December 11, 2019

Blair E Olsen

PO 5521

Carefree, AZ 85377

3-14

RECEIVED

DEC 17 2019

OFFICE OF THE SECRETARY

an

Office of the Secretary

US Securities and Exchange Commission

100 F Street, NE

Mail stop 1090

Washington, DC 20549

To whom it may concern;

Notice is hereby given of appeal of finra ruling 2018058798801, of which I received notification on 11/29/2019. Notification of hearing etc should be sent to the appellant at the above listed address.

Regards,

B E Olsen



Page 1 of 18

# **Notice**

**CRD® or IARD(TM) Information:** This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform broker-dealer and agent registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information.

FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA).

FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators.

**Reportable Information:** Information that is required to be reported on the current version of the uniform registration forms.

**Non-Reportable Information:** Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

Page 2 of 18

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Details for Request#:	23794543
Report:	Snapshot - Individual
Requested By:	MAC

Parameter Name	<u>Value</u>
Request by CRD# or SSN:	CRD#
Individual CRD# or SSN	1545765
Include Personal Information?	Yes
Include All Registrations with Employments:	Both Current and Previous Employments
Include All Registrations for Current and/or Previous Employments with:	All Regulators
Include Professional Designations?	Yes
Include Employment History?	Yes
Include Other Business?	Yes
Include Exam Information?	Yes
Include Continuing Education Information? (CRD Only)	Yes
Include Filing History? (CRD Only)	Yes
Include Current Reportable Disclosure Information?	Yes
Include Regulator Archive and Z Record Information? (CRD Only)	Yes

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Request Submitted. 12/19/2019 0	1.41.33 AW	
Individual 1545765 - OLSEN, BL	AIR EDWARDS	
Administrative Information Composite Information		
Full Legal Name	OLSEN, BLAIR EDWARDS	
State of Residence	AZ	
Active Employments	< <no active="" current="" employments="" for<="" td=""><td>und for this Individual.&gt;&gt;</td></no>	und for this Individual.>>
Reportable Disclosures?	Yes	
Statutory Disqualification?	SDRQRSRVW	
<b>Registered With Multiple Firms?</b>	No	
Material Difference in Disclosure?	No	
Personal Information		
Individual CRD# 1545	765	
Other Names Known By OLS	EN, BLAIR EDWARD	
Year of Birth 1961		
Registrations with Current Employ	er(s)	
< <no current="" em<="" registrations="" td="" with=""><td>ployer(s) found for this Individual.&gt;&gt;</td><td></td></no>	ployer(s) found for this Individual.>>	
Registrations with Previous Emplo	yer(s)	
From 01/03/2017 To 07/17/201 Reason for Termination Discha	9 LINCOLN INVESTMENT(519) rged	
Termination CommentFailureRegulatorRegistrationCategorAZAGCORAFINRAIRNDAG	y Status Date Reg 07/18/2019 TEF 07/18/2019 T_N 07/18/2019 TEF	Juant to FINRA rule 8210 by stated deadline.Jistration StatusApproval DateRMED01/03/2017IOREG01/03/2017RMED01/03/2017RMED01/03/2017
	9 LEGEND ADVISORY, LLC(104761	
RegulatorRegistration CategorAZRA	to provide information requested pursu y Status Date Reg 07/26/2019 TEF	iant to FINRA rule 8210 by stated deadline.istration StatusApproval DateMED08/17/2011
From 04/21/2004 To 01/03/201	7 LEGEND EQUITIES CORPORATIO	<u>มม(วกลลล)</u>

Reason for TerminationVoluntaryTermination CommentMASS TRANSFER = 45251994RegulatorRegistration CategoryStatus Date

Regula	ator Regis	trati	on Category	Status Date	<b>Registration Status</b>	Approval Date
AZ	AG			01/03/2017	MASS_TRNSF	04/22/2004
FINRA	IR			01/03/2017	MASS_TRNSF	04/22/2004
ND	AG			01/03/2017	MASS_TRNSF	07/24/2009
From	01/01/1994	То	03/26/2004	LEGEND EQUITIES CO	DRPORATION(30999)	

Reason for Termination Other

Termination Comment FAILS TO RESPOND TIMELY TO INQUIRIES MADE BY HOME OFFICE/REP HAS

CRD® or IARD(TM) Sy	em Current As Of:	12/18/2019
Snapshot - Individual		
CRD® or IARD(TM) Sy	em Report provided to:	MEMBERREG
<b>Request Submitted:</b>	2/19/2019 8:41:33 AM	

