

BrokerCheck Report

ROD HUNDLEY KAMPS

CRD# 2293492

Report #99180-48842, data current as of Tuesday, September 15, 2015.

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	5 - 6

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <http://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

Thank you for using FINRA BrokerCheck.

ROD H. KAMPS

CRD# 2293492

Currently employed by and registered with the following Firm(s):**LPL FINANCIAL LLC**

1432 EDINGER AVE, STE 200

TUSTIN, CA 92780

CRD# 6413

Registered with this firm since: 04/21/1999

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications**This broker is registered with:**

- 1 Self-Regulatory Organization
- 23 U.S. states and territories

This broker has passed:

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 2 State Securities Law Exams

Registration History**This broker was previously registered with the following securities firm(s):****CAL FED INVESTMENTS**

CRD# 19631

SACRAMENTO, CA

01/1997 - 04/1999

INVEST FINANCIAL CORPORATION

CRD# 12984

TAMPA, FL

06/1994 - 01/1997

INVEST FINANCIAL CORPORATION

CRD# 12984

TAMPA, FL

06/1993 - 05/1994

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at <http://www.adviserinfo.sec.gov>



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This individual is currently registered with 1 SRO and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **75 STATE STREET, 24TH FLOOR
BOSTON, MA 02109**

Firm CRD#: **6413**

SRO	Category	Status	Date
FINRA	General Securities Principal	APPROVED	08/20/1999
FINRA	General Securities Representative	APPROVED	04/21/1999

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
Alaska	Agent	APPROVED	08/09/2005	New York	Agent	APPROVED	05/17/2001
Arizona	Agent	APPROVED	10/26/2000	North Carolina	Agent	APPROVED	06/13/2007
California	Agent	APPROVED	04/21/1999	Ohio	Agent	APPROVED	08/31/2011
Colorado	Agent	APPROVED	04/15/2011	Oklahoma	Agent	APPROVED	10/09/2013
Florida	Agent	APPROVED	04/26/1999	Oregon	Agent	APPROVED	01/06/2003
Hawaii	Agent	APPROVED	06/13/2005	Pennsylvania	Agent	APPROVED	05/07/2015
Idaho	Agent	APPROVED	01/03/2003	South Carolina	Agent	APPROVED	06/27/2008
Illinois	Agent	APPROVED	12/22/2008	Texas	Agent	APPROVED	03/09/2000
Maine	Agent	APPROVED	09/11/2012	Utah	Agent	APPROVED	01/23/2015
Maryland	Agent	APPROVED	08/01/2000	Virginia	Agent	APPROVED	03/27/2007
Nevada	Agent	APPROVED	11/12/2001	Washington	Agent	APPROVED	01/06/2003
New Jersey	Agent	APPROVED	12/02/2010				

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

LPL FINANCIAL LLC
1432 EDINGER AVE, STE 200
TUSTIN, CA 92780



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below.

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

Principal/Supervisory Exams

Exam	Category	Date
General Securities Principal Examination	Series 24	08/19/1999

General Industry/Product Exams

Exam	Category	Date
General Securities Representative Examination	Series 7	01/18/1993

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	02/10/1993
Uniform Investment Adviser Law Examination	Series 65	09/23/1999

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
01/1997 - 04/1999	CAL FED INVESTMENTS	19631	SACRAMENTO, CA
06/1994 - 01/1997	INVEST FINANCIAL CORPORATION	12984	TAMPA, FL
06/1993 - 05/1994	INVEST FINANCIAL CORPORATION	12984	TAMPA, FL
01/1993 - 02/1993	CHATFIELD DEAN & CO., INC.	14714	GREENWOOD VILLAGE, CO

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
10/2009 - Present	KAMPS ASSET MANAGEMENT PLANNING SERVICES, INC.	TUSTIN, CA
01/2004 - Present	FINANCIAL ADVISORS NETWORK, INC.	FOUNTAIN VALLEY, CA
04/1999 - Present	LPL FINANCIAL, LLC	TUSTIN, CA

