



**Financial Professional**

Jonathan L. Mistofsky  
FNA Wealth Management, Ltd.  
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Phone: (330) 425-9199

**6/18/2021**

**Associated with:**

Lincoln Investment Planning, LLC

Principal Office:  
601 Office Center Drive, Suite 300  
Fort Washington, PA 19034  
(800) 242-1421  
[www.lincolninvestment.com](http://www.lincolninvestment.com)

This brochure provides information about Jonathan L. Mistofsky, who is dually licensed to offer broker dealer and investment advisory services.

If you are opening an advisory account, this brochure supplements Lincoln Investment's and/or Capital Analysts' Form ADV 2A and Form ADV 2A Appendix I. If you do not receive the Investment Advisory Disclosure Brochures for the above listed registered investment advisers or if you have any questions about the contents of this supplement, please contact The Lincoln Investment Companies at (800) 242-1421, ext. 4770, option 4.

Additional information about Jonathan L. Mistofsky, is available via FINRA's BrokerCheck website at [www.finra.org](http://www.finra.org) or the U.S. Securities and Exchange Commission's website at [www.adviserinfo.sec.gov](http://www.adviserinfo.sec.gov).

## **Item 2 – EDUCATIONAL BACKGROUND & BUSINESS EXPERIENCE**

Jonathan L. Mistofsky

Year of Birth: 1979

### **Education**

University of Strathclyde (Glasgow, Scotland), B.A. Hons, International Business and Modern Languages, 2002

### **Business Experience**

Jonathan L. Mistofsky is dually registered as an Investment Adviser Representative and Registered Representative of a Broker-Dealer and one or more Registered Investment Advisers.

Investment Adviser Representative, Capital Analysts, LLC, March 2019 – March 2021

Investment Adviser Representative, Lincoln Investment Planning, LLC, August 2016 – Present

Registered Representative, Lincoln Investment Planning, LLC, August 2016 – Present

Registered Representative, Sterne Agee Financial Services, Inc., September 2014 – August 2016

Registered Representative, WRP Investments, Inc., January 2014 – September 2014

Unemployed, June 2013 – December 2013

Vice President, Optima Fund Management, September 2008 – June 2013

### **Professional Licenses/Designations**

Jonathan L. Mistofsky holds the following industry exams or equivalency and Professional Designations.

Series 6 - Investment Company and Variable Contracts Products Representative Examination

Due to the qualifications earned with a Series 6 exam, your Financial Professional, when acting as a Registered Representative of the Broker Dealer, is limited to securities recommendations in mutual funds, unit investment trusts, variable life insurance and municipal fund securities.

## **Item 3 – DISCIPLINARY INFORMATION**

Jonathan L. Mistofsky has no material legal or disciplinary events to report.

## **Item 4 – OTHER BUSINESS ACTIVITIES**

### **Investment Related Business Affiliations, Conflicts and Compensation**

Jonathan L. Mistofsky is actively engaged in investment-related businesses as a registered representative of Lincoln Investment and an investment adviser representative of one or more investment advisers.

Depending on the account type (brokerage or advisory), compensation to your Financial Professional will vary. Lincoln Investment and Capital Analysts limit the securities offerings and third party money managers available to your Financial Professional for recommendation. Your Financial Professional's recommendations will be in your best interest.

When you open a brokerage account, your Financial Professional will receive a transaction-based sales commission or concession based on the product acquired. Financial Professionals may also receive ongoing distribution and/or retention compensation from mutual funds and annuities. In brokerage accounts, conflicts arise from the varying compensation associated with different product type recommendations. Effective 9/1/2020, brokerage commissions and brokerage assets tied to Massachusetts residents are excluded from Lincoln's sales contests due to the Commonwealth of Massachusetts' Fiduciary Rule imposed on broker dealers that is effective 9/1/2020. For Massachusetts' residents, this creates a financial incentive for your Financial Professional to recommend advisory services over brokerage services.

When you open an advisory account, Financial Professionals receive either a portion of the advisory fee

assessed on assets they service, or a flat or hourly fee. Your Financial Professional is held to a fiduciary duty. It is each Financial Professional's responsibility to understand and adhere to the requirements of the Code of Ethics, as well as applicable laws, regulations, and rules.

Jonathan L. Mistofsky's involvement in other business activities as described below defines additional activities for which your Financial Professional could recommend other products or services to you. This creates a conflict of interest for your Financial Professional to promote these products or services in addition to the services described above.

### **Insurance Agent**

Jonathan L. Mistofsky is licensed through Lincoln Investment or an independent agency to solicit, offer and sell insurance products. Your Financial Professional may be appointed with various insurance companies. Your Financial Professional may receive separate, yet customary commissions and other financial incentive compensation resulting from the purchases and sales of insurance products. When you purchase insurance products your Financial Professional will receive a transaction-based sales commission or concession based on the product acquired. Conflicts arise from the varying compensation associated with the recommendations made by your Financial Professional.

### **Item 5 – ADDITIONAL COMPENSATION**

Jonathan L. Mistofsky is permitted to participate in sales contests, incentives, gifts and entertainment offered by Lincoln Investment and/or Capital Analysts, at the Financial Professional's discretion and subject to applicable laws. Lincoln Investment monitors your Financial Professional's recommendations with the objective of ensuring recommendations are in the client's best interest. Our firm does not permit sales contests, sales quotas, bonuses, and non-cash compensation that are based on the sales of specific securities or specific types of securities within a limited period of time. Your Financial Professional is permitted to receive cash and non-cash compensation from third party product providers and money managers to assist with due diligence and marketing expenses. In order to mitigate the financial conflict associated with third party compensation, the maximum amount of marketing support reimbursement and/or entertainment your Financial Professional is permitted to receive is \$1,000 from each product provider annually. Gifts from these third parties are limited to a value of \$100 annually. Product Providers are permitted to provide an occasional meal and/or nominal merchandise. For more information see The Lincoln Investment Companies Investor Agreement and Disclosure Handbook.

### **Item 6 – SUPERVISION**

Jonathan L. Mistofsky is assigned to a Designated Supervisor. The Designated Supervisor, or his or her designee, will review and monitor the advice and recommendations of your Financial Professional, their client communications, and your Financial Professional's adherence to the firms' Code of Ethics, policies and procedures to ensure that all advice and recommendations are in the client's best interest.

Supervisor Name: Gregory Giller Randall

Title: Supervising Principal

Phone Number: (216) 233-5093