Page 4 of 18

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### Individual 1545765 - OLSEN, BLAIR EDWARDS

### Administrative Information

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Registration	s with Previous Employer(s)							
	BUSINESS I BROKER/DE ALLEGIENC	NTERESTS WITH OUR F ALER) DUE TO THIS FAC E MAYBE STRONGER W	ATED REP WHO HAS INDICATE IRM (A DESIRE TO MOVE TO A CT THE FIRM FEELS THAT THI ITH THE OTHER TERMINATED CONFLICT OF INTEREST WITH	NOTHER S RR'S REP THAN WITH				
Regulator	Registration Category	Status Date	<b>Registration Status</b>	Approval Date				
AZ	AG	03/29/2004	TERMED	01/01/1994				
СО	AG	08/08/2001	TERMED	03/21/1999				
FINRA	IR	03/29/2004	TERMED	01/01/1994				
ТХ	AG	08/08/2001	TERMED	01/17/2001				
Reason for	From 04/01/1990 To 01/01/1994 LEGEND CAPITAL CORPORATION(4149) Reason for Termination Administrative Termination Termination Comment Administrative Termination							
Regulator	<b>Registration Category</b>	Status Date	<b>Registration Status</b>	Approval Date				
AZ	AG	01/01/1994	TERMED	04/30/1990				
FINRA	IR	01/01/1994	TERMED	04/16/1990				
From 07/29/1986 To 04/01/1990 THE VARIABLE ANNUITY MARKETING COMPANY(5081) Reason for Termination Voluntary Termination Comment								
<b>Regulator</b> FINRA	Registration Category	<b>Status Date</b> 05/04/1990 <sup>,</sup>	<b>Registration Status</b> TERMED	Approval Date 11/13/1986				

### Individual 1545765 - OLSEN, BLAIR EDWARDS

### Administrative Information Professional Designations

<<No Professional Designations found for this Individual.>>

### **Employment History** Name LINCOLN INVESTMENT From 01/2017 То Present Location CAREFREE, AZ, United States Position Mass Transfer Investment Related Yes LEGEND EQUITIES CORPORATION From 04/2004 То Present Name Location PALM BEACH GARDENS, FL, United States Position REGISTERED REPRESENTATIVE Investment Related Yes From 01/1994 03/2004 Name LEGEND EQUITIES CORPORATION To Location PALM BEACH GARDENS, FL, United States Position **OTHER - REPRESENTATIVE Investment Related** Yes From 04/1990 То 01/1994 Name LEGEND CAPITAL CORPORATION Location PALM BEACH GARDENS, FL, United States Position NOT PROVIDED Investment Related Yes 04/1990 From 07/1986 То Name THE VARIABLE ANNUITY MARKETING COMPANY Location LAKEWOOD, CO, United States Position NOT PROVIDED **Investment Related** Yes

### Office of Employment History

Name LINCOLN INVESTMENT(519)

### Independent Contractor Yes

### Office of Employment Address

	CRD Branch#	Branch Code#	Firm Billing Code	0	Private Residence?			Type of Office
	652323			Yes	Yes	01/03/2017	07/17/2019	Located At
		Address						
		CA	AREFREE, AZ 8537	7-5521 United	States			
From	08/2011	То	07/2019					
Name	LEGEN	DADVISOR	Y, LLC(104761)					

Page 6 of 18

### Individual 1545765 - OLSEN, BLAIR EDWARDS

### Administrative Information Office of Employment History Independent Contractor Yes

### Office of Employment Address

	CRD Branch#	Branch Code#		Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
					No	Yes	08/04/2011	07/17/2019	Located At
		Address							
			Caref	ree, AZ 85377 U	Inited States				
	IA Main				Yes	No	08/04/2011	07/17/2019	Supervised From
		Address	4600	EAST PARK DRI	VE, SUITE 300				
			PALM	I BEACH GARDE	NS, FL 33410-	4258 United St	ates		
From	04/2004	т	o 01	/2017					

