

INVESTMENT ADVISOR

REPRESENTATIVE REGISTRATION &
EMPLOYMENT HISTORY

OF

GARY LANCASTER

@BROKER-DEALER SECURITY FIRMS





Investment Adviser Representative Public Disclosure Report
GARY LYNN LANCASTER

CRD# 2730640

Report #23767-84997, data current as of Tuesday, August 20, 2013.

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4
Disclosure Information	5

Exhibit N
page 1 of 2



Investment Adviser Representative Report Summary

GARY LYNN LANCASTER (CRD# 2730640)

The report summary provides an overview of the Investment Adviser Representative's professional background and conduct. The information contained in this report has been provided by the Investment Adviser 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 Investment Adviser Representative, a previous employing firm, or a securities regulator on 03/27/2013.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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 Investment Adviser Representative was previously registered with the following Investment Adviser firms:

FIRM (IARD#) - LOCATION	REGISTRATION DATES
QUICK & REILLY, INC. (IARD# 11217) - PORTLAND, OR	12/16/2002 - 01/17/2003
U.S. BANCORP PIPER JAFFRAY INC. (IARD# 665) - LAJOLLA, CA	11/03/2000 - 12/09/2002

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

These disclosure events relate to any Investment Adviser Representative who is not currently registered and who: (1) was the subject of a final regulatory event; (2) was convicted of or pled guilty or nolo contendere to a crime; (3) was the subject of a civil injunction or civil court finding involving a violation of any investment-related statute(s) or regulation(s); or (4) was named as a respondent or defendant or was the subject of an arbitration or civil litigation which resulted in an award, decision or judgment for a customer.

Are there events disclosed about this Investment Adviser Representative? **Yes**

The following types of events are disclosed about this Investment Adviser Representative:

Type	Count
Regulatory Event	2
Civil Event	1

BROKER DEALER INFORMATION

This individual previously was registered as an investment adviser representative and a broker. For more information about this individual's record as a broker, visit FINRA's BrokerCheck website at: <http://www.finra.org/brokercheck>



[User Guidance](#)

www.sdivisorinfo.scc.gov

Investment Adviser Representative Qualifications

PASSED INDUSTRY EXAMS

This section includes all required state securities exams that the Investment Adviser Representative has passed. Under limited circumstances, an Investment Adviser Representative may attain registration after receiving an exam waiver based on a combination of exams the Investment Adviser Representative has passed and qualifying work experience. Likewise, a new exam requirement may be grandfathered based on an Investment Adviser Representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed the following exams:

Exam	Category	Date
Uniform Securities Agent State Law Examination (S63)	Series 63	04/29/1996
Uniform Investment Adviser Law Examination (S65)	Series 65	11/11/1998

← *

PROFESSIONAL DESIGNATIONS

This section details that the Investment Adviser Representative has reported 0 professional designation(s).

No information reported.

Exhibit N

©2013 FINRA. All rights reserved. Report# 23767-94997 requested on Tuesday, August 20, 2013 about GARY LYNN LANCASTER.

page 2 of 2

↑
*



[User Guidance](#)

www.adviserinfo.com.gov

Investment Adviser Representative Registration and Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING INVESTMENT ADVISER FIRMS

This section indicates that state registration records show this Investment Adviser Representative previously held registrations with the following firms:

Registration Dates	Firm Name	IARD#	Branch Location
12/16/2002 - 01/17/2003	QUICK & REILLY, INC.	11217	PORTLAND, OR
11/03/2000 - 12/09/2002	U.S. BANCORP PIPER JAFFRAY INC.	665	LAJOLLA, CA

EMPLOYMENT HISTORY

This section provides up to ten years of an Investment Adviser Representative's employment history as reported by the Investment Adviser Representative on the most recently filed Form U4.

Please note that the Investment Adviser Representative is required to provide this information only while registered with an investment adviser firm and the information is not updated through Form U4 after the Investment Adviser Representative ceases to be registered. Therefore, an employment end date of "Present" may not reflect the Investment Adviser Representative's current employment status.

Employment Dates	Employer Name	Employer Location
03/2006 - Present	AMERICAN FIDELITY ASSURANCE CO	OKLAHOMA CITY, OK
07/2005 - Present	SLOAN SECURITIES CORP.	FORT LEE, NJ
01/2005 - 07/2005	UNEMPLOYED	VANCOUVER, WA
03/2004 - 01/2005	THE O.N. EQUITY SALES COMPANY	CINCINNATI, OH
10/2003 - 11/2004	UNIVERSAL UNDERWRITERS	OVERLAND PARK, KS
08/2003 - 10/2003	MERIDIAN HOME LOANS	PORTLAND, OR