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

- 6/7/2000: NON-VARIABLE INSURANCE - OUTSIDE INSURANCE - TIME SPENT 1% - TUSTIN, CA.
- 7/9/2003 - COMMERCIAL REAL ESTATE PROPERTY.
- 6/18/2008 - REAL ESTATE RENTAL - TIC - FL. RENTAL PROPERTY (SINGLE FAMILY HOME) TENANT IS MY BROTHER AND SISTER IN LAW. I ALSO OWN THE HOME JOINT WITH MY OTHER IN LAWS TIM & SHERYL BUCKINGHAM AND THEY ARE CLIENTS. - TIME SPENT 1% - JACKSONVILLE, FL.
- 6/18/2008 - REAL ESTATE RENTAL - SANTA ANA CONDO (1UNIT) NOT RENTED BY A CLIENT OR OTHER B/D OR RIA. - TIME SPENT 1% - SANTA ANA, CA.



Registration and Employment History

Other Business Activities, continued

5. 12/9/2009 - REAL ESTATE RENTAL - BOUGHT AN OFFICE CONDO AT 1432 EDINGER AVE SUITE 200 & 210, TUSTIN, CA 92780. THE SUITES HAVE BEEN COMBINED INTO 1 LOCATION WITH A PHYSICAL ADDRESS OF ONLY SUITE 200. MY COMPANY WILL RENT FROM MY TRUST. - TIME SPENT 100% - TUSTIN, CA.

6. 12/16/2009 - NON-VARIABLE INSURANCE DBA - KAMPS & ASSOCIATES INSURANCE SERVICES - WE OFFER OUTSIDE INSURANCE FOR CLIENTS AS NEEDED. WE ACT AS THE AGENT. - TIME SPENT 2% - TUSTIN, CA.

7. 3/2/2010 - REAL ESTATE RENTAL - 1432 EDINGER SUITE 200 AND 210 ARE BEING RENTED AS COMMERCIAL PROPERTY. MY BUSINESS RENTS SPACE FROM MY TRUST. A CPA, ATTORNEY, AND MORTGAGE BROKER ALSO RENT SPACE. - 100% - TUSTIN, CA.

8. 10/11/2011: REGISTERED INVESTMENT ADVISOR - FINANCIAL ADVISORS NETWORK, INC. - (HYBRID) SEE ADV FOR DETAILS. ALL SERVICES FROM OUR ADV (ASSET MANAGEMENT, COMPREHENSIVE MANAGEMENT, AND FINANCIAL PLANNING). - TIME SPENT 80% - TUSTIN, CA.

9. 3/2/2012: TAX PREP/ACCOUNTING/BOOKKEEPING
- KAMPS & ASSOCIATES ACCOUNTING SERVICE, LLC - BUYING A TAX PRACTICE FROM DARRELL ROGERS, CPA (BUSINESS NAME CURRENTLY DARRELL ROGERS CPA FUTURE NAME KAMPS & ASSOCIATES ACCOUNTING SERVICES. DARRELL WILL BE EMPLOYEE AS WELL AS HIS WIFE. - TIME SPENT 5%.

10. 10/24/2013: DBA ONLY - FINANCIAL ADVISORS NETWORK, INC. - TUSTIN, CA.

11. 10/24/2013: NON-VARIABLE INSURANCE DBA - KAMPS ASSET MANAGEMENT PLANNING SERVICES - TIME SPENT 5% - TUSTIN, CA.

12. 9/23/2014: BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - KAMPS, INC (DBA FOR KAMPS ASSEST MANAGEMENT PLANNING SERVICES, INC) - THIS IS A DBA USED FOR THE C-CORP OF KAMPS ASSETS MANAGMENT PLANNING SERVICE, INC. THE CORPORATION OWNS 100% OF FINANCIAL ADVISORS NETWORK, INC (RIA) AND 50% OF KAMPS AND ASSOCIATES ACCOUNTING SERVICE, LLC. - 40 HOURS PER MONTH DURING TRADING - TUSTIN, CA.

End of Report



This page is intentionally left blank.