### Name LEGEND EQUITIES CORPORATION(30999)

**Office of Employment Address** 

### Independent Contractor Yes

### CRD Branch Firm Billing **Registered Private** Address Address Type of Branch# Code# Code Location? **Residence? Start Date End Date** Office 411049 Yes 06/26/2009 01/03/2017 Located At Yes Address CAREFREE, AZ 85377-5521 United States 396507 Yes No 05/14/2009 06/25/2009 Supervised From Address 2315 E. SPEEDWAY BLVD TUCSON, AZ 85719 United States 05/14/2009 06/25/2009 Located At No Yes P.O. BOX 2800-160 Address CAREFREE, AZ 85377 United States 04/22/2004 05/14/2009 Supervised From 179336 Yes No Address 655 N. ALVERNON WAY, SUITE 208 TUCSON, AZ 85711 United States 07/30/2007 08/02/2007 Located At 340339 Yes No Address 2315 E. SPEEDWAY BLVD. TUCSON, AZ 85719 United States Yes 04/21/2004 11/18/2005 Located At No Address P.O. BOX 1987 CAVE CREEK, AZ 85331-1987 United States From 01/1994 To 03/2004 LEGEND EQUITIES CORPORATION(30999) Name Independent Contractor No **Office of Employment Address Firm Billing** CRD **Branch Registered** Private Address Address Type of **Residence? Start Date End Date** Office Code Location? Code# Branch#

Snap CRD@	or IARD(TI shot - Indivi ℗or IARD(T est Submitt	idual M) System Rep	Current As Of port provided to 19 8:41:33 AM					Page 7 of 18
Indivi			BLAIR EDWAF	RDS				
	nistrative In							
Office	e of Employ	ment History						
	Office of Er	mployment Ad	dress	N	NI-	01/01/1001	02/20/2004	
			W. FOUNTAINHE PE, AZ 85282 Un		Νο ΓΕ. 490	01/01/1994	03/26/2004	Localed Al
From	04/1990	To 01	1/1994					
Name	LEGEN	D CAPITAL CO	RPORATION(4	149)				
Indep	endent Con	tractor No						
	Office of Er	mployment Ad	dress					
	CRD Branch#	Branch Code#	Firm Billing Code	Registered Location?	Private Residence?	Address Start Date	Address End Date	Type of Office
			RCA BLVDSUIT I BEACH GARDE		No United States	04/01/1990	01/01/1994	Located At
From	07/1986	To 04	/1990					
Name								
		RIABLE ANNUI	ITY MARKETIN	G COMPANY	(5081)			
	endent Con		ITY MARKETIN	G COMPANY	(5081)			
Indep	endent Con			G COMPANY	(5081)			
Indep	endent Con	tractor No		G COMPANY Registered Location?		Address Start Date	Address End Date	Type of Office
Indep	endent Con Office of Er CRD	tractor No nployment Ad Branch	dress Firm Billing	Registered	Private		End Date	Office
Indep	endent Con Office of Er CRD	tractor No nployment Ad Branch Code# Address 390 U	dress Firm Billing	Registered Location?	Private Residence?	Start Date	End Date	Office
Other VARIC POSII TRAD ADDR	endent Con Office of Er CRD Branch# Business DUS LIVE MI TON: musici ING HOURS	tractor No nployment Ad Branch Code# Address 390 U LAKE USIC ESTABLIS an NATURE: m S: 0 START DAT s, Phoenix AZ 8	dress Firm Billing Code NION BLVD #600 WOOD, CO 8022 SHMENTS usician INVEST	Registered Location? No 28 United State	Private Residence? No	Start Date 07/29/1986	End Date 04/01/1990	Office Located At
Other VARIC POSIT TRAD DESC SNYD POSIT conset DATE ADDR	endent Con Office of Er CRD Branch# Business DUS LIVE MI TON: musici ING HOURS ESS: variou: RIPTION: M ER SOLUTIO TON: Preside rvation INVE 11/16/2018 ESS: PO 55	tractor No nployment Ad Branch Code# Address 390 U LAKE USIC ESTABLIS an NATURE: m S: 0 START DAT s, Phoenix AZ 8 usician ONS ANIMAL R ent of Board of STMENT RELA 21, Carefree AZ	dress Firm Billing Code NION BLVD #600 WOOD, CO 8022 SHMENTS usician INVEST FE: 01/01/2007	Registered Location? No 8 United State MENT RELA ates SERVATION RE: Nonprofit BER OF HOU States	Private Residence? No es TED: No NUM GROUP animal rescue RS: 30 SECUE	Start Date 07/29/1986 BER OF HO	End Date 04/01/1990 URS: 6 SEC & environm	Office Located At
Other VARIC POSIT TRAD DESC SNYD POSIT conse DATE ADDR DESC	endent Con Office of Er CRD Branch# Business DUS LIVE MI TON: musici ING HOURS ESS: variou: RIPTION: M ER SOLUTIO TON: Preside rvation INVE 11/16/2018 ESS: PO 55	tractor No nployment Ad Branch Code# Address 390 U LAKE USIC ESTABLIS an NATURE: m S: 0 START DAT s, Phoenix AZ 8 usician ONS ANIMAL R ent of Board of STMENT RELA 21, Carefree AZ reside over boar	dress Firm Billing Code NION BLVD #600 WOOD, CO 8022 SHMENTS usician INVEST FE: 01/01/2007 5260, United St RESCUE & CON Directors NATU ATED: No NUME	Registered Location? No 8 United State MENT RELA ates SERVATION RE: Nonprofit BER OF HOU States	Private Residence? No es TED: No NUM GROUP animal rescue RS: 30 SECUE	Start Date 07/29/1986 BER OF HO	End Date 04/01/1990 URS: 6 SEC & environm	Office Located At
Other VARIC POSIT TRAD ADDR DESC SNYD POSIT consei DATE ADDR DESC Exam	endent Con Office of Er CRD Branch# Business DUS LIVE MI TON: musici ING HOURS ESS: variou: RIPTION: M ER SOLUTION: M ER SOLUTION: Preside rvation INVE 11/16/2018 ESS: PO 55 RIPTION: Pr Appointment	tractor No nployment Ad Branch Code# Address 390 U LAKE <sup>1</sup> USIC ESTABLIS an NATURE: m S: 0 START DAT S; Phoenix AZ 8 usician ONS ANIMAL R ent of Board of STMENT RELA 21, Carefree AZ reside over boar nts	dress Firm Billing Code NION BLVD #600 WOOD, CO 8022 SHMENTS usician INVEST FE: 01/01/2007 5260, United St RESCUE & CON Directors NATU ATED: No NUME	Registered Location? No 28 United State MENT RELA ates SERVATION RE: Nonprofit BER OF HOU States illitate rescue	Private Residence? No es TED: No NUM GROUP animal rescue RS: 30 SECUE	Start Date 07/29/1986 BER OF HO	End Date 04/01/1990 URS: 6 SEC & environm	Office Located At

