



IAPD Report

JAMES FLOYD GUY JR

CRD# 4859692

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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

JAMES FLOYD GUY JR (CRD# 4859692)

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 **03/22/2024**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|--------------------|-------------|------------------|
| B | LINCOLN INVESTMENT | CRD# 519 | 01/03/2017 |
| IA | LINCOLN INVESTMENT | CRD# 519 | 07/17/2017 |
| IA | CAPITAL ANALYSTS | CRD# 162200 | 03/22/2024 |

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **5** 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 | LEGEND ADVISORY, LLC | 104761 | WARREN, OH | 06/29/2011 - 10/04/2019 |
| B | LEGEND EQUITIES CORPORATION | 30999 | INDEPENDENCE, OH | 06/28/2011 - 01/03/2017 |
| B | FORESTERS EQUITY SERVICES, INC. | 18464 | MENTOR, OH | 02/27/2007 - 06/30/2011 |

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

Employment 1 of 2

Firm Name: **CAPITAL ANALYSTS**
Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232
Firm ID#: 162200

| Regulator | Registration | Status | Date |
|-----------|-----------------------------------|----------|------------|
| IA Ohio | Investment Adviser Representative | Approved | 03/22/2024 |

Branch Office Locations

CAPITAL ANALYSTS
2 Summit Park Drive
Suite 210
Independence, OH 44131

Employment 2 of 2

Firm Name: **LINCOLN INVESTMENT**
Main Address: 601 OFFICE CENTER DRIVE
SUITE 300
FORT WASHINGTON, PA 19034-3232
Firm ID#: 519

| Regulator | Registration | Status | Date |
|--------------|-----------------------------------|----------|------------|
| B FINRA | Invest. Co and Variable Contracts | Approved | 01/03/2017 |
| B Arizona | Agent | Approved | 08/22/2022 |
| B California | Agent | Approved | 01/03/2017 |
| B Colorado | Agent | Approved | 03/05/2021 |
| B Ohio | Agent | Approved | 01/03/2017 |



Qualifications

| Regulator | Registration | Status | Date |
|----------------|-----------------------------------|----------|------------|
| IA Ohio | Investment Adviser Representative | Approved | 07/17/2017 |
| B Pennsylvania | Agent | Approved | 01/03/2017 |

Branch Office Locations

LINCOLN INVESTMENT
2 Summit Park Drive, Suite
SUITE 210
INDEPENDENCE, OH 44131

LINCOLN INVESTMENT
231 Gypsy Lane
Youngstown, OH 44504



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

Principal/Supervisory Exams

| Exam | Category | Date |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B Securities Industry Essentials Examination (SIE) | SIE | 10/01/2018 |
| B Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 12/10/2004 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 11/13/2012 |

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 | 06/29/2011 - 10/04/2019 | LEGEND ADVISORY, LLC | CRD# 104761 | WARREN, OH |
| B | 06/28/2011 - 01/03/2017 | LEGEND EQUITIES CORPORATION | CRD# 30999 | INDEPENDENCE, OH |
| B | 02/27/2007 - 06/30/2011 | FORESTERS EQUITY SERVICES, INC. | CRD# 18464 | MENTOR, OH |
| B | 12/13/2004 - 01/09/2007 | FORESTERS EQUITY SERVICES, INC. | CRD# 18464 | COLUMBUS, OH |

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 |
|-------------------|-----------------------------|-----------------------------------|--------------------|---------------------------------------|
| 03/2024 - Present | Capital Analysts, LLC | Investment Adviser Representative | Y | Independence, OH, United States |
| 01/2017 - Present | LINCOLN INVESTMENT | Mass Transfer | Y | INDEPENDENCE, OH, United States |
| 06/2011 - 01/2017 | LEGEND EQUITIES CORPORATION | REGISTERED REPRESENTATIVE | Y | PALM BEACH GARDENS, FL, 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.

