answers, I'll start drafting the supplement. Thanks!**