### Individual 1545765 - OLSEN, BLAIR EDWARDS

# Administrative Information

**Exam History** 

Exam	Enrollment ID	Exam Status	Status Date	Exam Date	Grade	Score	Window Dates	Exam Validity
SIE	37009212	Credit	10/01/2018				-	Valid until 07/17/2023
S6	18858985	Official Result	11/12/1986	11/12/1986	Passed		-	Valid until 07/17/2021
S63	18858986	Official Result	04/23/1990	04/23/1990	Passed		-	Valid until 07/17/2021
S65	18858988	Official Result	07/29/2011	07/28/2011	Passed		07/10/2011- 11/07/2011	Valid until 07/26/2021

## **CE Regulatory Element Status**

Current CE Status SATISFIED CE Base Date 11/13/1986

**CE Appointments** 

<<No CE Appointments found for this Individual.>>

### **Current CE**

<<No Current CE found for this Individual.>>

Next CE			
Window Dates	Enrollment ID	Requirement Type	Session
11/13/2021-03/12/2022	37882898	Anniversary	101
11/13/2021-03/12/2022	37882898	Anniversary	106

### **CE Directed Sequence History**

<<No CE Directed Sequence History found for this Individual.>>

### **Inactive CE History Dates**

<<No Inactive CE History Dates found for this Individual.>>

Previous CE Requi	rement Statu	s				
Requirement Type	Enrollment ID	Session	Status	Status Date	Window Dates	Result
Anniversary	35313542	106			11/13/2018- 03/12/2019	
Anniversary	35313542	106	SATISFIED	03/04/2019	11/13/2018- 03/12/2019	03/04/2019 - CMPLT
Anniversary	35313542	106	REQUIRED	11/13/2018	11/13/2018- 03/12/2019	
Anniversary	33719088	106			11/13/2015- 03/11/2016	
Anniversary	33719088	106	SATISFIED	02/24/2016	11/13/2015- 03/11/2016	02/24/2016 - CMPLT
Anniversary	33719088	106	REQUIRED	11/13/2015	11/13/2015- 03/11/2016	
Anniversary	32785657	106	SATISFIED	02/14/2013	11/13/2012-	02/14/2013 - CMPLT

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Page 8 of 18

### Individual 1545765 - OLSEN, BLAIR EDWARDS

Administrative Info Previous CE Requir		s				
Requirement Type	Enrollment ID	Session	Status	Status Date	Dates	1
Anniversary	32785657	106	REQUIRED	11/13/2012	03/12/2013 11/13/2012- 03/12/2013	
Anniversary	31845362	106	SATISFIED	02/22/2010	11/13/2009- 03/12/2010	(
Anniversary	31845362	106	REQUIRED	11/13/2009	11/13/2009- 03/12/2010	