Starbucks POSITION: Barista NATURE: Coffee INVESTMENT RELATED: No NUMBER OF HOURS: 90 SECURITIES TRADING HOURS: 0 START DATE: 5/1/2008 ADDRESS: 1923 Niles Cortland Rd, Warren, OH 44484 DESCRIPTION: Make drinks and overall customer service DIRECTION HOME OF EASTERN OHIO POSITION: Board Member/Treasurer NATURE: Non Profit dedicated to the interest of older persons INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 2 START DATE: 06/01/2012 ADDRESS: 1030 N. Meridian Road, Youngstown OH 44509, United States DESCRIPTION: Vote on proposal for grant requests. Oversee operations of the organization and vote on decisions made in regards to the organization and the direction it is going. Added duty: to be a back up for check signing on Agency checks. ATHENE ANNEXUS POSITION: Agent NATURE: Indexed Annuity INVESTMENT RELATED: Yes NUMBER OF HOURS: 0 SECURITIES TRADING HOURS: 0 START DATE: 05/03/2010 ADDRESS: 7700 Mills Civic Pkwy, W Des Moines IA 50266, United States DESCRIPTION: I am NOT currently selling this product. But I do receive residuals. RAIDER PRIDE PARK POSITION: We are raising money to build a park and statue in honor of the Students, faculty and staff of Warren Western Reserve High School. www.raiderpridepark.com I will have no access to any funds of the organization. NATURE: Non Profit INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/13/2020 ADDRESS: 2510 Henn Hyde Rd NW,



Registration & Employment History

OTHER BUSINESS ACTIVITIES

Warren OH 44481, USA DESCRIPTION: Board member/president DOOR DASH POSITION: Food delivery. NATURE: food delivery INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 03/23/2020 ADDRESS: 5330 Copeland Ave NW, Warren OH 44483, United States DESCRIPTION: Food Delivery. Will be done during the COVID issue. Once things loosen up I will discontinue. DEFEND WARREN POSITION: Owner/Podcast Host NATURE: Podcast and Merchandise INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 1 START DATE: 04/26/2021 ADDRESS: 231 Gypsy Ln, Youngstown OH 44504, USA DESCRIPTION: Podcast Host. It captures history of Warren from the eyes of its residents as well as business owners. The objective is to promote Warren Ohio in a positive light and give local business exposure from a different avenue. RAIDER PRIDE PARK POSITION: We are raising money to build a park and statue in honor of the Students, faculty and staff of Warren Western Reserve High School. www.raiderpridepark.com I will have no access to any funds of the organization. NATURE: Non Profit INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 01/13/2020 ADDRESS: 1170 Southern Blvd. NW, Warren OH 44485, United States DESCRIPTION: Board member/president W.D. PACKARD FOUNDATION POSITION: Board Member/Treasurer NATURE: Non Profit INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 4 START DATE: 10/01/2015 ADDRESS: 231 Gypsy Ln, Youngstown OH 44504, USA DESCRIPTION: Service projects for Packard Park. WARREN STRIDERS POSITION: Assistant Coach. NATURE: Track club and sports training club INVESTMENT RELATED: No NUMBER OF HOURS: 4 SECURITIES TRADING HOURS: 0 START DATE: 08/01/2022 ADDRESS: PO Box 3440, Warren OH 44485, United States DESCRIPTION: I help coach kids 7-18 to build speed, strength, agility and coordination. Also coach specific events (i.e., shot put, discuss, 100 meter sprint etc.) JAMES GUY JR POSITION: Representative NATURE: Fixed Insurance and Annuities INVESTMENT RELATED: Yes NUMBER OF HOURS: 10 SECURITIES HOURS: 10 START DATE: 03/22/2023 ADDR: 2 Summit Park Dr, Suite 210, Independence OH 44131, United States DESCRIPTION: Providing illustrations, providing insurance products and servicing insurance products to clients PODCAST STUDIO POS: Co-owner NATURE: studio INV. RELATED: No # OF HOURS: 10 SEC.HOURS: 10 START DATE: 04/05/2023 ADD: 231 Gypsy Lane, Youngstown OH 44504, USA DESC.: We will be renting the studio for others to use and I'll be recording my own podcasts here



End of Report

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