,					03/12/2010	
Anniversary	31845362	106	REQUIRED	11/13/2009	11/13/2009- 03/12/2010	
Anniversary	30829446	106	SATISFIED	02/27/2007	11/13/2006- 03/12/2007	02/27/2007 - CMPLT
Anniversary	30829446	106	REQUIRED	11/13/2006	11/13/2006- 03/12/2007	
Anniversary	28111004	101		03/04/1997	11/13/1996- 03/12/1997	03/04/1997 - CMPLT
Anniversary	28111004	101	GRADUATED	03/04/1997	11/13/1996- 03/12/1997	
Anniversary	27681109	101			11/13/1991- 03/11/1992	
Anniversary	27504518	101			11/13/1988- 03/12/1989	

### Filing History

Date	Туре	Submitted by
11/20/2019	U6 CRD Individual	FINRA
08/20/2019	U6 CRD Individual	FINRA
08/02/2019	U5 Amendment	LINCOLN INVESTMENT (519)
07/26/2019	U5 Full	LEGEND ADVISORY, LLC (104761)
07/18/2019	U5 Full	LINCOLN INVESTMENT (519)
06/06/2019	U4 Amendment	LINCOLN INVESTMENT (519)
05/20/2019	U4 Amendment	LINCOLN INVESTMENT (519)
04/05/2019	U4 Amendment	LINCOLN INVESTMENT (519)
01/14/2019	U4 Amendment	LINCOLN INVESTMENT (519)
12/26/2018	U4 Amendment	LINCOLN INVESTMENT (519)
07/03/2018	U4 Amendment	LINCOLN INVESTMENT (519)
05/17/2018	U4 Amendment	LINCOLN INVESTMENT (519)
04/10/2017	U4 Amendment	LINCOLN INVESTMENT (519)
01/03/2017	Mass Transfer	LEGEND EQUITIES CORPORATION (30999)
01/03/2017	Mass Transfer	LINCOLN INVESTMENT (519)
07/29/2016	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
06/30/2016	BR Filing	LEGEND EQUITIES CORPORATION (30999)
08/08/2012	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
01/19/2012	BR Filing	LEGEND EQUITIES CORPORATION (30999)
01/18/2012	BR Filing	LEGEND EQUITIES CORPORATION (30999)
08/04/2011	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Page 9 of 18

02/22/2010 - CMPLT

Result

### Individual 1545765 - OLSEN, BLAIR EDWARDS

### Administrative Information Filing History

Date	Туре	Submitted by
06/13/2011	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
02/14/2011	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
08/27/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
07/24/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
06/26/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
06/26/2009	BR Filing	LEGEND EQUITIES CORPORATION (30999)
06/01/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
05/29/2009	U4 Willful Questions Update	LEGEND EQUITIES CORPORATION (30999)
05/14/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
02/24/2009	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
12/12/2008	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
10/03/2008	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
01/18/2008	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
08/02/2007	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
07/30/2007	BR Filing	LEGEND EQUITIES CORPORATION (30999)
08/23/2006	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
11/18/2005	U4 Individual Branch Link	LEGEND EQUITIES CORPORATION (30999)
04/23/2004	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
04/22/2004	U4 Relicense All	LEGEND EQUITIES CORPORATION (30999)
03/29/2004	U5 Full	LEGEND EQUITIES CORPORATION (30999)
02/17/2004	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
08/08/2001	U5 Partial	LEGEND EQUITIES CORPORATION (30999)
01/17/2001	U4 Amendment	LEGEND EQUITIES CORPORATION (30999)
07/05/1999	U4 Conversion	LEGEND EQUITIES CORPORATION (30999)
07/05/1999	U5 Conversion	LEGEND CAPITAL CORPORATION (4149)
07/05/1999	U4 Conversion	LEGEND CAPITAL CORPORATION (4149)
07/05/1999	U5 Conversion	THE VARIABLE ANNUITY MARKETING COMPANY (5081)
07/05/1999	U4 Conversion	THE VARIABLE ANNUITY MARKETING COMPANY (5081)

Page 10 of 18

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CRD® or IARD(TM) System Current As Of: 12/18/2019 Snapshot - Individual CRD® or IARD(TM) System Report provided to: MEMBERREG Page 11 of 18 12/19/2019 8:41:33 AM Request Submitted: Individual 1545765 - OLSEN, BLAIR EDWARDS **Reportable Events** Number of Reportable Events Bankruptcy 0 Bond 0 **Civil Judicial** 0 Criminal 1 **Customer Complaint** 0 Internal Review 0 0 Investigation 1 Judgment/Lien 1 **Regulatory Action** Termination 1 Disclosure Type Criminal Occurrence# 1979299 **FINRA Public Disclosable** Yes Reportable Yes Material Difference in Disclosure No Filing ID 51838697 Form (Form Version) U4 (05/2009) **Filing Date** 06/06/2019 Source **519 - LINCOLN INVESTMENT Disclosure Questions Answered** 14A(1)(b)Criminal DRP DRP Version 05/2009 1. Organization: A. Organization name: B. Investment-related business: No C. Position: 2. Formal action was brought in: State Court Maricopa County Superior COurt A. Name of court: B. Location of court: Maricopa County C. Docket/Case#: S-0700-CR-2018001319 3. Event status: A. Current status: Pending B. Event status date/Explanation: Case Calendar: 3/20/2018 20:00 Initial Appearance 3/27/2018 8:30 Original Arraignment Hearing 5/8/2018 8:15 Initial Pretrial Conference Comprehensive PreTrial Conference 6/5/2018 8:31 7/5/2018 8:30 Comprehensive PreTrial Conference 8/16/2018 8:30 Pre-Trial Conference 8/23/2018 8:00 Trial 09/12/2018 Conference Reset/Cont - 10/18/2018 - Pretrial reset - 11/01/2018 -Pretrial reset - 11/30/2018 - Pretrial reset - 12/19/2018 - Continuance past the last day - 01/07/2019 Hearing 04/02/2019 - Stipulation 05/07/2019- Continuance past the last day - Reset Date 08/112/2019. Ordered for Final Trial Management

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Page 12 of 18

Individ	ual 1545765 - OL	SEN, BLAIF	EDWARDS				
Report	able Events						
Crim	inal DRP			DRP Version 05/2009			
				Conference to 8-5-2019. New Last day 09/14/2019. (Documents have been sent to Disclosure review)			
4. E	vent and disposition	disclosure d	letail:				
Α.	Date first charged/Explanatio	on:	03/20/2018				
В.	Event and dispositi	on detail:	Formal charge de	scription:	13-2921.01/ Charged on	Harassment A1(F6) & (F5) the following dates: 3/8/2017 /9/2017 5/23/2017 5/23/2017 8/16/2017	
			No. of Counts:		7		
			Felony or misdem	eanor:	Felony		
			Plea for each cha	-	Not Guilty		
			Disposition of cha	rge:	Other (requires explanation)		
			Explanation:		Pre-Trial Conference scheduled for 08/16/2018 & Trila date 08/23/2018		
			Date of amended	charge:			
			Amended charge:				
			No. of Counts:				
			Amended felony o		•		
			Pleas for amende	-			
			Disposition of ame	ended charge:			
			Explanation:				
C.	Date of disposition/Explana	ation:					
D.	Sentence/Penalty d	letails:					
5. C	comment:						
Осси	rrence#		2032017	Disclosure	Туре	Judgment/Lien	
	A Public Disclosabl	е	Yes	Reportable	••	Yes	
Mater	ial Difference in Dis	sclosure	No	-			
Filin	a ID 5	51758882		Form (Form	Version)	U4 (05/2009)	
	0	)5/20/2019		(			
Sou	•		LN INVESTMENT				
Disc	losure Questions A	nswered	14M				
Judg	ment/Lien DRP			DRP Versior	05/2009		
1. Jı	udgment/Lien Amour	nt: \$17,9	20.42				
	udgment/Lien holder:		a Smith				
3 1	udgment/Lien type:	Civil					
J. JI	agment Lien type.						

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CRD® or IARD(TM) Snapshot - Individu		Current As Of:	12/18/2019	
CRD® or IARD(TM) Request Submitted:	System Repo	ort provided to: 9 8:41:33 AM	MEMBERREG	Page 13 of 18
	65 - OLSEN, E	BLAIR EDWARD	<u>S</u>	
Reportable Events				
Judgment/Lien D			DRP Version 05/	2009
4. A. Date Filed Court/Expla		04/23/2019		
B. Date Individ Learned/Ex		05/12/2019		
5. Court:	\$	State Court		
A. Name of co	ourt: N	Maricoupa, AZ	•	
B. Location of	court:	Maricoupa, AZ		
C. Docket/Cas	se#: c	cv2017-053483		
6. Outstanding:	٢	Yes		
7. Not outstanding	g:			
A. Disposition date/Explan				
B. Resolution:				
8. Comment:				
Occurrence# FINRA Public Disc Material Difference		2041231 Yes <b>re</b> No	Disclosure Type Reportable	Termination Yes
Filing ID	522204	92	Form (Form Versio	on) U5 (05/2009)
Filing Date	08/02/2	019		
Source			MENT	
Disclosure Quest	lions Answer	ed 7F(1)		
Termination DRP			DRP Version 05/	2009
1. Firm name:		Lincoln Invest	ment	
2. Termination typ	be:	Discharged		
3. Date filed/Expl	anation:	07/17/2019		
4. Allegation(s):		stated deadl the-record te representativ deadlines, as information,	estimony regarding late reporting ve failed to produce the records t s well as failed to provide the firm	s from the representative for an on- on Form U4 disclosures. The o FINRA by two established
5. Product type(s)	):	No Product		
6. Comment:				
Occurrence# FINRA Public Disc Material Difference		2043061 Yes re No	Disclosure Type Reportable	Regulatory Action Yes

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shot - Individual ® or IARD(TM) System Report p		
lest Submitted: 12/19/2019 8:		Page 14 of 18
idual 1545765 - OLSEN, BLA prtable Events	IR EDWARDS	
ling ID         52965046           ling Date         11/20/2019           purce         FINRA	Form (Form Version) U6 (05/2	2009)
sclosure Questions Answered		
egulatory Action DRP	DRP Version 05/2009	
1. Regulatory Action initiated by:		
A. Initiated by:	Self Regulatory Organization	
B. Full name of regulator:	FINRA	
2. Sanction(s) sought:	Suspension	
3. Date initiated/Explanation:	07/25/2019	
4. Docket/Case#:	2018058798801	
5. Employing firm:	N/A	
6. Product type(s):	No Product	
7. Allegation(s):	Respondent Olsen failed to respond to FINRA request for in	formation.
8. Current status:	Final	
9. Limitations or restrictions while pending:		
10. If on appeal:		
A. Appealed to:		
B. Date appealed/Explanation:		
C. Limitations or restrictions while on appeal:		
11. Resolution details:		
A. Resolution detail:	Other: Letter	
B. Resolution date/Explanation:	11/11/2019	
12. Final order:	Νο	
13. Sanction detail:		
A. Sanctions ordered:	Bar (Permanent)	
B. Other sanctions:		
C. Willful violation or failure to supervise:	Νο	
i. Willfully violated:		

CRD® or IARD	(TM) System	Current As Of:	12/18/2019
Snapshot - Inc	lividual		
CRD® or IARD	(TM) System Re	eport provided to:	MEMBERREG
Request Subm	nitted: 12/19/2	019 8:41:33 AM	
Individual 1	545765 - OLSEN	N, BLAIR EDWARD	S

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Page 15 of 18

Reportable Events	
Regulatory Action DRP	DRP Version 05/2009
ii. Willfully aided, abetted counseled, commanded, induced, or procured:	
iii. Failed reasonably to supervise another person:	
D. Sanction type details:	
Sanction type:	Suspension
Registration capacities affect	ed: All capacities
Duration (length of time)/Explanation:	n/a
Start date/Explanation:	08/19/2019
End date/Explanation:	11/10/2019
Sanction type:	Bar (Permanent)
Registration capacities affected	ed: All capacities
Duration (length of time)/Explanation:	Indefinite
Start date/Explanation:	11/11/2019
End date/Explanation:	
E. Requalification type details	
F. Monetary related sanction	type details:
14. Comment:	Pursuant to FINRA Rule 9552(h) and in accordance with FINRA's Notice of Suspension and Suspension from Association letters dated August 5, 2019, and August 29, 2019, respectively. In addition, in accordance with FINRA's letter dated October 29, 2019, extending the bar date, as per an October 25, 2019 request by counsel for Blair Edwards Olsen. On November 11, 2019, FINRA barred Olsen from associating with any FINRA member in any capacity. Respondent failed to request termination of his suspension and to produce all documents and information called for by the FINRA Rule 8210 Request Letters by November 8, 2019, as requested in a FINRA October 29, 2019 Letter, therefore he is automatically barred on November 11, 2019, from associating with any FINRA member in any capacity. This action was taken following the receipt and review of Blair Edwards Olsen counsel's three emails of November 8, 2019. The November 8 Responses only responded to one of the six items requested in FINRA's Rule 8210 request letters dated May 30, 2019, and June 28, 2019.
Regulator Archive and Z Records	
Occurrence#	1194331 Disclosure Type Bankruptcy

CRD® or IARD(TM) System Snapshot - Individual		18/2019	
CRD® or IARD(TM) System Rep Request Submitted: 12/19/20	-	MBERREG	Page 16 of 18
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Regulator Archive and Z Recor			
FINRA Public Disclosable	No	Reportable	No
Material Difference in Disclos	sure No		
Filing ID13466Filing Date04/23Output02000	/2004	Form (Form Version)	U4 (06/2003)
Source 30999 Disclosure Questions Answ	ered 14K(1)	CORPORATION	
Bankruptcy/SIPC/Compromis	se with Creditors DRP	<b>DRP Version</b> 10/2005	
1. Action type:	Bankruptcy		
2. Action date/Explanation:	06/01/1999 DOCUMENT IN ST	ORAGE NOT CERTAIN OF EXACT	DATE
3. Organization:			
4. Court:	MARICOPA COL CHAPTER 7	UNTY SURROGATE COURT CA	SE NO. 99-07789
5. Currently pending:	No		
6. Disposition type:	Discharged		
7. Disposition date/Explanati	on: 10/28/1999		
8. Summary of events:		URGERY WHILE UNEMPLOYED	)
9. Trustee/Payment:			
Currently open:			
Direct payment initiated			
date/Explanation:			
10. Comment:	400000		
Occurrence# FINRA Public Disclosable	1893328 No	Disclosure Type Reportable	Judgment/Lien No
Material Difference in Disclos		Reportable	NU
	7955	Form (Form Varaian)	U4 (05/2009)
Filing ID 44187 Filing Date 07/29	/2016	Form (Form Version)	04 (05/2009)
· ···· <b>g</b> - ····	- LEGEND EQUITIES	CORPORATION	
<b>Disclosure Questions Answ</b>	ered 14M		
Judgment/Lien DRP		DRP Version 05/2009	
1. Judgment/Lien Amount:	\$30,403.47		
2. Judgment/Lien holder:	Internal Revenue Serv	vice	
3. Judgment/Lien type:	Тах		
4. A. Date Filed with Court/Explanation:	05/18/1999		
B. Date Individual	05/18/1999		

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1545765 - OLSEN, BLAIR EDWARDS

Individual

**Regulator Archive and Z Records** DRP Version 05/2009 **Judgment/Lien DRP** Learned/Explanation: Approximate date. 5. Court: **Other: County Court** A. Name of court: Maricopa County Court B. Location of court: Maricopa County, AZ C. Docket/Case#: XXXXXXXXXXX 6. Outstanding: No 7. Not outstanding: A. Disposition 04/06/2004 date/Explanation: Released B. Resolution: 8. Comment: 1893329 Occurrence# **Disclosure Type** Judgment/Lien **FINRA Public Disclosable** Reportable No No **Material Difference in Disclosure** No Filing ID 44187355 Form (Form Version) U4 (05/2009) **Filing Date** 07/29/2016 Source 30999 - LEGEND EQUITIES CORPORATION **Disclosure Questions Answered** 14M **Judgment/Lien DRP DRP Version** 05/2009 1. Judgment/Lien Amount: \$4.715.11 2. Judgment/Lien holder: Internal Revenue Service 3. Judgment/Lien type: Тах 4. A. Date Filed with 12/11/1995 Court/Explanation: B. Date Individual 12/11/1995

Learned/Explanation: Approximate date. 5. Court: Other: County Court A. Name of court: Maricopa County Court B. Location of court: Maricopa County, AZ C. Docket/Case#: XXXXXXXXXXXX 6. Outstanding: No 7. Not outstanding: A. Disposition 12/06/1999 date/Explanation: Released B. Resolution:

CRD® or IARD(TM) System Report -- See notice regarding CRD Data on cover page.

Page 17 of 18

CRD® or IARD(TM) System	Current As Of:	12/18/2019		
Snapshot - Individual				
CRD® or IARD(TM) System R	eport provided to:	MEMBERREG		
Request Submitted: 12/19/2	2019 8:41:33 AM			Page 18 of 18
Individual 1545765 - OLSE	N, BLAIR EDWARD	)S		
Regulator Archive and Z Reco	ords			
Judgment/Lien DRP		DRP Version	05/2009	
8. Comment:				

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